Michael R. Bloomberg
Mayor

The City of New York
Department of Transportation
Division of Bridges

Janette Sadik-Khan
Commissioner

REQUEST FOR PROPOSALS

FOR

RESIDENT ENGINEERING INSPECTION SERVICES IN CONNECTION WITH COMPONENT REHABILITATION OF 10 BRIDGES

BOROUGH OF BROOKLYN

CONTRACT NO.: HBCR01AA

E-PIN: 84110P0020

PIN: 84110BKBR541

Location	Bin. No
Crown Street Bridge Over Franklin Street Shuttle	2-24323-0
5th Avenue Bridge Over Greenwood Cemetery Access Road	2-24448-0
4th Avenue Bridge Over Belt Parkway	2-23127-0
Bedford Avenue Bridge Over LIRR	2-24349-0
Cleft Ridge Span (Prospect Park) Bridge Over Park Road	2-24406-0
Carroll Street Over Gowanus Canal	2-24026-0
BQE SB Bridge Over Adams Street	2-23045-0
Belt Parkway Bridge Over Bedford Avenue	2-23142-9
Union Street Bridge Over BQE	2-23036-0
BQE NB Bridge Over Adams Street	2-23044-0

RELEASE DATE OF THE RFP: **October 26, 2010**

ANTICIPATED CONTRACT TERM: **1150 Consecutive Calendar Days from the Date of Written Notice to Proceed which is inclusive of 55 CCD after the final completion of 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
55 Water Street, 5th Floor
New York, NY 10041
Telephone: (212) 839-6314
Fax: (212) 839-4043

NEW YORK CITY DOT

Department of Transportation

JANETTE SADIK-KHAN, Commissioner

October 26, 2010

Re: Request for Proposals for
Resident Engineering Inspection Services in Connection with
Component Rehabilitation of 10 Bridges
Borough of Brooklyn
Contract No. HBCR01AA
E-PIN: 84110P0020
PIN: 84110BKBR541

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.

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. In addition, please ensure compliance with all M/WBE requirements as incorporated in this contract. ***Schedule B: Subcontractor Utilization Plan must be submitted in a separate sealed envelope along with the technical proposal.*** 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, ACCO Contract Management Unit, Ground Floor, 55 Water Street, New York, New York 10041 on or before November 22, 2010 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)839-4043.

All questions concerning this invitation must be faxed to Dr. Paul-Michael-Kazas at (212)839-4043 on or before November 2, 2010. If you need to contact by telephone, please call (212) 839-6314 or e-mail pkazas@dot.nyc.gov .

Very truly yours,

Dr. Paul Michael Kazas
Director of Capital Procurement

Enclosure

NYC Department of Transportation
Finance, Contracting and Program Management Division
55 Water Street, New York, NY 10041
T: 212. 839.9292 F: 212.839.4231
www.nyc.gov/dot

Printed on paper containing 30% post-consumer material

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) 839-4043

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

Consultant:		
Address:		
City	State	ZIP
Contact Person:	Phone #:	Email:
RFP Contract Number (Fill in): **Contract No. HBCR01AA, E-PIN: 84110P0020, PIN 84110BKBR541**		Fax #
RFP Contract Title (Fill in): **Resident Engineering Inspection Services in Connection with Component Rehabilitation of 10 Bridges, Borough of Brooklyn**		

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) 839-4043. E-Mail Address: pkazas@dot.nyc.gov

☐ 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

SECTION I **TIMETABLE** **2**

A) Release Date of the Request for Proposals
B) Site Visit and/or Inspection of Materials
C) Proposal Due Date, Time and Location

SECTION II **SUMMARY OF THE REQUEST FOR PROPOSALS** **3**

A) Purpose of the RFP
B) Anticipated Contract Term
C) Anticipated Payment Structure

SECTION III **SCOPE OF SERVICES** **4**

A) Agency Goals and Objectives
B) Agency Assumptions Regarding Consultant Approach
C) Participation by Minority-Owned and Women-Owned Business Enterprises in City Procurement
D) Compliance with Local Law 34 – Doing Business Data Form

SECTION IV **FORMAT AND CONTENT OF THE PROPOSALS** **5-8**

A) Proposal Format
   1. Component 1: Procedural Forms
   2. Component 2A: Proposal Forms
   3. Component 2B: Schedule B
   4. Component 2C: Proposal Narrative
   5. Component 2D: Local Law 34 – Doing Business Data Form
   6. Component 3: Cost Proposal
B) Proposal Package Contents ("Checklist")

SECTION V **PROPOSAL EVALUATION AND CONTRACT AWARD PROCEDURES** **9-10**

A) Evaluation Procedures
B) Evaluation Criteria
C) Basis for Contract Award
D) Conflict of Interest

SECTION VI **GENERAL INFORMATION TO PROPOSERS** **11**

SECTION VII **ATTACHMENTS**

A) Proposed Contractual Agreement & Resident Engineering Inspection Instruction Manual
B) General Provisions (Appendix A) & Macbride Principles Provisions
C) Procedural Forms Packet
D) Proposal Forms Packet
E) Cost Proposal Forms Packet
F) Minority/Women Business Enterprise Program
G) Vendex Requirements & Confirmation of Vendex Compliance
H) Local Law 34 - Doing Business Data Form

Printed on paper containing 30% post-consumer material

SECTION I - TIMETABLE

A. Release Date of the Request for Proposals: October 26, 2010

All questions and requests for additional information concerning this RFP should be directed to Paul-Michael Kazas, the Authorized Agency Contact Person, at:

Telephone #: (212) 839-6314
Fax #: (212) 839-4043
E-Mail Address: pkazas@dot.nyc.gov

Proposers should submit questions no later than 20 days prior to the proposal due date to the Authorized Agency Contact Person, since the Agency may be unable to respond to questions received after that date.

B. Site Visit and/or Inspection of Materials:

Site visits are not necessary; however, plans and specifications are available for your review upon request. Appointments for site visits and to review the materials must be made to the Authorized Agency Contact Person.

C. Proposal Due Date and Time and Location:

Date: **November 22, 2010**
Time: **NO LATER THAN 2:00 PM**
Location: **NYCDOT ACCO Contract Management Unit**
55 Water Street, Ground Floor
New York, New York 10041.

Proposals should be hand delivered to NYCDOT ACCO Contract Management Unit located at 55 Water Street, Ground Floor, New York, New York 10041, between the hours of 9am-2pm only.

E-mailed or faxed proposals will not be accepted by the agency.

Proposals received at this Location after the Proposal Due Date and Time are late and will not be accepted by the agency, except as provided under New York City's Procurement Policy Board Rules.

The agency will consider requests made to the Authorized Agency Contact Person to extend the Proposal Due Date and Time prescribed above. However, unless the agency issues a written addendum to this RFP that extends the Proposal Due Date and Time for all proposers, the Proposal Due Date and Time prescribed above shall remain in effect.

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 Component Rehabilitation of 10 Bridges, Borough of Brooklyn.

B. Anticipated Contract Term

It is anticipated that the term of the contract awarded from this RFP will be **1150** Consecutive Calendar Days from the date of written Notice to Proceed which is inclusive of **55** Consecutive Calendar Days after the final completion of construction contract.

The anticipated period of construction contract term is **1095** 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 as stipulated in Section VII of the RFP.

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. (Section VII, Attachment A)

C. Participation by Minority-Owned and Women-Owned Business Enterprises in City Procurement

This procurement is subject to the Minority-Owned and Women-Owned Business Enterprise ("M/WBE") program created by Local Law No. 129 of 2005, which added Section 6-129 to the Administrative Code of the City of New York. The requirements of M/WBE participation for this procurement are set forth in Section VII, Attachment F - Minority/Women Business Enterprise Program/Schedule B. The selected proposer must comply with all M/WBE requirements in this procurement and the subsequent negotiated Contract. The participation goals established for this contract are set forth in Section VII, Attachment F. M/WBE firms must be certified by the Department of Small Business Services ("DSBS") to be eligible for participation. Such certification must occur prior to the firms' commencement of work as subcontractors. A list of M/WBE firms may be obtained from the DSBS website at www.nyc,gov/getcertified, by e-mailing mwbe@sbs.nyc.gov or lbe@sbs.nyc.gov, by calling the DSBS certification hotline at (212) 513-6311, or by visiting or writing DSBS at 110 William Street, New York, New York 10038, 7th Floor. Eligible firms that have not yet been certified may contact DSBS (as indicated above) in order to seek certification.

NOTE: Proposers who intend to subcontract services to M/WBE firm(s) shall include such services in Schedule B, provided the dollar amount intended to be subcontracted is under $1 million for each subcontract. The agency shall consider such subcontract(s) as part of the proposers' utilization plan.

Rejection of the Proposal

The proposer must fully complete the Subcontractor Utilization Plan set forth in Section VII, Attachment F. Proposals that do not include a completed Subcontractor Utilization Plan will be deemed to be non-responsive, unless a full or partial waiver of the Target Subcontracting Percentage is granted. In the event that the proposer does not intend to award the Target Subcontracting Percentage, the proposal will be deemed to be non-responsive, unless the Agency has granted a waiver if the target Subcontracting Percentage (Subcontractor Utilization Plan, Part III).

For additional information on the requirements of M/WBE participation for this procurement, please refer to Section VII, Attachment F – Notice to all Prospective Contractors & Schedule B.

D. Compliance with Local Law 34 of 2007

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

SECTION IV: FORMAT AND CONTENT OF THE PROPOSAL

Instructions: Proposers should provide all information required in the format below. The proposal should be typed on both sides of 8 ½" X 11" papers. The City of New York requests that all proposals be submitted on paper with no less than 30% post consumer material content, i.e., the minimum recovered fiber content level for reprographic papers recommended by the United States Environmental Protection Agency (for any changes to that standard please consult: http://www.epa.gov/cpg/products/printing.htm). Pages should be paginated.

The Proposal package should consist of Six (6) 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, Schedule B, Forms 4T1, 4T2, & 4T3,).

The proposal will be evaluated on the basis of its content, not length. Failure to comply with any of these instructions will not make the proposal non-responsive.

A. Proposal Format

1. Component 1: Procedural Forms

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

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

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

2. Component 2A: Proposal Forms

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

FORM 1T	**QUALITY & RELEVANCE OF PRIOR EXPERIENCE (FIRM IN GENERAL)**
FORM 2T	**PROPOSED STAFF (RESUMES)/EXPERIENCE**
FORM 3T	**OVERALL PROJECT UNDERSTANDING & APPROACH**
FORM 4T	**JOB TITLES & HOURS PROPOSED**
FORM 5T	**NYCDOT CURRENT WORKLOAD DISCLOSURE (2 PGS.)**

3. Component 2B: Schedule B Subcontractor Utilization Plan

Subcontractor Utilization Plan should be submitted in a separate sealed envelope along with the Technical Proposal

4. Component 2C: Proposal Narrative

In the case that the proposer was the prime consultant or a sub-consultant on the TD/CSS contract for the Component Rehabilitation of 10 Bridges, Borough of Brooklyn 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.

5. Component 2D: Local Law 34 – "Doing Business Data Form"

A Doing Business Data Form Packet has been supplied with this Request for Proposals **(Attachment H)** and should be fully completed and ONLY one (1) original set should be submitted in a separate sealed envelope with the Technical Proposal package.

6. Component 3: Cost Proposal

A Cost Proposal Forms Packet has been supplied with this Request for Proposals and should be fully completed and ONLY one (1) original set should be submitted in a separate sealed envelope 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 2C, Component 2D, & 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	NYC Department of Transportation ACCO Contract Management Unit
Address	55 Water Street, Ground Floor New York, New York 10041

E-PIN: 84110P0020
PIN No. 84110BKBR541
CONTRACT No. HBCR01AA
RESIDENT ENGINEERING INSPECTION SERVICES IN CONNECTION WITH
COMPONENT REHABILITATION OF 10 BRIDGES, BOROUGH OF BROOKLYN
PROPOSAL SUBMISSION DEADLINE IS NOVEMBER 22, 2010
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.

1. COMPONENT 1 – Submit one (1) original set
(To be submitted in a separate sealed envelope along with the Technical Proposal)

☐ 1P Proposal Cover Letter

☐ 2P Acknowledgment of Addenda

☐ 3P Affirmation Form

2. COMPONENT 2A – Submit one (1) original and four (4) copies
(To be submitted in a separate sealed envelope along with the Technical Proposal)

☐ 1T Quality and Relevance of Prior Experience (Firm in General)

☐ 2T Proposed Staff (Resumes)/Experience

☐ 3T Overall Project Understanding & Approach

☐ 4T Job Titles and Hours Proposed

☐ 5T NYCDOT Workload Disclosure (2 pgs.)

3. COMPONENT 2B - Submit ONLY one (1) original set

☐ SCHEDULE B: SUBCONTRACTOR UTILIZATION PLAN
(To be submitted in a separate sealed envelope along with the Technical Proposal)

4. COMPONENT 2C: – Submit one (1) original and four (4) copies

☐ Proposal Narrative

5. COMPONENT 2D - LOCAL LAW 34 –"Doing Business Data Form"-
Submit ONLY one (1) original set

☐ Doing Business Data Form
(To be submitted in a separate sealed envelope along with the Technical Proposal)

6. COMPONENT 3: COST PROPOSAL – Submit ONLY one (1) original set in a separate sealed envelope along with the Technical Proposal

☐ 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 (CSC) will evaluate and rate all responsive proposals based on the Evaluation Criteria prescribed below.

In order to establish the technical evaluation ranking, the ratings by the evaluation committee members will be added and averaged for each proposing firm. Upon completion of the evaluation of the Technical Proposals, proposers will be ranked in descending order of score.

Based on these rankings, a "short-list" will be established of only those proposers who submit highly relevant and technically viable proposals with relevant and adequate experience, overall project understanding, approach and innovativeness in all project areas. Proposers not included on the "short-list" will not be further considered. The Agency reserves the right to limit the number of firms shortlisted.

The Agency reserves the right to conduct site visits and/or interviews and/or to request that proposers make 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.

The agency shall rank proposers by technical merit and pursuant to City's Quality Based Selection Method (QBS). The price proposal of ONLY the highest technically ranked firm will be opened and reviewed by the consultant selection committee (CSC) to determine whether it is responsive or non-responsive. Following analysis of the responsive price proposal by the CSC, the Agency then consider price by negotiating a fair and reasonable price with the highest technically ranked proposer. In the event that the agency has chosen to negotiate a fair and reasonable price with the highest ranked proposer, if such a fee is not successfully negotiated, the agency may conclude such negotiations, and enter into negotiations with the next ranked vendor(s), as necessary.

All unopened price proposals will be returned back to the respective proposers upon registration of the contract.

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

Each technical proposal will be evaluated based on the following technical criteria and weights:

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	05%
3. Staff Availability	
- Workload – Staff Availability	05%
	100%

C. Basis for Contract Award

A contract will be awarded 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 which are set forth in this RFP. Contract award shall be subject to the timely completion of contract negotiations between the Agency and the selected proposer.

D. Conflict of Interest

In the case that the proposer was the prime consultant or a sub-consultant on the TD/CSS for the Component Rehabilitation of 10 Bridges, 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. A copy of the applicable document is available through the Authorized Agency Contact Person.

D. Contract Award. Contract award is subject to each of the following applicable conditions and any others that may apply: New York City Fair Share Criteria; New York City MacBride Principles Law; submission by the proposer of the requisite 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/Affidavits 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 the PPB 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 PPB Rules, it is the City's policy 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. All information not so identified may be disclosed by the City.

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. Vendex Fees. Pursuant to PPB Rule 2-08(f)(2), the contractor will be charged a fee for the administration of the VENDEX system, including the Vendor Name Check process, if a Vendor Name Check review is required to be conducted by the Department of Investigation. The contractor shall also be required to pay the applicable required fees for any of its subcontractors for which Vendor Name Check reviews are required. The fee(s) will be deducted from payments made to the contractor under the contract. For contracts with an estimated value of less than or equal to $1,000,000, the fee will be $175. For contracts with an estimated value of greater than $1,000,000, the fee will be $350. The estimated value for each contract resulting from this RFP is estimated to be (less than or equal to $1 million) (above $1 million)**.**

M. Charter Section 312(a) Certification. [IF APPLICABLE] The Agency has determined that the contract(s) to be awarded through this Request for Proposals **(E-Pin: 84110P0020, Pin: 84110BKBR541)** for Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges, Borough of Brooklyn will not directly result in the displacement of any New York City employee.

_____ _____

(Commissioner) (Agency Chief Contracting Officer) Date

Message from the NYC Vendor Enrollment Center: ***Get on mailing lists for NYC contract opportunities!***

Submit a NYC-FMS Vendor Application - Call 212/857-1680

SECTION VII

ATTACHMENTS

A) Proposed Contractual Agreement &
Resident Engineering Inspection Instruction Manual

B) General Provisions (Appendix A) &
Macbride Principles Provisions

C) Procedural Forms Packet

D) Proposal Forms Packet

E) Cost Proposal Forms Packet

F) Minority /Women Owned Business Enterprise Program
(To be submitted in a separate sealed envelope along with Technical Proposal)

G) Vendex Requirements & Confirmation of Vendex Compliance

H) Local Law 34 - Doing Business Data Form
(To be submitted in a separate sealed envelope along with Technical Proposal)

SECTION VII

A) PROPOSED CONTRACTUAL AGREEMENT

RESIDENT ENGINEERING INSPECTION SERVICES IN CONNECTION WITH

COMPONENT REHABILITATION OF 10 BRIDGES

CONTRACT NO.: HBCR01AA

E-PIN: 84110P0020

PIN: 84110BKBR541

Location	Bin. No
Crown Street Bridge Over Franklin Street Shuttle	2-24323-0
5th Avenue Bridge Over Greenwood Cemetery Access Road	2-24448-0
4th Avenue Bridge Over Belt Parkway	2-23127-0
Bedford Avenue Bridge Over LIRR	2-24349-0
Cleft Ridge Span (Prospect Park) Bridge Over Park Road	2-24406-0
Carroll Street Over Gowanus Canal	2-24026-0
BQE SB Bridge Over Adams Street	2-23045-0
Belt Parkway Bridge Over Bedford Avenue	2-23142-9
Union Street Bridge Over BQE	2-23036-0
BQE NB Bridge Over Adams Street	2-23044-0

Specific Requirements of the Contract for the Services of the Consultant

RESIDENT ENGINEERING INSPECTION SERVICES

IN CONNECTION WITH

COMPONENT REHABILITATION OF 10 BRIDGES

BOROUGH OF BROOKLYN

BIN: 2-24323-0, 2-24448-0, 2-23127-0, 2-24349-0, 2-24406-0, 2-24026-0, 2-23045-0, 2-23142-9, 2-23036-0, 2-23044-0

CONTRACT NO.: HBCR01AA

E-PIN: 84110P0020

PIN: 84110BKBR541

Scope of Work

Brief Description of Construction Scope of Work:

1. Concrete repair/ replace/ new: spalls, deck & under-deck, sidewalk, curb, parapet, fascia, pier, pedestal, bridge seat, abutment, wing wall and approaches.
2. Steel repair/replace/new: Girder, beam, stringer, railing, re-bar and fences.
3. Localized Painting
4. Bearing repair/ replace, anchor bolt new.
5. Masonry, brick and stone repair, replace / new.
6. Electrical repairs
7. Milling, resurfacing and water proofing.
8. Clearing, cleaning and Drainage improvements.
9. Stairway and landing repair/ replace.
10. Joints repair/ replace.
11. MPT implementation.
12. Misc. repairs.

General bridge description and construction scope of work by bridge is provided in the following pages.

Special Notice:

The REI shall provide Constructability Review of the Design Documents of the Component Rehabilitation of 10 Bridges Brooklyn to ensure feasibility and minimize problem during construction in accordance with requirements of NYSDOT's EI 99-013

Work Zone Traffic Control (WZT) & Community Liasion:

WZT plans approved by OCMC and Bridges shall be adhered to strictly and at all stage of construction. Community liaison as directed by Bridges shall be part of REI services.

Target Sub Contracting and M/WBE %age Goal:

The target subcontracting percentage for REI Contract is 30.5%.

Individual goals on MWBE sub contracting are as given below:

Black American	9%
Hispanic American	5%
Caucasian Female	16.5%

General Bridge Description and Construction Project Scope by Bridge:

1. CROWN STREET BRIDGE OVER FRANKLIN STREET SHUTTLE, 2-24323-0:
The structure is a 3-span bridge that carries one travel lane and one parking lane in each direction. The bridge has protective screening and a bridge railing on the south side. There is a building adjacent to the bridge north fascia. The bridge superstructure consists of structural steel beams supporting a reinforced concrete deck and high density concrete overlay. There is an armored joint at each end of bridge. The bridge substructure consists of two concrete abutments and wingwalls and two concrete encased steel piers.

The bridge carries the following utilities: six (6) Con Ed electrical conduits and one (1) Gas pipe.

The Scope of rehabilitation work includes but is not limited to the following:
a. Seal cracks in concrete overlay on top of bridge.
b. Replace compression seal above abutments.
c. Repair of concrete deterioration of abutments, piers, and crashwalls.
d. Clean abutments, piers, and crashwalls.
e. Provide an anti-graffiti protection coating at abutments, piers, and crashwalls.
f. Clean existing gutters.

Estimated Construction Duration: 2 months

2. 5TH AVENUE BRIDGE OVER GREENWOOD CEMETERY ACCESS ROAD, 2-24448-0:
The structure is a one span masonry arch bridge. The brick arch can be classified as a gothic style arch. The bridge carries one travel lane and one parking lane in each direction. The sidewalk consists of grass and dirt on both side of a 5 feet wide concrete walkway. There is a stone parapet with protective screening on each side of bridge. The roadway wearing surface is asphalt. There are no visible joints at the top of the bridge. The bridge substructure consists of two abutments and four wingwalls.

There are water main pipes encased in concrete crossing the bridge under the northbound traffic.

The Scope of rehabilitation work includes but is not limited to the following:
a. Remove existing asphalt from top of bridge and approach slabs and replace with two asphalt layers (top and binder courses). Repair the top of exposed concrete slab. Clean and seal cracks in asphalt at both approach pavements.
b. Remove existing 5 ft. wide concrete sidewalk on both sides of the bridge. Excavate the area to accommodate the new 13 ft. wide concrete sidewalks and base. Place a lightweight concrete base, a waterproofing membrane and a lightweight concrete sidewalk on each side of bridge.
c. Replace existing stone curb with cast-in-place concrete curb.
d. Clean, repair, tuck point and restore the stone masonry.
e. Rehabilitate the brick arch as shown on drawings and/or AOBE.
f. Repair deteriorated concrete encasement of water main utilities under the bridge.

Estimated Construction Duration**:** 2 months

3. 4TH AVENUE BRIDGE OVER BELT PARKWAY, 2-23127-0:
The structure is a 2 span concrete rigid frame. The bridge carries a travel lane in each direction, divided by a concrete median. There are no parking lanes on the bridge and approaches. The west sidewalk is wide. The east sidewalk is narrow. There is a concrete parapet on each side of the bridge. The top of bridge has an asphalt overlay

on top of the existing. The bridge makes a skew of 21.52 degree with the Belt Parkway. Both bridge approach slabs are connected to approach pavements by presure relief joints. There are no joints at abutments or pier. The bridge substructure consists of two concrete abutments and wingwalls and one reinforced concrete pier.

The Scope of rehabilitation work includes but is not limited to the following:
a. Remove the existing asphalt concrete on bridge and approaches. Repair top of concrete slabs, as required. Install a waterproofing membrane and two layers of asphalt (binder and top asphalt).
b. Clean pressure relief joints and replace the sealing element.
c. Repair concrete deteriorated areas at sidewalks and median, and apply a sealing protective coating.
d. Repair concrete deteriorated areas at abutments and pier. Remove safety netting at the location of underdeck areas to be repaired. Repair the concrete underdeck as shown on drawings. Re-install safety netting.
e. Clean masonry surfaces and apply an anti-graffiti protective coating.

Estimated Construction Duration: 4 months

4. BEDFORD AVENUE BRIDGE OVER LIRR, 2-24349-0:
The structure is a 6-span bridge. The bridge carries one travel lane in each direction. There is a parking lane and a bicycle lane on each side of the bridge. There is a concrete parapets on each side of the bridge. The bridge superstructure consists of four spans prestressed concrete solid slab units and of two spans of concrete encased steel beams. There are two expansion joints, one at the south end of the bridge and the other above pier 4. The structural slab has an integral wearing surface. The bridge substructure consists of two concrete abutments, wingwalls and five piers.

The bridge carries eight (8) Con Ed conduits and one (1) gas pipe.

The Scope of rehabilitation work includes but is not limited to the following:
a. Seal/repair cracks, spalls, etc. at deck, abutments and piers.
b. Replace compression seals.
c. Clean concrete and apply an anti-graffiti protective coating on abutments and piers.

Estimated Construction Duration: 5 months

5. CLEFT RIDGE SPAN (PROSPECT PARK) BRIDGE OVER PARK ROAD, 2-24406-0:
The structure is a one span semi-circular arch type. The bridge carries one travel lane in each direction. There are no parking lanes on the bridge. There are vegetation areas between the roadway and the parapet, on both sides of the bridge. There is a cast stone parapet on each side of the bridge with no protective screening. The roadway wearing surface is asphalt.

There are no utilities below deck.

The Scope of rehabilitation work includes but is not limited to the following:
a. Repair the asphalt wearing surface.
b. Repair spalled and cracked concrete at wingwalls.
c. Clean the bridge and provide an anti graffiti protective coating.
d. Excavate soil above the vault at three (3) locations and install a new waterproofing membrane. Restore the under drain system behind the bridge fascias.
e. Remove all shrubs and bushes above the vault to avoid root penetration into the waterproofing. Sod the area above the vault.

Estimated Construction Duration: 2 months

6. CARROLL STREET OVER GOWANUS CANAL, 2-24026-0:
The structure is a two span movable–retractile type bridge. The bridge roadway carries a single travel lane in the east direction. There are no parking lanes on the bridge. There is a sidewalk on each side of the bridge. The bridge superstructure consists of two built up girders spanning over the Gowanus canal. The west end and the middle of the superstructure is supported by two carriage tracks on rails, supported by concrete foundations. The east end of the superstructure is supported by two bearings, sitting on top of the east abutment. The floor beams are framed into the main girders. The stringers are continuos and placed on top of the floor beams. The top of the roadway is made of three layers of timber planks. In the retracted position, the east end of the superstructure is supported by the overhead steel stay frame and the eye-bar stay cables.

At the west, the substructure consists of a large bulkhead containing the following:
- At the bulkhead west end: There is the west abutment wall (not supporting the superstructure) and two carriage tracks on rail supporting the west end of the superstructure. The rail is attached to the top of a concrete cap beam foundation on piles.
- At the bulkhead east end: There are two carriage tracks on rails and on separate foundations, supporting the middle of the superstructure. The rails are attached to the top of a concrete cap beam foundations on piles.
At the east, the substructure consists of the following:
-East abutment, which is a timber crib bulkhead. There are two bearings on concrete pedestals supporting the east end of superstructure. Concrete pedestals are placed on the top a concrete slab sitting on top of the timber crib bulkhead.

The Scope of rehabilitation work includes but is not limited to the following:
a. Replace deteriorated timber deck as shown on drawings and/or as ordered by engineer.
b. Restore expansion joints of bridge.
c. Clean masonry walls at west abutment.
d. Replace impacted stiffeners, angles, plates etc. at the main girders.
e. Clean and paint structural steel at the locations of deterioration shown on drawings and /or AOBE.
f. Reset roadway paving units at west abutment and repair/replace concrete sidewalks at both approaches. Replace the concrete beam above west abutment.
g. Install new timber curbs on both sides of the roadway on bridge.
h. Install new rubber dock fenders at both abutments.

Estimated Construction Duration: 4 months

7. BQE SB BRIDGE OVER ADAMS STREET, 2-23045-0:
The structure is a one-span reinforced concrete arch bridge. The bridge carries northbound two travel lanes. The third travel lane is closed. There is a safetywalk on each side of bridge. The bridge superstructure is a reinforced concrete arch. The bridge substructure consists of two concrete abutments rigidly connected to the superstructure.

Attached to the bridge are electrical conduits that feed the lamp posts installed on the north side of the roadway.

The Scope of rehabilitation work includes but is not limited to the following:
a. Clean and seal cracks in asphalt overlay on top of bridge and approaches.
b. Remove and store safety netting. Remove unsound concrete and repair the underdeck-concrete deteriorated areas as required. Re-install safety netting.
c. Clean and seal cracks in brick finish at both abutments. Clean the brick finish at abutments and wingwalls and apply an anti-graffiti protective coating.
d. Clean scuppers.
e. Remove and store deteriorated lamppost. Install a new lamppost.

Estimated Construction Duration: 2 months

8. BELT PARKWAY BRIDGE OVER BEDFORD AVENUE, 2-23142-9:
The structure is a the span steel stringer. The bridge carries three travel lanes in each direction. There is a shoulder and a safetywalk on each side of the bridge. The concrete median that devides the eastbound and westbound traffic has guide railing on both sides. The bridge superstructure consists of steel framing. The bridge substructure consists of two concrete abutments, wingwalls, and 2 lines of piers with 4 column each. Each column has a reinforced concrete core covered by stone finish.
The bridge carries small electrical conduits that feed the lamp posts installed on the bridge concrete median and for the illumination under the bridge.

The Scope of rehabilitation work includes but is not limited to the following:
a. Replace asphalt concrete over expansion joints, and seal cracks in asphalt overlay. Place a new waterproofing membrane.
b. Clean and paint replaced/ rehabilitated steel items - structural steel. Clean all bearings.
c. Replace compression seals at abutments.
d. Replace deteriorated structural steel (brackets, angles & bolts).
e. Repair concrete deteriorated areas.
f. Remove and dispose of existing bridge railing.

g. Clean masonry; apply an anti-graffiti protective coating on abutments, wingwalls and piers.
h. Clean scuppers.

Estimated Construction Duration: 9 months

9. UNION STREET BRIDGE OVER BQE, 2-23036-0:
The structure is a two span steel continuous stringer. The bridge carries eastbound two travel lanes. There is an unmarked parking lane on each side of the bridge. There is a sidewalk, a railing and protective screening on each side of the bridge.
The superstructure consists of steel beams supporting concrete deck. The approach slabs wearing surface is asphalt. Both approach slabs are separated from bridge superstructure by armored joints. There is no joint in the superstructure above the pier. The bridge substructure consists of concrete abutments, wingwalls and one reinforced concrete pier.

The bridge carries the following utilities: steel water pipe encased in concrete and a gas pipe.

The Scope of rehabilitation work shall include but is not be limited to the following:
a. Remove cement concrete overlay and replace with overlay concrete class DP, friction type 1.
b. Replace compression seals at abutments.
c. Repair concrete deteriorated areas shown on drawings.
d. Replace corroded rivets with ASTM A325 HSB of the same diameter
e. Paint structural steel as shown on drawings and/or AOBE.
f. Clean abutments and pier walls.
g. Restore bearings at locations shown on plans.
h. Install safety netting at water main concrete.

Estimated Construction Duration: 6 months

10. BQE NB BRIDGE OVER ADAMS STREET, 2-23044-0:
The structure is a one-span reinforced concrete arch. The bridge carries southbound three travel lanes. There is a safetywalk on each side of bridge. The bridge superstructure consists of a concrete reinforced arch. The bridge substructure consists of two concrete abutments rigid connected to the superstructure.

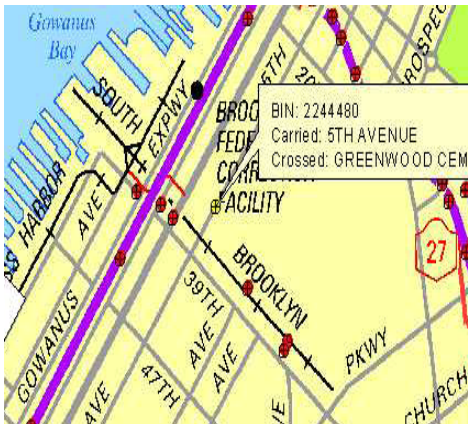
The bridge carries electrical conduit that feed the lamp posts installed on the north side of the roadway.

The Scope of rehabilitation work includes but is not limited to the following:
a. Clean and seal cracks in asphalt overlay on top of bridge and approaches.
b. Remove and store safety netting. Remove unsound concrete and repair the underdeck concrete deteriorated areas as required. Re-install the safety netting.
c. Clean and seal cracks in brick finish at both abutments. Clean the brick finish at abutments and wingwalls and apply an anti-graffiti protective coating.
d. Clean scupper.
e. Restore the bridge expansion joint system between NB and SB structures.

Estimated Construction Duration: 2 months

LOCATION MAP: HBCR01AA – COMPONENT REHAB. OF 10 BRIDGES; BROOKLYN BOROUGH

BIN 2-24323-0
Crown street / Franklin Shuttle



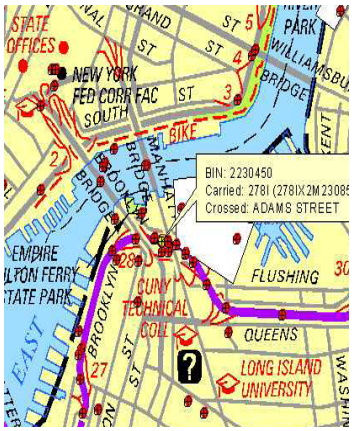
BIN 2-24448-0
5th Avenue / Greenwood Cemetery Access

BIN 223127-0
4th Avenue / Belt Parkway

BIN 2-24349-0
Bedford Ave. / LIRR

BIN 2-24406-0
Cleft Ridge span / Park Road

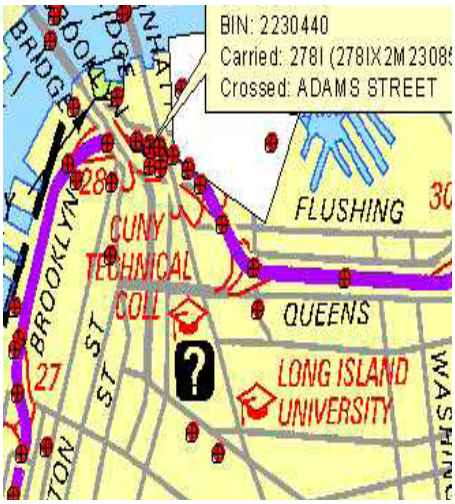
BIN 2-24026-0
Carroll Street Br. / Gowanus Canal



BIN 2-23045-0
BQE over Adams Street (S/B)

BIN 2-23142-9
Belt Parkway Bridge over Bedford Avenue.

BIN 2-23036-0
Union Street Bridge over BQE



BIN 2-23044-0
BQE over Adams Street (N/B)

To:		New York State Department of Transportation ENGINEERING INSTRUCTION	EI 99-013
Title: **CONSTRUCTABILITY REVIEW**			
Distribution: • Manufacturers (18) • Main Office (30) • Local Govt. (31) • Regions/Agencies (32) • Surveyors (33) • Consultants (34) • Contractors (39) • _____( )	Approved: /s/ J. F. Tynan James F. Tynan, Construction Division	04/26/99 Date	

This Engineering Instruction (EI) supersedes EI 91-30. It is anticipated that this guidance will be contained in a future update to the administrative section of the Construction Supervision Manual

PURPOSE. This EI updates the Department's policy for conducting constructability reviews.

EFFECTIVE DATE. This EI is effective immediately.

BACKGROUND. The Department recognizes the need for contract documents that will ensure rational bids and minimize problems during construction. The Constructability Review establishes a formal as well as a routine plan review. A significant aspect of developing high-quality contract documents is to incorporate review processes in all phases of a project to assess its constructability. Constructability reviews have the potential to minimize the number and magnitude of changes, disputes, cost overruns, and delays during construction.

A successful constructability review process must follow an established methodology similar to value engineering. The process must be flexible enough to be applied to all types of projects handled by the Department. Furthermore, the process must address the critical issues impacting today's transportation construction projects such as, ease of construction, environmental factors, construction phasing and scheduling, and project safety. To obtain maximum benefit from a constructability review, it must be initiated early enough to give the Regional Construction Group and others sufficient time to review the project, and then sufficient time to allow the designers to incorporate the recommended revisions. It is recommended the constructability review be conducted not later than the Advance Detailed Plans (ADP). The ADP phase provides the reviewers nearly complete detailed plans for Constructability Review. For large projects the Region may want to consider doing reviews during earlier phases of the design.

The Constructability Review Process (CRP) must be flexible in order to adapt it to specific project characteristics and requirements. Similarly, the CRP can be modified to be consistent with the Regions' approach to project development, policies, and resource availability. A key factor in determining the scope or type of the CRP is project complexity. Typically, total project cost and total work-hour effort reflects a level of complexity. Projects located in an urban setting and those involving reconstruction or grade separation are often more complex. Projects that involve many interfaces with other government agencies, utilities, the public, local officials etc. may indicate a higher level of complexity.

Complex projects require more formalized constructability practices. Based on project complexity, the CRP can be classified into three levels of formality:

- Informal,
- Semiformal, and
- Formal

For the simplest of projects, an informal review consists of the review by one or two staff from the Regional Construction Group. This could involve the Construction Supervisor or a staff person assigned by the Regional Construction Engineer to do the review.

For moderately complex projects, a semiformal review consists of the review by a team assigned from within the Regional Construction Group. This could involve the Construction Supervisor, Engineer-In-Charge, Safety Coordinator, etc.

For the most complex projects, a formal review will be performed by an Independent Review Team assigned by the Regional Construction Engineer. The Independent Review team is described in more detail under the section herein entitled INDEPENDENT CONSTRUCTABILITY REVIEW.

SUMMARY OF CHANGES. The primary changes to the current procedure are 1.) establishing selection criteria based on project complexity 2.) identification of the (ADP) as the specific review time during design to ensure sufficient time to make changes if necessary 3.) the development of a constructability review checklist to be used as a guideline by the reviewers, and 4.) transferring the responsibility of determining the need for an Independent Review Team from the Regional Director to the Regional Construction Engineer.

TRANSMITTED MATERIALS.
Checklist for Constructability Review

ACTIONS BY REGIONAL CONSTRUCTION GROUP. The Regional Construction Group will coordinate the CRP so that it is consistent with the review process outlined in the Design Procedure Manual.

Regional Construction Groups will review plans and will consider the "Constructability" of all projects commensurate with project cost, complexity (as outlined above) and risk. The Regional Construction Groups will use the "CHECKLIST FOR CONSTRUCTABILITY REVIEW" as the minimum standard for what to review, when conducting a Constructability review.

When utilizing the checklist the reviewer(s) should address two fundamental questions, can the project be bid rationally and can it be built without significant contract change? The Constructability review should include consideration of economics, availability of materials, site restrictions, local conditions that may affect the construction process, environmental considerations, maintenance and protection of traffic and construction safety. Each of these components is defined on the attached checklist along with some pertinent criteria that should be addressed during design development. The questions listed under each component are not intended to be mutually exclusive nor are they meant to be all inclusive.

RESPONSIBILITY FOR REVIEWS. The Regional Construction Engineer will be responsible for assuring that Regional Construction Groups have qualified construction engineers assigned to a plan review function and that the primary objective of that plan review process is the "constructability" of the proposed plans. In most cases, this function can be performed within the Regional Construction Group as a routine responsibility. Often, the Construction Supervisor (Job Manager) is assigned this responsibility. In certain other cases, a Regional Construction Engineer may determine that an Independent Constructability Review is required,

utilizing some combination of resources from within or Consultants. The Construction Division will be notified of the initiation of each Independent Review, and the Regional Director will be kept informed of the progress of the review. Should the need arise for outside assistance, consultant assistance may be obtained through the Construction Division. Consultant services could be acquired through a Design Services Agreement, new designation, or in rare instances, through the project design agreement.

INDEPENDENT CONSTRUCTABILITY REVIEW. An independent constructability review is a formal review of all project data and documents by a specially selected independent team.

The independent constructability review team will be comprised of individuals with experience in the various aspects of design and construction required for the project at hand. The size of the team will depend on the complexity, regional significance or state significance, and the number of experts from other program areas needed to conduct an effective and timely review. The team will be chaired by a staff person from the Regional Construction Group selected by the Regional Construction Engineer.

TIMING OF REVIEWS. Constructability reviews for all projects should be performed at such a time when the design details are sufficiently completed to facilitate a meaningful review. The review should be conducted no later than the ADP phase. For large projects the Region may want to conduct the review during earlier phases of project design. The Constructability review should be coordinated with the Value Engineering review conducted during design, to ensure that the alternative construction methods adopted as a result of the Value Engineering review are considered when performing the Constructability review. Additionally, the designer must be given sufficient time to incorporate the recommended changes, if they are appropriate.

SCOPE AND DOCUMENTATION OF REVIEW. The individuals selected to perform the constructability review, i.e., construction group staff or the independent review team, will receive a thorough briefing of the project by the project designer and examine the project site (if appropriate). They should receive all available pertinent reference materials, including the design approval document, advanced detail plans, any special specifications or special notes, the construction schedule, Baseline Data provided on CONR 9I, ECOPAC, utility & railroad agreements if available. A reevaluation of decisions made during design phases I-IV should not to be undertaken as part of the constructability review, unless major issues are found. The reviewer(s) will address as a minimum, each of the items listed in the "CHECKLIST FOR CONSTRUCTABILITY REVIEW" of this EI that applies to the project. Additional criteria concerning the bidding or building of the project will be identified by the reviewers on a project by project basis.

Constructability issues that are identified by the reviewer and/or review team will be documented in a memorandum to the Regional Design Engineer and the Project Manager, who will share the information with the RPPM to assess program implications. After review and consideration the Regional Design Engineer, will document the reasons for their course of action concerning each recommendation in a memorandum to the Regional Construction Group, Project Manager and the RPPM. For reviews conducted by an Independent Review team, a copy of the above transmittals will be sent to the Construction Division. .

Constructability reviews performed by independent review teams must be documented in a report prepared addressing , at a minimum the topics outlined in the checklist. The completed report will be submitted to the Regional Director, Regional Design Engineer, Project Manager and the RPPM for their consideration regarding changes to the contract documents. An informational copy must also be provided to the Main Office Construction Division and the Design Division. After review and consideration of the recommendations contained in the report, the Regional Design Engineer must document the reasons for their course of action concerning each recommendation and provide a copy to the independent review team, RPPM, Regional Director, Construction Division, and the Design Division.

ACTIONS BY THE MAIN OFFICE. The "CHECKLIST FOR CONSTRUCTABILITY REVIEW." will be continuously updated based on project site visits conducted by the Construction Division's Engineering Liaisons during construction , Regional feedback, and disputed work reviews.

COST IMPACT. Constructability reviews as currently conducted should reduce the number of change orders, delays and disputes during construction, resulting in a net savings for the State. The changes introduced in this EI will have a negligible additional cost to the capital construction program.

CONTACT PERSON. Questions regarding this Engineering Instruction concerning interpretation should be directed to Lou DiLillo. Questions concerning the project related issues should be directed to John Grady. They may be reached at (518) 457-6475.

CHECKLIST
FOR
CONSTRUCTABILITY REVIEW

PIN # _____ Reviewer(s) _____
D# _____ _____
Designer _____ _____
Projected Letting Date _____ _____
Date Review Started_____ _____
Date Review Completed_____ _____

The following is a checklist of project items (if applicable to the project) that need to be reviewed during a Constructability Review :

	Description	**YES**	**NO**	**NA**	**MORE INFO NEEDED**
I.	**BIDDABILITY**				
	The clarity of the final plan and proposal to the bidders so that they may submit a fair and accurate bid.				
1	Are bidders unnecessarily restricted in their bids, or has the appropriate degree of flexibility been included in the bidding documents?				
2	Information sufficient to avoid major field changes?				
3	Coordination and agreements with appropriate agencies/parties?				
4	Permits been identified and sufficient time allowed to secure?				
5	MP&T plans adequate and complete?				
6	MP&T plans too restrictive?				
7	Items appropriate?				
8	Items omitted?				
9	Cross referencing between various contract documents consistent?				

CHECKLIST
FOR
CONSTRUCTABILITY REVIEW

	Description	YES	NO	NA	MORE INFO NEEDED
II.	**BUILDABILITY**				
	The accuracy and completeness of the contract plans so that the design as shown on the final plans can be built.				
A.	**Site Investigation**				
1	Sufficient field investigation been done to ascertain that contract work can be performed as shown on plans?				
2	Current site survey (horizontal & vertical controls)?				
3	Subsurface exploration?				
4	Utility investigation?				
5	Current traffic counts?				
6	Structural inspection?				
7	Emergency/interim structural repairs been considered?				
B.	**Right of Way**				
1	Sufficient R.O.W. available for all operations				
2	Equipment, material and hazardous waste storage?				
3	Staging?				
4	Field Office?				
5	Access requirements?				
6	Access to work areas?				
C.	**Construction Staging**				
1	Phased to provide minimum number of stages and reasonable work areas and access?				
2	Are there areas with restricted access?				
3	Are widths of work zones and travel lanes adequate?				

CHECKLIST
FOR
CONSTRUCTABILITY REVIEW

	Description	YES	NO	NA	MORE INFO NEEDED
4	Does staging cause special conditions (i.e., structural adequacy/stability)?				
5	Proposed adjacent contracts, restrictions, constraints identified and accounted for?				
6	Can the details as shown on the plans be constructed using standard industry practices, operations and equipment?				
D.	**M&PT/Traffic Control**				
1	M&PT requirements realistic for site conditions?				
2	Are lane closures reasonable for traffic volumes?				
3	Adequate provisions for access for pedestrians and abutting properties?				
4	Signing and traffic control adequate?				
5	Can construction operations be carried out safely under M&PT and staging?				
6	Design adequate for averting delays /congestion?				
7	Is a detour necessary for averting delays /congestion?				
E.	**Schedule**				
1	Length of time and production rates for work reasonable?				
2	Is sequence of construction reasonable?				
3	Seasonal limits on construction operations?				
4	Utility relocation schedule reasonable?				
5	Regulatory permit restrictions?				
6	Processing of shop drawings and related approvals?				
7	Materials ordering, fabrication and delivery requirements				
8	Restricted hours impact on production?				

CHECKLIST
FOR
CONSTRUCTABILITY REVIEW

	Description	**YES**	**NO**	**NA**	**MORE INFO NEEDED**
9	All necessary construction operations identified?				
10	Relationship with adjacent contracts?				
11	Impact of additional work (emergency structural repairs, additional quantities of concrete/ steel repair)?				
12	Time related specs - completion / milestone realistic?				
13	Night and weekend work proposed, and impacts considered?				
F.	**Special Materials / Conditions**				
1	Pertinent provisions and restrictions clearly indicated?				
2	Any special (unique / proprietary) materials, methods of technologies required for contract?				
3	Special coordination required, RR, Permits, Regulatory				
4	Presence of asbestos, hazardous waste or toxic materials?				
5	Safety requirements, fall protection, electric lines, and other utilities, RR requirements				
6	Winter concreting and the schedule for delivery of concrete?				

Additional Comments:_____

CHECKLIST
FOR
CONSTRUCTABILITY REVIEW

Reviewers:

Signature	Title	Date
Signature	Title	Date
Signature	Title	Date
Signature	Title	Date
Signature	Title	Date
Signature	Title	Date

I. 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 sub-consultants, 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; including all MWBE provisions 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 Bridge Officer for the Division of Bridges. The Resident Engineer shall be a Professional Engineer licensed in the State of New York. The remainder of the Consultant Resident Engineering 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 NY State Professional Engineering Licensure Board. Violation of the Engineering Licensure Law is a serious offense and carries maximum penalty of 4 years of jail time.

No substitutions for approved employees shall be permitted until the resume of the replacement employee is approved. The Commissioner, or duly authorized representative, shall have the right at all times to inspect the work of the Consultant and the Construction Contractor(s).

The following information is required for all of the consultant's employees that require access to the work area and who have not been screened pursuant to security zone/exclusionary area requirements: name, date of birth, alien registration number and social security number. The information will be submitted to

the Coast Guard for background screening purposes. Social security numbers will not be submitted if a written request is received along with the information that the social security number is not to be submitted. Failure to submit a social security number may result in a delay in the Coast Guard's assessment which may prevent access to restricted areas within the work area.

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 sub-consultant 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 consultant (PO Liaison) to support the project with the distribution of timely, accurate, and constructive information. The PO Liaison 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 PO Liaison 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 PO Liaison 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 sub-consultant 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 entities having jurisdiction such as the Transit Authority and OCMC.

e. Maintain telephone and visitor logs.

f. The primary goal of the PO Liaison will be the identification of potential problems/issues concerning the project. Thereafter, the PO Liaison will be responsible for notification of project concerns to the community. Also, the PO Liaison 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 PO Liaison. 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.

F. DOT anticipates in this project a total of 3760 hours for the Office Engineer/ Part Inspector – NIII, employed by Prime / Sub Consultant and a total of 1068 hours for Community Liaison, employed by Prime/ Sub Consultant.

The distribution of hours for each of these titles for different Bridges in this Contract is indicated on Form 4T and cost proposal forms.

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 Bridge Officer 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 Bridge Officer 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, but not be limited to, 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 Bridge Officer 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 Bridge Officer 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 M/WBE and 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 M/WBE issues from the ACCO's Office of Contract Compliance.

28. Establish and maintain project accounts in accordance with all applicable Comptroller Directives 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 (l5) 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 Resident Engineer 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 sub-consultant, 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 and furnish 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 "Specifications for the Preparation of Record Drawings and Electronic Media" attached in this contract (see Attachment No. 2).

45. The Consultant shall provide a dedicated “Public Outreach Liaison” as describe in section I. (E.), of these General Requirements.

46. The Consultant 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 Consultant 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 Consultant’s field office and copies forwarded to OCC.

48. The Consultant shall supply equipment for Engineer's field office such as computers and two way radio communication system etc. as specified in Attachment No. 3 of this contract.

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 Bridge Officer 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 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 technical field multiplier shall be applied to the direct technical salary costs of the Consultant and all Professional sub-consultants in connection with the project, and shall be considered as including provisions for indirect costs and profit. There shall be one multiplier, as follows:

Multiplier*	**Consultant Name**

A technical field multiplier is 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 costs of MTA Metrocards 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 supply of equipment services for Engineer's Field Office (such as computers and two way radio communication system, see Attachment No.3) 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. Sub-Contractors and sub-Consultants 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

Multiplier*	**Consultant Name**

* The agency will consider the proposed interim multiplier for establishing Total Contract Fee (including DTL, interim overhead & Maximum Profit of 10%). The interim multiplier will be based on currently available information on Consultant Company's overhead and profit. This multiplier is subject to audit and revision in accordance with applicable NYC Comptrollers' Directive on an annual basis when the actual overhead information for the respective year becomes available. Suitable adjustments to the previous payments will be made accordingly upon completion of contract and when multiplier information is available. As needed, the additional fund for the overhead and profit will be added via Change Order by the Agency at the discretion of the Agency.

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.

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 sub-consultants 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) To provide full coverage for field operations, the required overtime work must be authorized by the Commissioner. The Consultant shall be paid straight Direct Technical Labor (DTL) for additional actual hours worked times the technical field multiplier. The premium portion of the overtime (overtime premium) will be compensated without any 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 Bridge Officer 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) The Direct Technical Salary Cost times the technical field multiplier related to Resident Engineering Services and Finalization Services; plus Overtime Premium Pay and Principal's time shall not exceed $_____.

2) The total cost of out-of-pocket expenses for the project is not anticipated to exceed $ 80,800.00*, which is inclusive of $61,300.00 for Direct Non Salary Cost plus $19,500.00 for Constructability Review.

*The cost limitations for these out-of-pocket expenses are budgetary estimates only and have been established to cover work which may reasonable 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 9.01 of Appendix A.

F. OVERTIME

The need for overtime on a project must receive prior approval of the Commissioner, or duly authorized representative, the Chief Bridge Officer 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 Bridge Officer for the Division of Bridges. Overtime compensation will be paid in accordance with the following:

a) Personnel other Than Surveyors

Compensation shall be paid according to the following schedule and the Department's policy on overtime reimbursement for consultant employees, subject to an audit by the Department of Transportation and to a post audit by the Comptroller. In no event, shall the rate of overtime compensation exceed the Consultant's normal Company Policy relating to such compensation.

Overtime Compensation Schedule:

Level	Overtime Category
ASCE VI & above	A (No overtime compensation)
ASCE IV & V	B (Overtime compensation at straight time rate)
ASCE I, II & III	C (Overtime compensation at straight time rate x 1.5)
NICET I, II, III & IV	C (Overtime compensation at straight time rate x 1.5)

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: **1095 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 judgment 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 effect 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 Bridge Officer 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 be **55** consecutive calendar days after final completion of construction.

RESIDENT ENGINEERING INSPECTION

INSTRUCTION MANUAL

11/09

INDEX

	Page
RESPONSIBILITY	**1**
PRIOR TO CONSTRUCTION START	
Deliverables	**1,2**
Specifications	**2**
Resumes	**3**
DURING CONSTRUCTION, DAILY	
Maintenance & Protection of Traffic	**3**
Records	**4**
Call In	**4**
DURING CONSTRUCTION, PERIODICALLY	
Progress Meetings	**4**
DURING CONSTRUCTION – ON-GOING	
Prior to any new Operation	**5**
Field Directives	**5**
Subcontractors	**5**
Change Orders/Material / Substitutions	**5,6**
Overtime	**6**
Payments	**6**
Emergencies	**6**
Interviews	**6**
Correspondence	**6**
Pedestrian Ramps	**6**
Coordination	**7**
Renegotiable Items	**7**
Time Extension	**7**
Communications	**7**
Measurements	**7**
SPECIAL TOPICS FOR CONSULTANT ENGINEERS	**7**
SPECIAL NOTES FOR FEDERAL / STATE FUNDED PROJECTS	**8-11**
QUALITY ASSURANCE CHECKLIST	**12-13**
TYPICAL PROGRESS MEETING AGENDA	**14**
RESIDENT ENGINEER'S CERTIFICATION	**15**
ATTACHMENTS	
Attachment No. 1 **Hazardous Waste Management**	**1-10**
Attachment No. 2 **Specifications for the Preparation of Record Drawings and Electronic Media**	**1-15**
Attachment No. 3 **Equipment for Engineer's Field Office**	**1-3**

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.

PRIOR TO CONSTRUCTION START:

Deliverables (Cont.)

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 that the contractor 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 in or fax DOT Bridges at the start and end of each work day.

DURING CONSTRUCTION (Periodically)

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.

DURING CONSTRUCTION (On an on-going basis)

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".

DURING CONSTRUCTION (on an on-going basis)

Change Orders/Material Substitutions (continued)

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.

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.

DURING CONSTRUCTION (On an on-going basis)

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 and 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

SPECIAL NOTES FOR STATE OR FEDERAL FUNDED CONTRACTS

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)

SPECIAL NOTES FOR STATE OR FEDERAL FUNDED CONTRACTS

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.

SPECIAL NOTES FOR STATE OR FEDERAL FUNDED CONTRACTS

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.

QUALITY ASSURANCE CHECKLIST (continued)

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.

RESIDENT ENGINEER'S CERTIFICATION

On _____ I attended an orientation meeting at which the duties and responsibilities of Resident Engineers, as outlined on the forgoing checklist, were discussed in detail.

During the supplemental discussions, the following modifications (if any) were made to the checklist requirements.

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

Attach additional sheets if necessary.

I hereby certify that I fully understand the requirements and duties of my position and agree to abide by them without deviation.

_____
Signature

ATTACHMENT NO. 1

HAZARDOUS WASTE MANAGEMENT

ATTACHMENT NO. 1

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/m3 is observed, and the cause is not found and corrected so that the level is not reduced to below 450 ug/m3 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/m3 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/m3).

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 PM10 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 PM10 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 PM10 analysis outlined in 40 CFR 50, Appendices B, G. J for TSP and PM10 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 PM10 are based on the 24-hour National Ambient Air Quality Standard for particulate matter, which is 150 ug/m3 as a 24-hour average. The criterion of 450 ug/m3 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/m3 averaged over 90 days. The criterion of 4.5 ug/m3 minus twice background for TSP is the mathematical expression of achieving 1.5 ug/m3 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/m3 minus twice the background level during any eight-hour period on each day of lead paint removal and PM10 in the ambient air that may be affected by emissions from the operation shall not exceed 450 ug/m3 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/m3 minus twice the background, the TSP basic criterion is 4.5 ug/m3 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 site 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 ¾ 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 dionized 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 shoud 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.

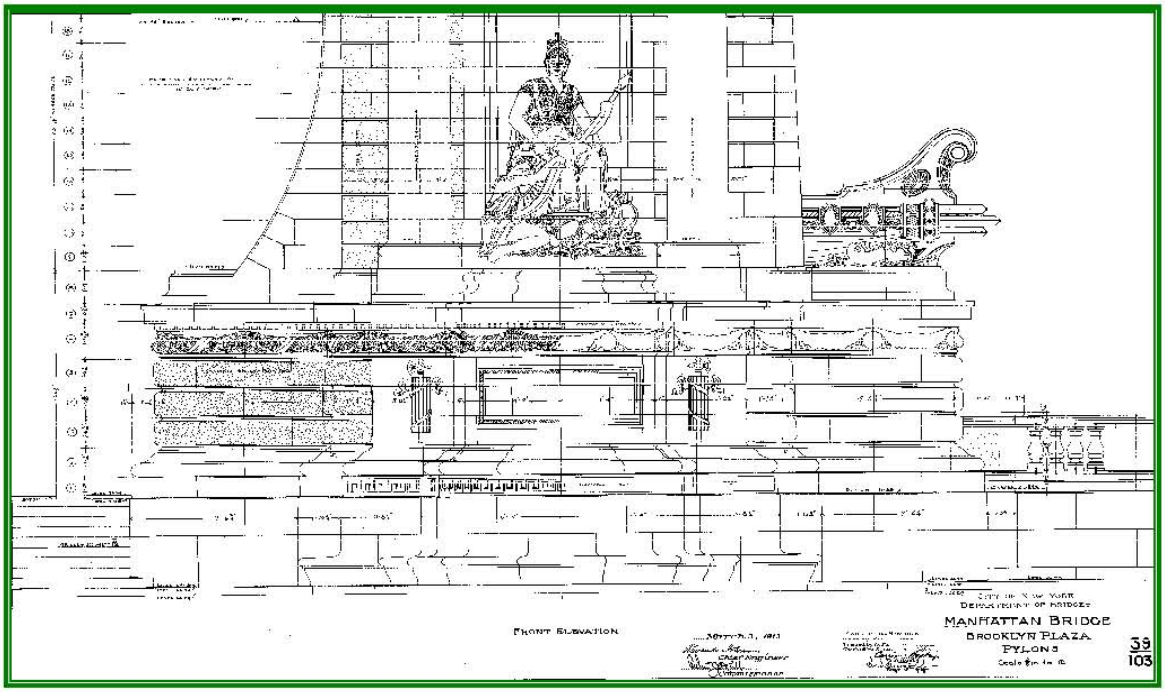
ATTACHMENT NO. 2

SPECIFICATIONS FOR THE PREPARATION OF RECORD DRAWINGS AND ELECTRONIC MEDIA

ATTACHMENT NO. 2

Department of Transportation

JANETTE SADIK-KHAN, Commissioner



SPECIFICATIONS

FOR THE PREPARATION OF RECORD DRAWINGS AND ELECTRONIC MEDIA

NYC Department of Transportation
Division of Bridges
Bureau of Engineering Review & Support
55 Water Street, 5th Floor WS
New York, NY 10041
T: 212.839.4036 F: 212.839.4925

www.nyc.gov/dot

NOVEMBER 2009

Table of Contents

Section 1: **Requirements for the preparation of record drawings…..…….. 3**

1.1 Introduction..... 3
1.2 Final submittals and review process 3
1.3 General requirements..... 4
1.4 Drawing format..... 4
1.5 Lettering on drawings..... 5
1.6 Drafting requirements..... 5
1.7 Assignment of media identification number(s)…….. 5
1.8 Preparation of title and certification blocks..... 6

Section 2: **Requirements for the preparaton of electronic media…….....7**

2.1 General requirements…….…..……...7
2.2 Sorting of images of drawings for Existing Contracts…….. 8
2.3 Media database organization……... 8
2.4 Disc packaging…….....…….. 9

Attachments:

Flowchart: *Review and approval process for preparation of contractual records*

Drawing samples:

A. Title Sheet format (for FAUS and State Funded Projects only)
B. Title Sheet format (for City Funded Projects only)
C. Title Sheet format for Combined Projects
D. Contract or As-Built drawing format
E. Shop drawing format

SECTION 1: REQUIREMENTS FOR THE PREPARATION OF RECORD DRAWINGS

1.1 INTRODUCTION

NYCDOT contract documents require that consultants and/or contractors (collectively referred to as the "Contractor") submit the record project drawings (contract, as-built or shop drawings) in an electronic format at the end of the project. Therefore, these specifications (the "Requirements") describe the drafting and electronic data standards which shall be used by the Contractor for the preparation of record drawings and digital media.

The Requirements shall supercede all previous specifications with respect to the preparation of record drawings and apply to all projects handled in-house at NYCDOT or by the Contractor.

1.2 FINAL SUBMITTALS AND REVIEW PROCESS

As per the NYCDOT contract requirements, the Contractor is responsbile for the preparation and submission of paper copies of contract, final record as-built and/or shop drawings (the "Drawings"). The Contractor shall also be required to submit the Drawings to the NYCDOT, Division of Bridges – Record Management Section as follows:

A set of two (a master and one duplicate) CDs/DVDs containing:

- **one final set of the Drawings in AutoCAD format**
- **one continuous searchable multi-page file of the approved and signed Drawings in a format viewable by NYCDOT using software that it has available, such as Adobe Acrobat Reader.**
- **For Shop drawings the submission in AutoCAD format is optional.**

It is the responsibility of the Contractor to provide sample submissions to the NYCDOT for approval prior to the start of the Drawing preparation, which should include linework, lettering and formats. The attached flowchart entitled "Review and Approval Process" is provided to illustrate the submission process. The attached drawing samples are for reference purpose only. The Contractor shall include all appropriate information specific to the Project, which shall include up-to-date names and titles for the title sheet (such as the NYSDOT and NYCDOT, officials as required).

If the Contractor shall request any deviation from the Requirements, it shall be the Contractor's responsibility to submit a sample drawing and obtain written approval from NYCDOT prior to the commencement of the Work.

All Drawings shall comply with the Requirements and must be clear and legible for subsequent reproduction by conventional methods.

1.3 GENERAL REQUIREMENTS

This section describes the drafting standards to be followed in the preparation of the Drawings for the NYCDOT.

Acceptance of the Drawings shall be at the sole discretion of the NYCDOT Division of Bridges – Records Management.

The Drawings shall be prepared in compliance with applicable A.N.S.I. (American National Standards Institute) / A.S.M.E. (American Society of Mechanical Engineers) / I.E.E.E. (Institute of Electrical and Electronic Engineers) standards, latest editions.

The standards to be used include, but are not limited to, the following:

Y14.1 Decimal Inch Drawing Sheet Size and Format (2005 or latest)

Y14.2 Line Conventions and Lettering (2003 or latest)

Y14.38 Abbreviations and Acronyms (2007 or latest)

The Contractor shall also consult the NYS DOT “Highway Design Manual” CADD Standards and Procedures, latest revision as applicable.

1.4 DRAWING FORMAT

Standard size for the Drawings sheets shall be 34" x 22" in U.S. customary units (865mm x 560mm), including the margins. This drawing size shall have the designation "D".

The margin line shall be drawn 1/2” (15mm) from the top, bottom, and right hand edges and 2” (50 mm) from the left-hand edge to permit binding, resulting in a 31½” x 21” (800mm x 530mm) drafting area.

Space shall be reserved for the title, approval, certification and other blocks, and notes. Notes shall be grouped within one area on each of the Drawings. An area within the margins (working area) shall be reserved solely for an "Approval Stamp."

If the Contractor shall request any deviation from the Requirements, it shall be the Contractor’s responsibility to submit a sample drawing and obtain written approval from NYCDOT prior to the commencement of the work.

Attachments A through E show the required formats for the individual types of Drawings.

1.5 LETTERING ON DRAWINGS

Lettering on the Drawings shall conform to the following requirement so that acceptable digital reproduction may be obtained:

- The letters/characters shall be at least 1/8" (3 mm) minimum height, uppercase, dense black, properly spaced block letters from the Sans Serif font family. Fine face, thin stroke characters shall not be used for lettering on engineering drawings (for example: Romans style font with 1/8" height and 1.000 width factor may be used). The same style font shall be consistently applied throughout the project. Multiple styles of font shall be avoided if possible. The lowercase font styles shall be reserved for special characters, charts etc.

- The equally-spaced text columns width shall be no more than 7" with 70 letters/characters or spaces per column and no more than 10 characters per inch are permitted (for example: three columns of 7" each with approximately 1" margins around each column shall be used for the general notes)

1.6 DRAFTING REQUIREMENTS

The Drawings shall be neatly drawn and clearly legible and shall comply with the following requirements:

a) Widths of lines in format features (i.e. borderlines, margins, principal block outlines, block divisions, tables, etc.) shall be in accordance with A.N.S.I./A.S.M.E. Y14.1 requirements.

b) Abbreviations and symbols are permissible, and shall be used in accordance with the requirements and abbreviations listed in A.N.S.I./A.S.M.E. Y14.38, latest revision, and subject to the restrictions stated elsewhere in the Requirements. When non-standard abbreviations and symbols are used, the Contractor shall be responsible to provide an appropriate legend on each sheet where they are used.

c) When an AutoCAD platform is used for the Drawings, only the latest version is to be utilized.

1.7 ASSIGNMENT OF MEDIA IDENTIFICATION NUMBER(S)

The NYCDOT Division of Bridges – Records Management shall assign project specific CD/DVD numbers upon the commencement of the Work. The Contractor shall request such identification numbers prior to the start of the preparation of the Drawings or in connection with the scanning of existing drawings. The identification number shall be placed below the contract number on a title sheet(s) or next to the contract number in a typical title box.

In the event that all of the required Drawings cannot be contained in a single CD, the Contractor shall provide the Drawings on DVD media. As a rule as-built or shop drawings shall be assigned the extensions to the contract's identification number (L22 for Contract Drawings, L22A for As-Built and L22B for Shop Drawings).

1.8 PREPARATION OF TITLE AND CERTIFICATION BLOCKS

TITLE BLOCK

The Drawings, except for the title sheet, shall include a title block arranged in accordance with applicable A.N.S.I./A.S.M.E. requirements. The title block and certification block shall conform to the form presented in Attachments A through E herein.

The title block shall contain, as a minimum, the following information:

- The Name of the Government Agency (i.e. City of New York, Department of Transportation, Division of Bridges)
- The Construction Contract Number
- The Project Name, Location, the B.I.N. and CD/DVD Number.
- Drawing Title
- Drawing Number
- Principal Scale or a clear indication that it is not to scale (N.T.S.)
- Date
- Sheet Number

CERTIFICATION BLOCK

In addition, the Drawings shall include the certification block with the name(s) of the contractor(s) and/ or the sub-contractor(s) preparing the drawings, and the name of the resident engineer. The certification block shall be placed over the approval section on the right side of the title sheet. The term **"RECORD AS-BUILT DRAWING"** or **"RECORD SHOP DRAWING"** shall be included in the block with lettering of 9/32" (minimum height), upper case in Sans Serif font style (e.g. Romans), bold and properly spaced.

The As-Built drawings shall display changes, if any, as appropriate in the following form:

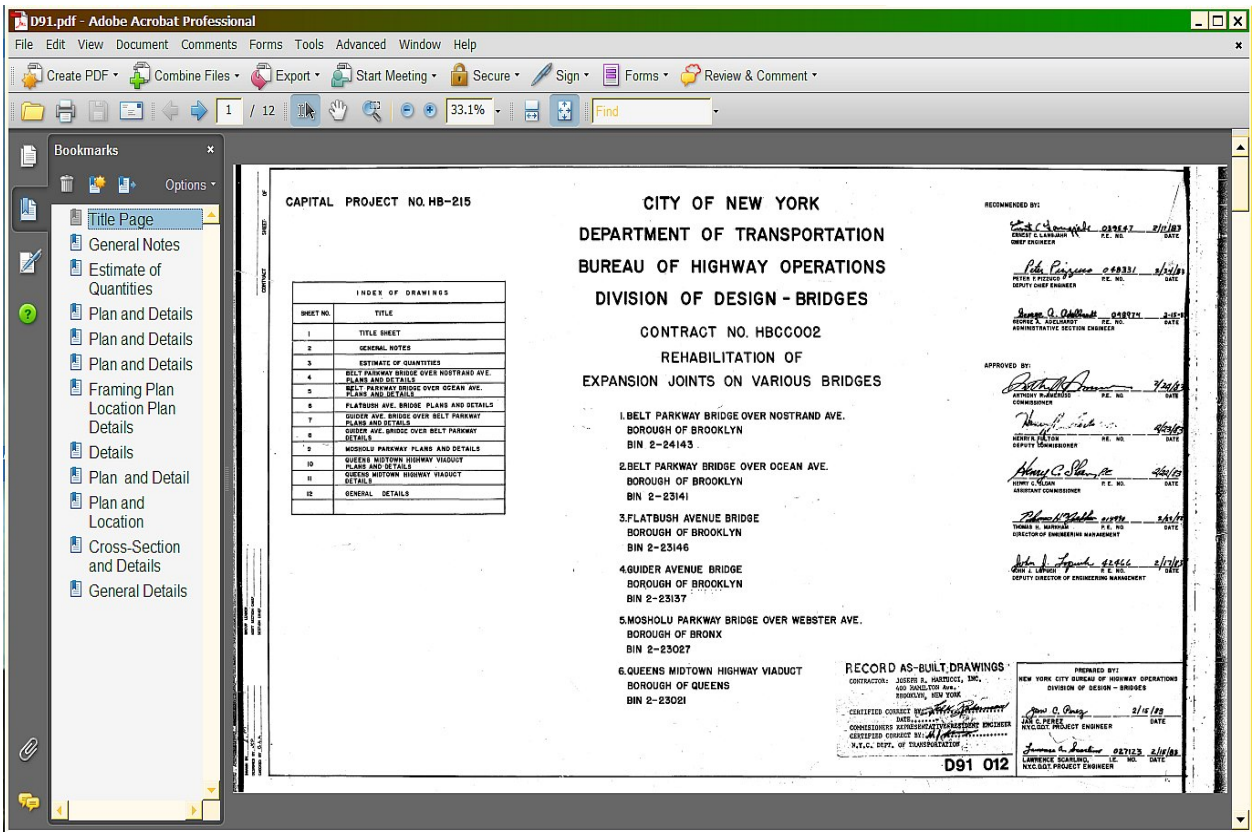
"NO CHANGE FROM CONTRACT DRAWINGS" *or*
"Δ INDICATES CONTRACT CHANGE"

Pursuant to the contract requirements, it shall be the responsibility of the Contractor to ensure that all above-mentioned requirements are followed. The Contractor shall be fully responsibility for the proper, accurate and acceptable execution of the work, including the preparation and submission of the Drawings, and nothing contained herein shall relieve it of such responsibility.

SECTION 2: REQUIREMENTS FOR THE PREPARATION OF ELECTRONIC MEDIA

2.1 GENERAL REQUIREMENTS

This section describes the requirements for all electronic records to be prepared and submitted in connection with NYCDOT contracts. A set of two (a master and one duplicate) CDs/DVDs containing one final set of the Drawings in AutoCAD format and an electronic copy in pdf format (600 dpi resolution) as a continious searchable indexed multi-page file of the approved and signed Drawings in a format viewable by NYCDOT using software available to it, such as Adobe Acrobat Reader. Each set of Drawings shall have indexed individual drawings with their respective titles in the Reader's Bookmarks Navigation Panel (see example below).



The image quality of the Drawings presented on the electronic media shall be of a quality acceptable to NYCDOT, Division of Bridges – Records Management; however, all scanned documents shall have a resolution of at least 600 dpi.

In all matters of conformance to the Requirements, the determination of acceptability of the Drawings shall be solely at the discretion of the NYCDOT Division of Bridges - Records Management and its decision shall be final.

2.2 SORTING OF IMAGES OF DRAWINGS FOR EXISTING CONTRACTS

In order to produce acceptable records for the existing or original drawings, all such scans shall be sorted and placed according to their respective Bridge Identification Number (BIN). In case of older contracts where the BIN system had not been utilized, the latest available data shall precede the drawing titles information (for example, Kosciuszko Br. over Newton Creek and BIN 1-07569, must be typed in the media folders, instead of “New Meeker Avenue Bridge” without a BIN obtained from the drawing’s title).

2.3 MEDIA DATABASE ORGANIZATION

The database name shall consist of the CD/DVD identification number. The folders shall be represented by the BIN and divided into subfolders carrying the Year and Contract Number label. All of the Drawings shall reside in the subfolders (see Fig.1). If the Year or Contract Number is not available, the term “NONE” shall be used.

CD/DVD# BIN YEAR CONTRACT# DRAWINGSccccccc

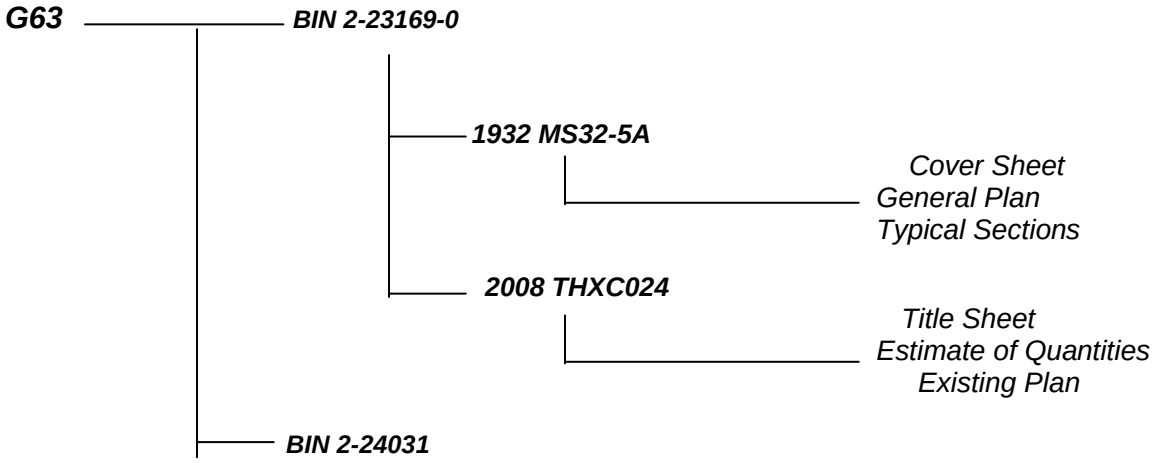


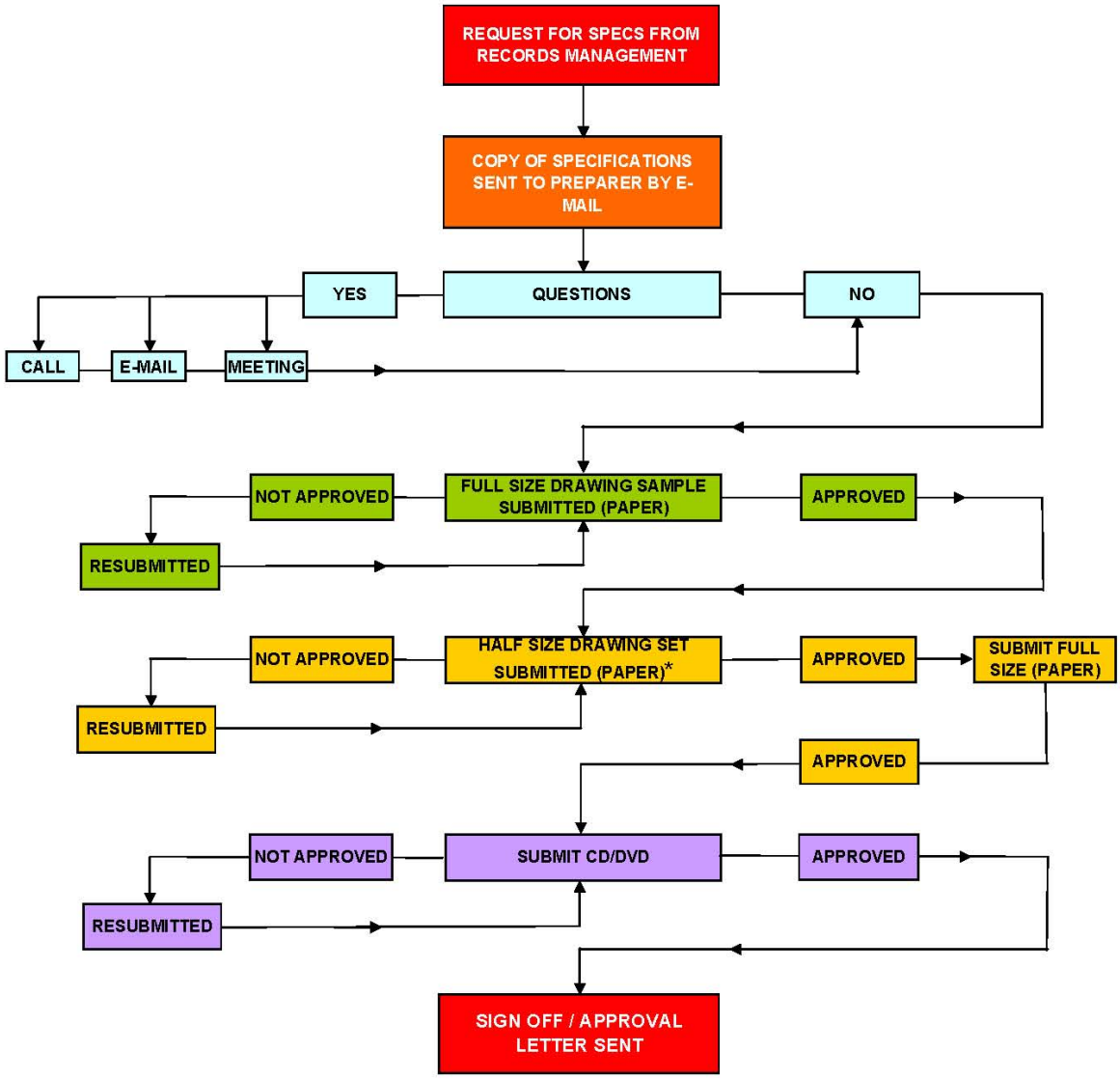
Figure 1. Database Organization

2.4 DISC PACKAGING

Pursuant to the Requirements, each CD/DVD shall be submitted to NYCDOT in a clear, slim case. The disc label shall be permanently affixed and shall include the Department's Name, BIN, Bridge Name, Contract Number, CD/DVD Identification Number, Name of the Contractor, and the Date as shown in Fig.2 below. The lettering shall be done in black, using a bolded San Serif font of size 10, where space allows.

Figure 2. Disc Label

REVIEW AND APPROVAL PROCESS FOR PREPARATION OF CONTRACTUAL RECORDS



**As-Built projects with large number of drawings are exempt from this submissior*

TITLE SHEET FORMAT

SIZE "D"

ALL SAMPLES ARE NOT TO SCALE AND SHALL NOT BE USED TO GENERATE DRAWINGS
THE INFORMATION SHOWN IS FOR REFERENCE ONLY

ATTACHMENT A
(FOR FAUS AND STATE FUNDED PROJECTS ONLY)

SHEET NO.	TOTAL SHEETS
1	78

CITY OF NEW YORK
DEPARTMENT OF TRANSPORTATION
DIVISION OF BRIDGES

REPLACEMENT OF AMBOY ROAD BRIDGE OVER LEMON CREEK

RECOMMENDED BY:

NEW YORK STATE DEPARTMENT OF TRANSPORTATION
REGION 11

NAME DATE
REGIONAL DIRECTOR

NAME DATE
DIRECTOR OF STRUCTURES

RECOMMENDED BY:

NEW YORK CITY DEPARTMENT OF TRANSPORTATION
DIVISION OF BRIDGES

NAME P.E. DATE
DIRECTOR

NAME P.E. DATE
ENGINEER-IN-CHARGE

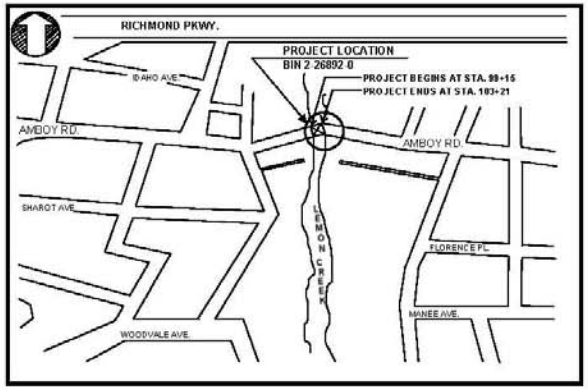
NAME P.E. DATE
PROJECT ENGINEER

PREPARED BY:

NAME OF CONSULTANT

NAME P.E. DATE
CONSULTANT

BIN 2-26892-0
PIN 84195SI399BR
CONTRACT NO. HBRC007
CD NO. L21A
FEDERAL AID PROJECT NO.118-0371-104
BOROUGH OF STATEN ISLAND
COUNCIL DISTRICT: 38
COMMUNITY BOARD: 7



LOCATION PLAN
N.T.S.

(FOR FAUS AND STATE FUNDED PROJECTS ONLY)

NEW YORK CITY MAINTENANCE NOTE

THE DIVISION OF MAINTENANCE RESPONSIBILITY FOR THE BRIDGE AFTER THE COMPLETION OF THIS CONTRACT WILL REMAIN THE SAME AS THE DIVISION OF MAINTENANCE RESPONSIBILITY WHICH EXISTED BEFORE THIS CONTRACT. ALL EXISTING SANITARY AND OTHER SEWERS NOT DEEMED PART OF THE PROJECT BY THE NEW YORK CITY DEPARTMENT OF TRANSPORTATION COMMISSIONER, WATER MAINS, HYDRANTS, AND OTHER MUNICIPALLY OR PRIVATELY OWNED FACILITIES WITHIN THE LIMITS OF THE RIGHT OF WAY WHICH REMAIN IN SERVICE UNCHANGED AND ALL SUCH FACILITIES RELOCATED OR PROJECTED AS PART OF THE WORK PERFORMED UNDER THE PROJECT WHETHER CROSSING LOCATED, WITHIN OR ADJACENT TO THE RIGHT OF WAY SHALL BE MAINTAINED AS THE CASE MAY BE BY THE MUNICIPALITY OR BY THE AGENCY OR UNIT HAVING CONTROL OR JURIDICATION THEREOF AT NO COST OR EXPENSE TO THE D.O.T.
MAINTENANCE GUIDELINES FOR THE REHABILITATION WORK UNDER THIS CONTRACT SHALL BE IN ACCORDANCE WITH THOSE CONTAINED IN THE AASHTO MANUAL.

APPROVED BY:

JANETTE SADIK-KHAN DATE
COMMISSIONER

LORI ARDITO DATE
FIRST DEPUTY COMMISSIONER

HENRY D. PERAHIA, P.E. DATE
DEPUTY COMMISSIONER/ CHIEF BRIDGE OFFICER

JAY PATEL, P.E./ LAWRENCE S. KING, P.E. DATE
DEPUTY CHIEF ENGINEER
EAST RIVER/MOVABLE BRIDGES/ ROADWAY BRIDGES

KAMAL KISHORE, P.E. DATE
DEPUTY CHIEF ENGINEER
ENGINEERING REVIEW & SUPPORT

RUSSELL HOLCOMB, P.E. DATE
DEPUTY CHIEF ENGINEER
BRIDGE MAINTENANCE, INSPECTIONS AND OPERATIONS

RECORD AS-BUILT (SHOP) DRAWINGS

1. CONTRACTOR:
ADDRESS:
CERTIFIED CORRECT BY _____ DATE: _____

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

CERTIFICATION BLOCK FOR AS-BUILT OR SHOP DRAWINGS ONLY

22" (560 mm)
34" (865 mm)

TITLE SHEET FORMAT

SIZE "D"

ALL SAMPLES ARE NOT TO SCALE AND SHALL NOT BE USED TO GENERATE DRAWINGS
THE INFORMATION SHOWN IS FOR REFERENCE ONLY

ATTACHMENT B
(FOR CITY FUNDED PROJECTS ONLY)

SHEET NO.	TOTAL SHEETS
1	76

CITY OF NEW YORK
DEPARTMENT OF TRANSPORTATION
DIVISION OF BRIDGES

REPLACEMENT OF AMBOY ROAD BRIDGE OVER LEMON CREEK

BIN 2-26892-0
PIN 84195SI399BR
CONTRACT NO. HBRC007
CD NO. L21A
BOROUGH OF STATEN ISLAND
COUNCIL DISTRICT: 38
COMMUNITY BOARD: 7

RECOMMENDED BY:

NEW YORK CITY DEPARTMENT OF TRANSPORTATION
DIVISION OF BRIDGES

NAME P.E. DATE
DIRECTOR

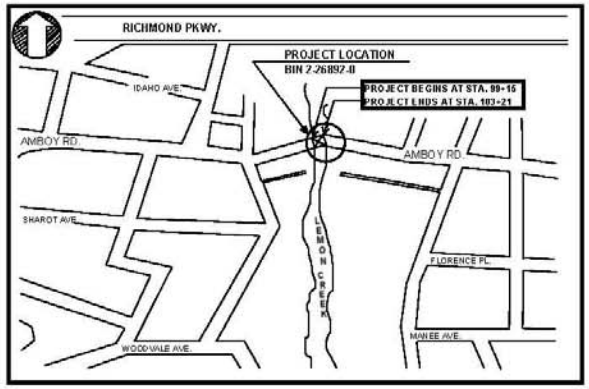
NAME P.E. DATE
ENGINEER-IN-CHARGE

NAME P.E. DATE
PROJECT ENGINEER

PREPARED BY:

NAME OF CONSULTANT

NAME P.E. DATE
CONSULTANT



LOCATION PLAN
N.T.S.

APPROVED BY:

JANETTE SADIK-KHAN DATE
COMMISSIONER

LORI ARDITO DATE
FIRST DEPUTY COMMISSIONER

HENRY D. PERAHIA, P.E. DATE
DEPUTY COMMISSIONER/ CHIEF BRIDGE OFFICER

JAY PATEL, P.E. / LAWRENCE S. KING, P.E. DATE
DEPUTY CHIEF ENGINEER
EAST RIVER/MOVABLE BRIDGES/ ROADWAY BRIDGES

KAMAL KISHORE, P.E. DATE
DEPUTY CHIEF ENGINEER
ENGINEERING REVIEW & SUPPORT

RUSSELL HOLCOMB, P.E. DATE
DEPUTY CHIEF ENGINEER
BRIDGE MAINTENANCE, INSPECTIONS AND OPERATIONS

RECORD AS-BUILT (SHOP) DRAWINGS

1. CONTRACTOR:
ADDRESS:
CERTIFIED CORRECT BY _____ DATE: _____

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

CERTIFICATION BLOCK FOR AS-BUILT OR SHOP DRAWINGS ONLY

22" (560 mm)
34" (865 mm)

ATTACHMENT C

TITLE SHEET FORMAT FOR COMBINED PROJECTS

SIZE "D"

ALL SAMPLES ARE NOT TO SCALE AND SHALL NOT BE USED TO GENERATE DRAWINGS
THE INFORMATION SHOWN IS FOR REFERENCE ONLY

SHEET NO.	TOTAL SHEETS
1	99

CITY OF NEW YORK
DEPARTMENT OF TRANSPORTATION
DIVISION OF BRIDGES

RECONSTRUCTION OF WEST 232ND STREET BRIDGE OVER HENRY HUDSON PARKWAY

BIN 2-22945-0 PIN 84195SI399BR CONTRACT NO. HBRC123 CD NO. L21A

RECONSTRUCTION OF WEST 239TH STREET BRIDGE OVER HENRY HUDSON PARKWAY

BIN 2-22947-0 PIN 84195SI400BR CONTRACT NO. HBRC124 CD NO. L22A

RECONSTRUCTION OF WEST 252ND STREET BRIDGE OVER HENRY HUDSON PARKWAY

BIN 2-22950-0 PIN 84195SI401BR CONTRACT NO. HBRC125 CD NO. L23A

BOROUGH OF THE BRONX
COUNCIL DISTRICT: 11
COMMUNITY BOARD: 8

RECOMMENDED BY:

NEW YORK CITY DEPARTMENT OF TRANSPORTATION
DIVISION OF BRIDGES

NAME P.E. DATE
DIRECTOR

NAME P.E. DATE
ENGINEER-IN-CHARGE

NAME P.E. DATE
PROJECT ENGINEER

PREPARED BY:

NAME OF CONSULTANT

NAME P.E. DATE
TITLE

LOCATION PLAN IS OPTIONAL
(SPACE PERMITTING)

APPROVED BY:

JANETTE SADIK-KHAN DATE
COMMISSIONER

LORI ARDITO DATE
FIRST DEPUTY COMMISSIONER

HENRY D. PERAHIA, P.E DATE
DEPUTY COMMISSIONER/ CHIEF BRIDGE OFFICER

JAY PATEL, P.E / LAWRENCE S. KING, P.E DATE
DEPUTY CHIEF ENGINEER
EAST RIVER/MOVABLE BRIDGES/ ROADWAY BRIDGES

KAMAL KISHORE, P.E DATE
DEPUTY CHIEF ENGINEER
ENGINEERING REVIEW & SUPPORT

RUSSELL HOLCOMB, P.E. DATE
DEPUTY CHIEF ENGINEER
BRIDGE MAINTENANCE, INSPECTIONS AND OPERATIONS

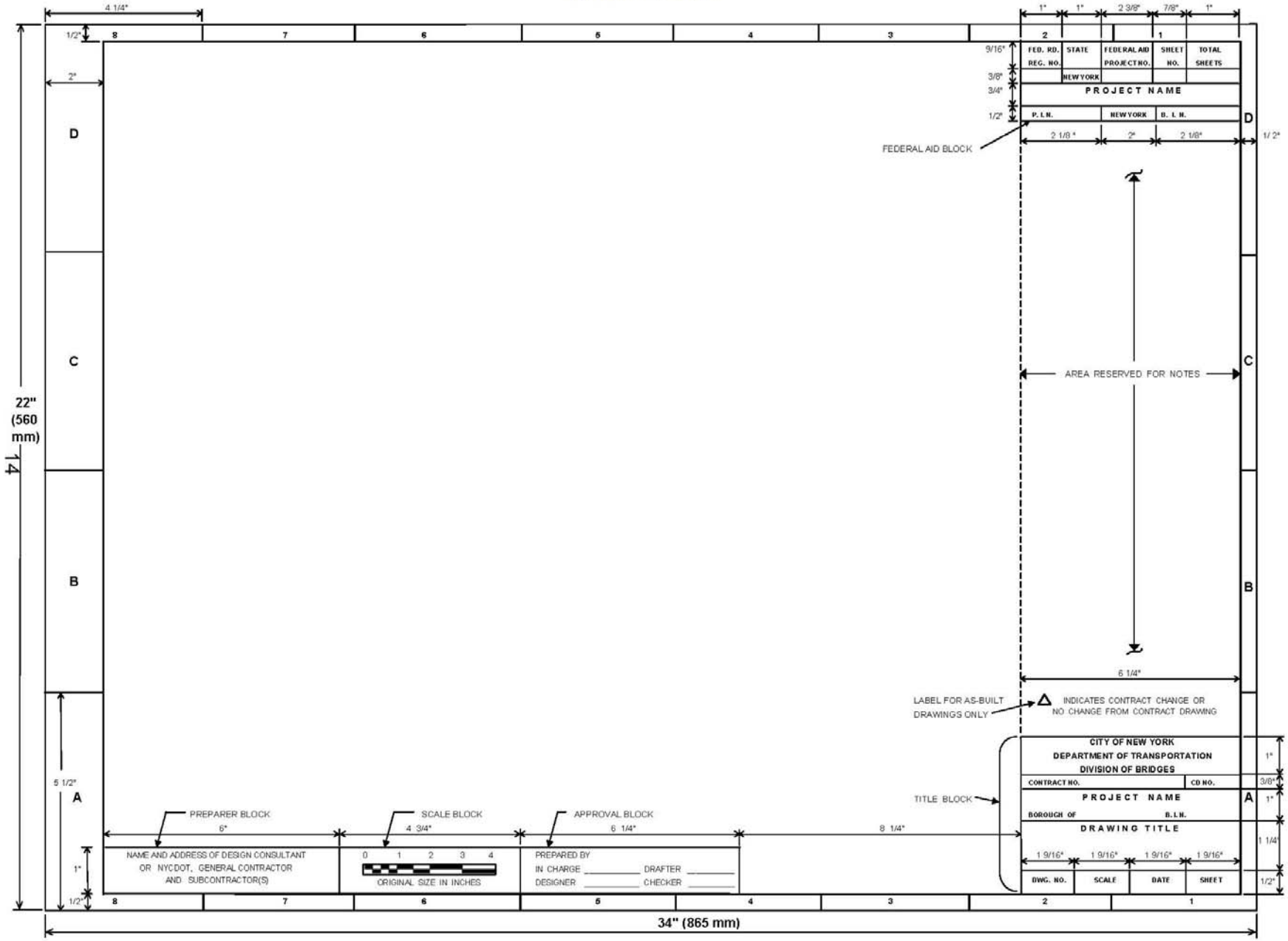
22" (560 mm)
34" (865 mm)

CONTRACT OR AS-BUILT DRAWING FORMAT

SIZE "D"

SAMPLE NOT TO SCALE

ATTACHMENT D

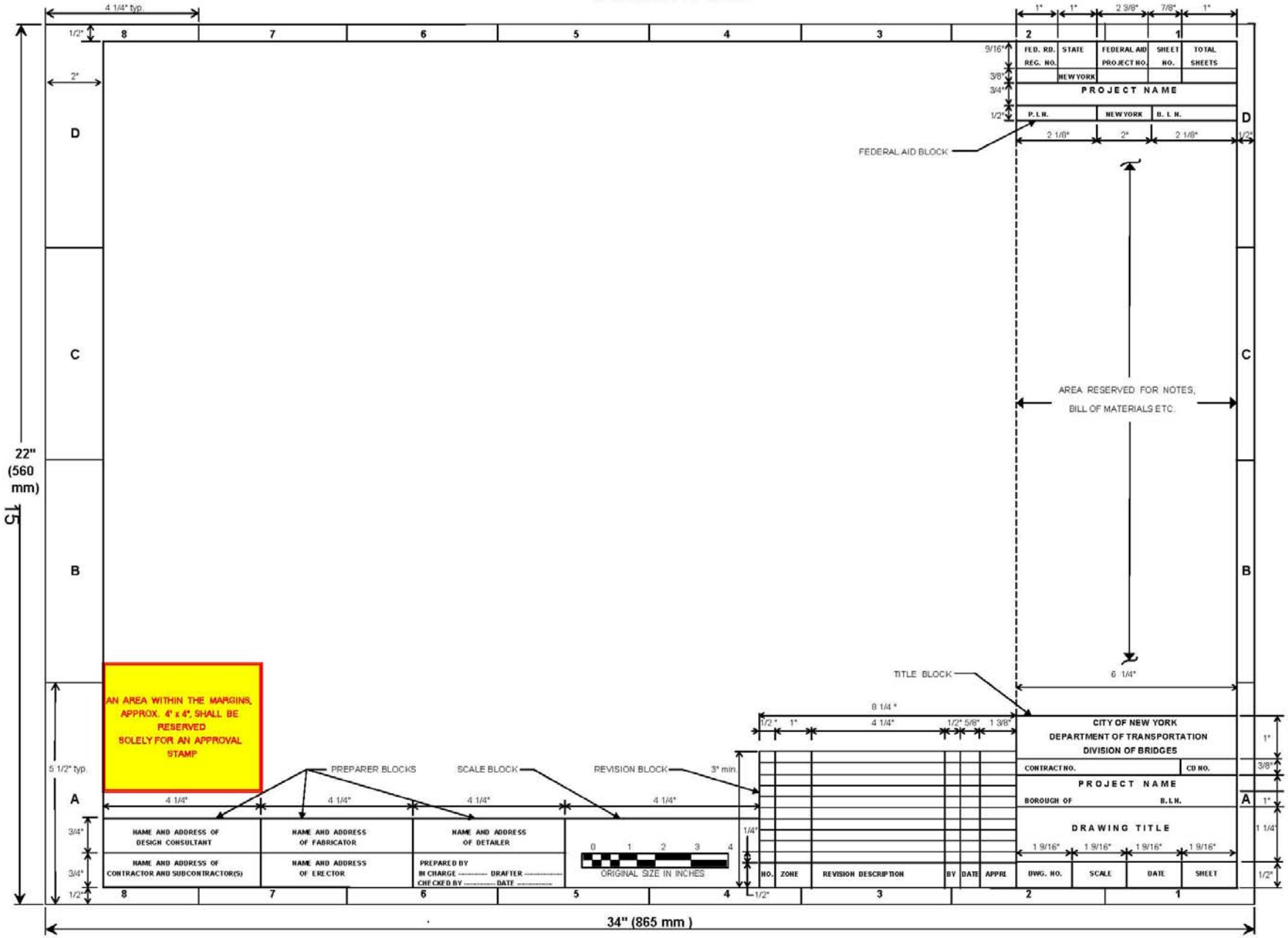


SHOP DRAWING FORMAT

SIZE "D"

SAMPLE NOT TO SCALE

ATTACHMENT E



ATTACHMENT NO. 3

EQUIPMENT FOR ENGINEER'S FIELD OFFICE

ATTACHMENT NO. 3

1. EQUIPMENT FOR ENGINEER'S FIELD OFFICE

The following equipment shall be provided by the REI Consultant for Engineer's Field Office for City let contract.

NO.	EQUIPMENT	QUANTITY
1.	Personal Computer meeting the latest operating system with the following minimum requirements: 4GB DDR SDRAM, 250GB Serial ATA Hard Drive (7200RPM), DVD+R/+RW Drive, 48x CD-RW Drive, 10/100 Ethernet network card, 19" or bigger wide screen LCD monitor, 64MB NVIDIA GeForce 7500 LE, 15-in-1 USB media card reader, power supply with built-in surge suppression; 101- key keyboard with optical mouse. Anti virus protection subscription should be provided up to completion of the contract.	SEE TABLE 1 BELOW
2.	Every Desktop and Notebook computer should have Microsoft Office 2007 Professional or latest including CD-ROM/diskettes, operations manual and valid software license agreements or approved equal programs.	SEE TABLE 1 BELOW
3.	a. Two-way radio communication system (mobile telephone with two-way radio capabilities) which shall be similar to Nextel or approved equal. b. Mobile telephone equipment and service with both telephone and two-way radio capabilities. The following requirements are applicable to both of the above: Minimum of 500 minutes per month air time calling plan and minimum of 500 minutes per month two-way radio (or mobile to mobile) air time calling plan. Must provide continuous coverage across the entire regional area. All necessary hardware, accessories, operating manuals and other pertinent media for all the components shall be provided. The accessories shall include AC power charging unit, hands-free operation accessories, belt clip/holster and DC power cord for in-vehicle use. All equipment and services furnished shall be subject to approval by the Engineer. The REI Consultant shall submit to the Engineer a list of at least 3 service providers with their available phone equipment and calling plan options. The list shall include the following information for each service provider: • Name of the Company including contact information • Available calling plans • Available telephone equipment • Service contract details and pricing information The Engineer will select the service provider, equipment and calling plan to be provided. As soon as the mobile telephones are provided, the Contractor shall supply qualified instruction to Department personnel regarding their proper operation. The Contractor shall maintain all furnished equipment and services in good working condition and shall provide replacement, due to breakdown, damage, loss, or theft within 24 hours of notification.	SEE TABLE 1 BELOW

TABLE 1
REQUIRED QUANTITIES

DESCRIPTION	Field Office					
	TYPE 1	TYPE 2	TYPE 3	TYPE 4	TYPE 5	TYPE 6
PERSONAL COMPUTERS	2	3	4	5	6	8
SOFTWARE PACKAGES	2	3	4	5	6	8
TWO-WAY RADIO COMMUNICATION SYSTEMS	2	3	4	5	6	8
MOBILE TELEPHONES	2	3	4	5	6	6

NOTE: ALL Personal computers, software packages and manuals shall become the property of the REI Consultant at the end of the project.

BASIS OF PAYMENT

Payment shall be made from out of pocket expenses account in accordance with the PPB Rules upon submission of original voucher for purchasing computers, software packages, two-way radio communication systems and mobile phones. Monthly payment shall be made for two-way radios and mobile phones upon furnishing of monthly bills or as the directed of the Engineer.

2. ENGINEER'S FIELD OFFICE/PC SETUP

a) The REI Consultant shall furnish required number of personal computers (PC's) and software packages as listed in Table 1 for selected type of Engineer's Field Office (Type 1 to type 6).

b) PC's and software are to be delivered to the NYCDOT Division of Procurement and Technology, IT & Telecom Unit, for initial setup. Advance notification shall be made to this unit before the shipment is made. Shipping address is:

NYCDOT Division of Procurement and Technology
IT & Telecom Unit
Attn: John Sotomayor
55 Water Street, 7th Floor
New York, NY 10041

When set up is complete, the REI Consultant will be notified to pick up the equipment. A DOT employee will help with the initial set up at the project site.

c) The Contractor is responsible for the physical security of all equipment and software at the Engineer's Field Office.

d) Back up of all data on the Server (PC) to the Division of Bridges will occur automatically each night. It is therefore the Contractor's responsibility to insure that electrical service and phone connections are available at all times during the Project. In the event that there is an interruption in these services, the REI Consultant shall promptly contact the IT & Telecom unit at the address above.

e) The REI Consultant shall be responsible for servicing and maintaining computer systems throughout the duration of the contract. The REI Consultant shall be responsible for upgrading the computer system every 12 months as appropriate.

The Contractor shall provide High Speed Internet Service (Speed 3 Mbps or higher) with wireless router for the duration of the project.

The system shall remain in service until the Engineer requests its removal in writing or the City relinquishes the Engineer's Field Office, at which time the system shall become the property of the City.

SECTION VII

B) GENERAL PROVISIONS

APPENDIX A, JULY 2010 FINAL

NOTICE TO VENDORS

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

APPENDIX A

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

TABLE OF CONTENTS

ARTICLE 1 - DEFINITIONS

Section 1.01 Definitions……1

ARTICLE 2 - REPRESENTATIONS AND WARRANTIES

Section 2.01 Procurement of Agreement……2

Section 2.02 Conflicts of Interest…….2

Section 2.03 Fair Practices……...4

Section 2.04 VENDEX……..4

Section 2.05 Political Activity……...4

Section 2.06 Religious Activity…….....5

Section 2.07 Unlawful Discriminatory Practices: City Admin. Code § 6-123…….……5

Section 2.08 Bankruptcy and Reorganization……5

ARTICLE 3 - ASSIGNMENT AND SUBCONTRACTING

Section 3.01 Assignment……...…5

Section 3.02 Subcontracting…….……6

ARTICLE 4 - LABOR PROVISIONS

Section 4.01 Independent Contractor Status……..7

Section 4.02 Employees…….8

Section 4.03 Removal of Individuals Performing Work……8

Section 4.04 Minimum Wage……...8

Section 4.05 Non-Discrimination: New York State Labor Law § 220-e……..…8

Section 4.06 Non-Discrimination: City Admin. Code § 6-108…….…….9

Section 4.07 Non-Discrimination: E.O. 50 -- Equal Employment Opportunity……...10

ARTICLE 5 - RECORDS, AUDITS, REPORTS, AND INVESTIGATIONS

Section 5.01 Books and Records…….…...11

Section 5.02 Retention of Records…….....……12

Section 5.03 Inspection……..….12

Section 5.04 Audit……...12

Section 5.05 No Removal of Records from Premises……...……13

Section 5.06 Electronic Records……...……..13

Section 5.07 Investigations Clause…….13

Section 5.08 Confidentiality……...……16

ARTICLE 6 - COPYRIGHTS, PATENTS, INVENTIONS AND ANTITRUST

Section 6.01 Copyrights……..17

Section 6.02 Patents and Inventions…….……18

Section 6.03 Pre-existing Rights……...……..19

Section 6.04 Antitrust……...……..19

ARTICLE 7 - INSURANCE

Section 7.01 Agreement to Insure…….…….19

Section 7.02 Commercial General Liability Insurance ……..……19

Section 7.03 Professional Liability Insurance…….……...…..20

Section 7.04 Workers' Compensation, Disability Benefits, and Employer's Liability Insurance ……...……..…...…….…20

Section 7.05 Unemployment Insurance ……20

Section 7.06 Business Automobile Liability Insurance……....20

Section 7.07 General Requirements for Insurance Coverage and Policies……....21

Section 7.08 Proof of Insurance…….……..……..21

Section 7.09 Miscellaneous …….….…..22

ARTICLE 8 - PROTECTION OF PERSONS AND PROPERTY AND INDEMNIFICATION

Section 8.01 Reasonable Precautions……..….….……23

Section 8.02 Protection of City Property…….…….……23

Section 8.03 Indemnification …….……..…….23

Section 8.04 Infringement Indemnification …….……24

Section 8.05 Indemnification Obligations Not Limited By Insurance Obligation.….….….24

Section 8.06 Actions By or Against Third Parties…….…….…..24

Section 8.07 Withholding of Payments……...….…….…24

Section 8.08 No Third Party Rights……..……..…25

ARTICLE 9 - CONTRACT CHANGES

Section 9.01 Contract Changes…….……..…25

Section 9.02 Changes Through Fault of Contractor…….….….……..…25

ARTICLE 10 - TERMINATION, DEFAULT, AND REDUCTIONS IN FUNDING

Section 10.01 Termination by the City Without Cause…….….…..…...25

Section 10.02 Reductions in Federal, State and/or City Funding……...……...….26

Section 10.03 Contractor Default ……..……...27

Section 10.04 Force Majeure ……..……...28

Section 10.05 Procedures for Termination……...…29

Section 10.06 Miscellaneous Provisions ……...30

ARTICLE 11 - PROMPT PAYMENT AND ELECTRONIC FUNDS TRANSFER

Section 11.01 Prompt Payment…….….....30

Section 11.02 Electronic Funds Transfer……..……....31

ARTICLE 12 - CLAIMS

Section 12.01 Choice of Law…….…….....31

Section 12.02 Jurisdiction and Venue……..…….31

Section 12.03 Resolution of Disputes……...…..32

Section 12.04 Claims and Actions …….…37

Section 12.05 No Claim Against Officers, Agents or Employees……...….…37

Section 12.06 General Release……...…37

Section 12.07 No Waiver……..……...…37

ARTICLE 13 - APPLICABLE LAWS

Section 13.01 PPB Rules……..…….…..…37

Section 13.02 All Legal Provisions Deemed Included……..……..…..38

Section 13.03 Severability / Unlawful Provisions Deemed Stricken……..……..……...38

Section 13.04 Compliance With Laws……...……38

Section 13.05 Americans with Disabilities Act (ADA)……....….…38

Section 13.06 Voter Registration……..….…39

Section 13.07 Participation in an International Boycott…….……41

Section 13.08 MacBride Principles……...….41

Section 13.09 Access to Public Health Insurance Coverage Information……..42

ARTICLE 14 - MISCELLANEOUS PROVISIONS

Section 14.01 Conditions Precedent……...……...43

Section 14.02 Merger……...…….……..43

Section 14.03 Headings……..…….44

Section 14.04 Notice……..……..44

AFFIRMATION……...……...45

CERTIFICATION BY BROKER……...……..…….46

APPENDIX A

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

ARTICLE 1 - DEFINITIONS

Section 1.01 Definitions

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

A. "Agency Chief Contracting Officer" or "ACCO" shall mean the position delegated authority by the Agency Head to organize and supervise the procurement activity of subordinate Agency staff in conjunction with the City Chief Procurement Officer.

B. "Agreement" shall mean the various documents, including this Appendix A, that constitute the contract between the Contractor and the City.

C. "City" shall mean The City of New York.

D. "City Chief Procurement Officer" or "CCPO" shall mean the position delegated authority by the Mayor to coordinate and oversee the procurement activity of Mayoral agency staff, including the ACCOs.

E. "Commissioner" or "Agency Head" shall mean the head of the Department or his or her duly authorized representative. The term "duly authorized representative" shall include any person or persons acting within the limits of his or her authority.

F. "Comptroller" shall mean the Comptroller of the City of New York.

G. "Contractor" shall mean the entity entering into this Agreement with the Department.

H. "Days" shall mean calendar days unless otherwise specifically noted to mean business days.

I. "Department" or "Agency" shall mean the City agency that has entered into this Agreement.

J. "Law" or "Laws" shall mean the New York City Charter ("Charter"), the New York City Administrative Code ("Admin. Code"), a local rule of the City of New York, the Constitutions of the United States and the State of New York, a statute of the United States or of the State of New York and any ordinance, rule or regulation having the force of law and adopted pursuant thereto, as amended, and common law.

K. "Procurement Policy Board" or "PPB" shall mean the board established pursuant to Charter § 311 whose function is to establish comprehensive and consistent procurement policies and rules which have broad application throughout the City.

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

M. "State" shall mean the State of New York.

ARTICLE 2 - REPRESENTATIONS AND WARRANTIES

Section 2.01 Procurement of Agreement

A. The Contractor represents and warrants that no person or entity (other than an officer, partner, or employee working solely for the Contractor) has been employed or retained to solicit or secure this Agreement upon any agreement or understanding for a commission, percentage, brokerage fee, contingent fee or any other direct or indirect compensation. Notwithstanding the preceding sentence, the Contractor may retain consultants to draft proposals, negotiate contracts, and perform other similar services. The Contractor further represents and warrants that no payment, gift, or thing of value has been made, given, or promised to obtain this or any other agreement between the parties. The Contractor makes such representations and warranties to induce the City to enter into this Agreement and the City relies upon such representations and warranties in the execution of this Agreement.

B. For any breach or violation of the representations and warranties set forth in Paragraph A above, the Commissioner shall have the right to annul this Agreement without liability, entitling the City to recover all monies paid to the Contractor; and the Contractor shall not make claim for, or be entitled to recover, any sum or sums due under this Agreement. The rights and remedies of the City provided in this Section are not exclusive and are in addition to all other rights and remedies allowed by Law or under this Agreement.

Section 2.02 Conflicts of Interest

A. The Contractor represents and warrants that neither it nor any of its directors, officers, members, partners or employees, has any interest nor shall they acquire any interest, directly or indirectly, which conflicts in any manner or degree with the performance of this Agreement. The Contractor further represents and warrants that no person having such interest or possible interest shall be employed by or connected with the Contractor in the performance of this Agreement.

B. Consistent with Charter § 2604 and other related provisions of the Charter, the Admin. Code and the New York State Penal Law, no elected official or other officer or employee of the City, nor any person whose salary is payable, in whole or in part, from the City Treasury, shall participate in any decision relating to this Agreement which affects his or her personal

interest or the interest of any corporation, partnership or other entity in which he or she is, directly or indirectly, interested; nor shall any such official, officer, employee, or person have any interest in, or in the proceeds of, this Agreement. This Paragraph B shall not prevent directors, officers, members, partners, or employees of the Contractor from participating in decisions relating to this Agreement where their sole personal interest is in the Contractor.

C. The Contractor shall not employ a person or permit a person to serve as a member of the Board of Directors or as an officer of the Contractor if such employment or service would violate Chapter 68 of the Charter.

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

~~D. Except as provided in Paragraph E below, the Contractor's employees and members of their immediate families, as defined in Paragraph F below, may not serve on the Board of Directors of the Contractor ("Board"), or any committee with authority to order personnel actions affecting his or her job, or which, either by rule or by practice, regularly nominates, recommends or screens candidates for employment in the program to be operated pursuant to this Agreement.~~

~~E. If the Board has more than five (5) members, then Contractor's employees may serve on the Board, or any committee with authority to order personnel actions affecting his or her job, or which, either by rule or by practice, regularly nominates, recommends or screens candidates for employment in the program to be operated pursuant to this Agreement, provided that (i) Contractor's employees are prohibited from voting on any such personnel matters, including but not limited to any matters directly affecting their own salary or other compensation, and shall fully disclose all conflicts and potential conflicts to the Board, and (ii) Contractor's employees may not serve in the capacity either of Chairperson or Treasurer of the Board (or equivalent titles), nor constitute more than one-third of either the Board or any such committee.~~

~~F. Without the prior written consent of the Commissioner, no person may hold a job or position with the Contractor over which a member of his or her immediate family exercises any supervisory, managerial or other authority whatsoever whether such authority is reflected in a job title or otherwise, unless such job or position is wholly voluntary and unpaid. A member of an immediate family includes: husband, wife, domestic partner, father, father-in-law, mother, mother-in-law, brother, brother-in-law, sister, sister-in-law, son, son-in-law, daughter, daughter-in-law, niece, nephew, aunt, uncle, first cousin, and separated spouse. Where a member of an immediate family has that status because of that person's relationship to a spouse (e.g., father-in-law), that status shall also apply to a relative of a domestic partner. For purposes of this Section, a member of the Board is deemed to exercise authority over all employees of the Contractor.~~

~~G. If the Contractor has contracts with the City that in the aggregate during any twelve-month period have a value of more than One Million Dollars ($1,000,000) and such amount constitutes more than fifty percent (50%) of the Contractor's total revenues, then the Contractor must have a minimum of five (5) persons on its Board.~~

~~H. Paragraphs D-H of this Section 2.02 apply only if Contractor is a not-for-profit corporation.~~

Section 2.03 Fair Practices

A. The Contractor and each person signing on its behalf certifies, under penalties of perjury, that to the best of its, his or her knowledge and belief:

1. The prices and other material terms set forth in this Agreement have been arrived at independently, without collusion, consultation, communication, or agreement with any other bidder or proposer or with any competitor as to any matter relating to such prices or terms for the purpose of restricting competition;

2. Unless otherwise required by Law or where a schedule of rates or prices is uniformly established by a government agency through regulation, policy or directive, the prices and other material terms set forth in this Agreement which have been quoted in this Agreement and on the bid or proposal submitted by the Contractor have not been knowingly disclosed by the Contractor, directly or indirectly, to any other bidder or proposer or to any competitor prior to the bid or proposal opening; and

3. No attempt has been made or will be made by the Contractor to induce any other person or entity to submit or not to submit a bid or proposal for the purpose of restricting competition.

B. The fact that the Contractor (i) has published price lists, rates, or tariffs covering items being procured, (ii) has informed prospective customers of proposed or pending publication of new or revised price lists for such items, or (iii) has sold the same items to other customers at the same prices and/or terms being bid or proposed, does not constitute, without more, a disclosure within the meaning of this Section.

Section 2.04 VENDEX

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

Section 2.05 Political Activity

The Contractor's provision of services under this Agreement shall not include any partisan political activity or any activity to further the election or defeat of any candidate for

public, political, or party office, nor shall any of the funds provided under this Agreement be used for such purposes.

Section 2.06 Religious Activity

There shall be no religious worship, instruction or proselytizing as part of or in connection with the Contractor's provision of services under this Agreement, nor shall any of the funds provided under this Agreement be used for such purposes.

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

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

Section 2.08 Bankruptcy and Reorganization

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

ARTICLE 3 - ASSIGNMENT AND SUBCONTRACTING

Section 3.01 Assignment

A. The Contractor shall not assign, transfer, convey or otherwise dispose of this Agreement, or the right to execute it, or the right, title or interest in or to it or any part of it, or assign, by power of attorney or otherwise, any of the monies due or to become due under this Agreement, without the prior written consent of the Commissioner. The giving of any such consent to a particular assignment shall not dispense with the necessity of such consent to any further or other assignments. Any such assignment, transfer, conveyance or other disposition without such written consent shall be void.

B. Before entering into any such assignment, transfer, conveyance or other disposal of this Agreement, the Contractor shall submit a written request for approval to the Department giving the name and address of the proposed assignee. The proposed assignee's VENDEX questionnaire must be submitted within thirty (30) Days after the ACCO has granted preliminary written approval of the proposed assignee, if required. Upon the request of the Department, the Contractor shall provide any other information demonstrating that the proposed assignee has the necessary facilities, skill, integrity, past experience and financial resources to perform the specified services in accordance with the terms and conditions of this Agreement. The Agency

shall make a final determination in writing approving or disapproving the assignee after receiving all requested information.

C. Failure to obtain the prior written consent to such an assignment, transfer, conveyance, or other disposition may result in the revocation and annulment of this Agreement, at the option of the Commissioner. The City shall thereupon be relieved and discharged from any further liability and obligation to the Contractor, its assignees, or transferees, who shall forfeit all monies earned under this Agreement, except so much as may be necessary to pay the Contractor's employees.

D. The provisions of this Section shall not hinder, prevent, or affect an assignment by the Contractor for the benefit of its creditors made pursuant to the Laws of the State.

E. This Agreement may be assigned, in whole or in part, by the City to any corporation, agency, or instrumentality having authority to accept such assignment. The City shall provide the Contractor with written notice of any such assignment.

Section 3.02 Subcontracting

A. The Contractor shall not enter into any subcontract for the performance of its obligations, in whole or in part, under this Agreement without the prior approval by the Department of the subcontractor. All subcontracts must be in writing.

B. Prior to entering into any subcontract for an amount greater than Five Thousand Dollars ($5,000), the Contractor shall submit a written request for the approval of the proposed subcontractor to the Department giving the name and address of the proposed subcontractor and the portion of the services that it is to perform and furnish. At the request of the Department, a copy of the proposed subcontract shall be submitted to the Department. The proposed subcontractor's VENDEX Questionnaire must be submitted, if required, within thirty (30) Days after the ACCO has granted preliminary approval of the proposed subcontractor. Upon the request of the Department, the Contractor shall provide any other information demonstrating that the proposed subcontractor has the necessary facilities, skill, integrity, past experience and financial resources to perform the specified services in accordance with the terms and conditions of this Agreement. The Agency shall make a final determination in writing approving or disapproving the subcontractor after receiving all requested information. For proposed subcontracts that do not exceed Twenty-five Thousand Dollars ($25,000), the Department's approval shall be deemed granted if the Department does not issue a written approval or disapproval within forty-five (45) Days of the Department's receipt of the written request for approval or, if applicable, within forty-five (45) Days of the Department's acknowledged receipt of fully completed VENDEX Questionnaires for the subcontractor.

C. All subcontracts shall contain provisions specifying that:

1. The work performed by the subcontractor must be in accordance with the terms of the agreement between the City and the Contractor;

2. Nothing contained in the agreement between the Contractor and the subcontractor shall impair the rights of the City;

3. Nothing contained in the agreement between the Contractor and the subcontractor, or under the agreement between the City and the Contractor, shall create any contractual relation between the subcontractor and the City; and

4. The subcontractor specifically agrees to be bound by Section 4.07 and Article 5 of this Appendix A and specifically agrees that the City may enforce such provisions directly against the subcontractor as if the City were a party to the subcontract.

D. The Contractor agrees that it is as fully responsible to the Department for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by such subcontractors as it is for the acts and omissions of any person directly employed by it.

E. For determining the value of a subcontract, all subcontracts with the same subcontractor shall be aggregated.

F. The Department may revoke the approval of a subcontractor granted or deemed granted pursuant to Paragraphs (A) and (B) of this section if revocation is deemed to be in the interest of the City in writing on no less than ten (10) Days notice unless a shorter period is warranted by considerations of health, safety, integrity issues or other similar factors. Upon the effective date of such revocation, the Contractor shall cause the subcontractor to cease all work under the Agreement. The City shall not incur any further obligation for services performed by such subcontractor pursuant to this Agreement beyond the effective date of the revocation. The City shall pay for services provided by the subcontractor in accordance with this Agreement prior to the effective date of revocation.

G. The Department's approval of a subcontractor shall not relieve the Contractor of any of its responsibilities, duties and liabilities under this Agreement. At the request of the Department, the Contractor shall provide the Department a copy of any subcontract.

H. Individual employer-employee contracts are not subcontracts subject to the requirements of this Section.

ARTICLE 4 - LABOR PROVISIONS

Section 4.01 Independent Contractor Status

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

Compensation coverage, Disability Benefits coverage, Unemployment Insurance benefits, Social Security coverage or employee retirement membership or credit.

Section 4.02 Employees

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

Section 4.03 Removal of Individuals Performing Work

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

Section 4.04 Minimum Wage

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

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

A. If this Agreement is for the construction, alteration or repair of any public building or public work or for the manufacture, sale, or distribution of materials, equipment, or supplies, the Contractor agrees, as required by New York State Labor Law § 220-e, that:

1. In the hiring of employees for the performance of work under this Agreement or any subcontract hereunder, neither the Contractor, subcontractor, nor any person acting on behalf of such Contractor or subcontractor, shall by reason of race, creed, color, disability, sex or national origin discriminate against any citizen of the State of New York who is qualified and available to perform the work to which the employment relates;

2. Neither the Contractor, subcontractor, nor any person on his or her behalf shall, in any manner, discriminate against or intimidate any employee hired for the performance of work under this Agreement on account of race, creed, color, disability, sex or national origin;

3. There may be deducted from the amount payable to the Contractor by the City under this Agreement a penalty of Fifty Dollars ($50) for each person for each calendar day during which such person was discriminated against or intimidated in violation of the provisions of this Agreement; and

4. This Agreement may be terminated by the City, and all monies due or to become due hereunder may be forfeited, for a second or any subsequent violation of the terms or conditions of this Section.

B. The provisions of this Section shall be limited to operations performed within the territorial limits of the State of New York.

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

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

A. It shall be unlawful for any person engaged in the construction, alteration or repair of buildings or engaged in the construction or repair of streets or highways pursuant to a contract with the City or engaged in the manufacture, sale or distribution of materials, equipment or supplies pursuant to a contract with the City to refuse to employ or to refuse to continue in any employment any person on account of the race, color or creed of such person.

B. It shall be unlawful for any person or any servant, agent or employee of any person, described in Paragraph A above, to ask, indicate or transmit, orally or in writing, directly or indirectly, the race, color, creed or religious affiliation of any person employed or seeking employment from such person, firm or corporation.

C. Breach of the foregoing provisions shall be deemed a breach of a material provision of this Agreement.

D. Any person, or the employee, manager or owner of or officer of such firm or corporation who shall violate any of the provisions of this Section shall, upon conviction thereof,

be punished by a fine of not more than One Hundred Dollars ($100) or by imprisonment for not more than thirty (30) Days, or both.

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

A. This Agreement is subject to the requirements of City Executive Order No. 50 (1980) ("E.O. 50"), as revised, and the rules set forth at 66 RCNY § 10-01 et seq. No agreement will be awarded unless and until these requirements have been complied with in their entirety. The Contractor agrees that it:

1. Will not discriminate unlawfully against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability, marital status, sexual orientation or citizenship status with respect to all employment decisions including, but not limited to, recruitment, hiring, upgrading, demotion, downgrading, transfer, training, rates of pay or other forms of compensation, layoff, termination, and all other terms and conditions of employment;

2. Will not discriminate unlawfully in the selection of subcontractors on the basis of the owners', partners' or shareholders' race, color, creed, national origin, sex, age, disability, marital status, sexual orientation, or citizenship status;

3. Will state in all solicitations or advertisements for employees placed by or on behalf of the Contractor that all qualified applicants will receive consideration for employment without unlawful discrimination based on race, color, creed, national origin, sex, age, disability, marital status, sexual orientation or citizenship status, and that it is an equal employment opportunity employer;

4. Will send to each labor organization or representative of workers with which it has a collective bargaining agreement or other contract or memorandum of understanding, written notification of its equal employment opportunity commitments under E.O. 50 and the rules and regulations promulgated thereunder;

5. Will furnish before this Agreement is awarded all information and reports including an Employment Report which are required by E.O. 50, the rules and regulations promulgated thereunder, and orders of the City Department of Small Business Services, Division of Labor Services ("DLS"); and

6. Will permit DLS to have access to all relevant books, records, and accounts for the purposes of investigation to ascertain compliance with such rules, regulations, and orders.

B. The Contractor understands that in the event of its noncompliance with the nondiscrimination clauses of this Agreement or with any of such rules, regulations, or orders, such noncompliance shall constitute a material breach of this Agreement and noncompliance with E.O. 50 and the rules and regulations promulgated thereunder. After a hearing held pursuant to the rules of DLS, the Director of DLS may direct the Commissioner to impose any or all of the following sanctions:

1. Disapproval of the Contractor; and/or

2. Suspension or termination of the Agreement; and/or

3. Declaring the Contractor in default; and/or

4. In lieu of any of the foregoing sanctions, imposition of an employment program.

C. Failure to comply with E.O. 50 and the rules and regulations promulgated thereunder in one or more instances may result in the Department declaring the Contractor to be non-responsible.

D. The Contractor agrees to include the provisions of the foregoing Paragraphs in every subcontract or purchase order in excess of One Hundred Thousand Dollars ($100,000) to which it becomes a party unless exempted by E.O. 50 and the rules and regulations promulgated thereunder, so that such provisions will be binding upon each subcontractor or vendor. The Contractor will take such action with respect to any subcontract or purchase order as may be directed by the Director of DLS as a means of enforcing such provisions including sanctions for noncompliance. A supplier of unfinished products to the Contractor needed to produce the item contracted for shall not be considered a subcontractor or vendor for purposes of this Paragraph.

E. The Contractor further agrees that it will refrain from entering into any subcontract or modification thereof subject to E.O. 50 and the rules and regulations promulgated thereunder with a subcontractor who is not in compliance with the requirements of E.O. 50 and the rules and regulations promulgated thereunder. A supplier of unfinished products to the Contractor needed to produce the item contracted for shall not be considered a subcontractor for purposes of this Paragraph.

F. Nothing contained in this Section shall be construed to bar any religious or denominational institution or organization, or any organization operated for charitable or educational purposes, that is operated, supervised or controlled by or in connection with a religious organization, from lawfully limiting employment or lawfully giving preference to persons of the same religion or denomination or from lawfully making such selection as is calculated by such organization to promote the religious principles for which it is established or maintained.

ARTICLE 5 - RECORDS, AUDITS, REPORTS, AND INVESTIGATIONS

Section 5.01 Books and Records

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

Section 5.02 Retention of Records

The Contractor agrees to retain all books, records, and other documents relevant to this Agreement, including those required pursuant to Section 5.01, for six years after the final payment or expiration or termination of this Agreement, or for a period otherwise prescribed by Law, whichever is later. In addition, if any litigation, claim, or audit concerning this Agreement has commenced before the expiration of the six-year period, the records must be retained until the completion of such litigation, claim, or audit. Any books, records and other documents that are created in an electronic format in the regular course of business may be retained in an electronic format. Any books, records, and other documents that are created in the regular course of business as a paper copy may be retained in an electronic format provided that the records satisfy the requirements of New York Civil Practice Law and Rules ("CPLR") 4539(b), including the requirement that the reproduction is created in a manner "which does not permit additions, deletions, or changes without leaving a record of such additions, deletions, or changes." Furthermore, the Contractor agrees to waive any objection to the admissibility of any such books, records or other documents on the grounds that such documents do not satisfy CPLR 4539(b).

Section 5.03 Inspection

A. At any time during the Agreement or during the record retention period set forth in section 5.02, the City, including the Department and the Department's Office of the Inspector General, as well as City, State and federal auditors and any other persons duly authorized by the City shall, upon reasonable notice, have full access to and the right to examine and copy all books, records, and other documents maintained or retained by or on behalf of the Contractor pursuant to this Article. Notwithstanding any provision herein regarding notice of inspection, all books, records and other documents of the Contractor kept pursuant to this Agreement shall be subject to immediate inspection, review, and copying by the Department's Office of the Inspector General and/or the Comptroller without prior notice and at no additional cost to the City. The Contractor shall make such books, records and other documents available for inspection in the City of New York or shall reimburse the City for expenses associated with the out-of-City inspection.

B. The Department shall have the right to have representatives of the Department or of the City, State or federal government present to observe the services being performed.

C. The Contractor shall not be entitled to final payment until the Contractor has complied with any request for inspection or access given under this Section.

Section 5.04 Audit

A. This Agreement and all books, records, documents, and other evidence required to be maintained or retained pursuant to this Agreement, including all vouchers or invoices presented for payment and the books, records, and other documents upon which such vouchers or invoices are based (e.g., reports, cancelled checks, accounts, and all other similar material), are

subject to audit by (i) the City, including the Comptroller, the Department, and the Department's Office of the Inspector General, (ii) the State, (iii) the federal government, and (iv) other persons duly authorized by the City. Such audits may include examination and review of the source and application of all funds whether from the City, the State, the federal government, private sources or otherwise.

B. Audits by the City, including the Comptroller, the Department, and the Department's Office of the Inspector General, are performed pursuant to the powers and responsibilities conferred by the Charter and the Admin. Code, as well as all orders, rules, and regulations promulgated pursuant to the Charter and Admin. Code.

C. The Contractor shall submit any and all documentation and justification in support of expenditures or fees under this Agreement as may be required by the Department and by the Comptroller in the exercise of his/her powers under Law.

D. The Contractor shall not be entitled to final payment until the Contractor has complied with the requirements of this Section.

Section 5.05 No Removal of Records from Premises

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

Section 5.06 Electronic Records

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

Section 5.07 Investigations Clause

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

B. 1. If any person who has been advised that his or her statement, and any information from such statement, will not be used against him or her in any subsequent criminal

proceeding refuses to testify before a grand jury or other governmental agency or authority empowered directly or by designation to compel the attendance of witnesses and to examine witnesses under oath concerning the award of or performance under any transaction, agreement, lease, permit, contract, or license entered into with the City, or State, or any political subdivision or public authority thereof, or the Port Authority of New York and New Jersey, or any local development corporation within the City, or any public benefit corporation organized under the Laws of the State, or;

2. If any person refuses to testify for a reason other than the assertion of his or her privilege against self-incrimination in an investigation, audit or inquiry conducted by a City or State governmental agency or authority empowered directly or by designation to compel the attendance of witnesses and to take testimony under oath, or by the Inspector General of the governmental agency that is a party in interest in, and is seeking testimony concerning the award of, or performance under, any transaction, agreement, lease, permit, contract, or license entered into with the City, the State, or any political subdivision thereof or any local development corporation within the City, then;

C. 1. The Commissioner or Agency Head whose agency is a party in interest to the transaction, submitted bid, submitted proposal, contract, lease, permit, or license shall convene a hearing, upon not less than five (5) Days written notice to the parties involved to determine if any penalties should attach for the failure of a person to testify.

2. If any non-governmental party to the hearing requests an adjournment, the Commissioner or Agency Head who convened the hearing may, upon granting the adjournment, suspend any contract, lease, permit, or license pending the final determination pursuant to Paragraph E below without the City incurring any penalty or damages for delay or otherwise.

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

1. The disqualification for a period not to exceed five (5) years from the date of an adverse determination for any person, or any entity of which such person was a member at the time the testimony was sought, from submitting bids for, or transacting business with, or entering into or obtaining any contract, lease, permit or license with or from the City; and/or

2. The cancellation or termination of any and all such existing City contracts, leases, permits or licenses that the refusal to testify concerns and that have not been assigned as permitted under this Agreement, nor the proceeds of which pledged, to an unaffiliated and unrelated institutional lender for fair value prior to the issuance of the notice scheduling the hearing, without the City incurring any penalty or damages on account of such cancellation or termination; monies lawfully due for goods delivered, work done, rentals, or fees accrued prior to the cancellation or termination shall be paid by the City.

E. The Commissioner or Agency Head shall consider and address in reaching his or her determination and in assessing an appropriate penalty the factors in Paragraphs (1) and (2) below. He or she may also consider, if relevant and appropriate, the criteria established in

Paragraphs (3) and (4) below, in addition to any other information that may be relevant and appropriate:

1. The party's good faith endeavors or lack thereof to cooperate fully and faithfully with any governmental investigation or audit, including but not limited to the discipline, discharge, or disassociation of any person failing to testify, the production of accurate and complete books and records, and the forthcoming testimony of all other members, agents, assignees or fiduciaries whose testimony is sought.

2. The relationship of the person who refused to testify to any entity that is a party to the hearing, including, but not limited to, whether the person whose testimony is sought has an ownership interest in the entity and/or the degree of authority and responsibility the person has within the entity.

3. The nexus of the testimony sought to the subject entity and its contracts, leases, permits or licenses with the City.

4. The effect a penalty may have on an unaffiliated and unrelated party or entity that has a significant interest in an entity subject to penalties under Paragraph D above, provided that the party or entity has given actual notice to the Commissioner or Agency Head upon the acquisition of the interest, or at the hearing called for in Paragraph (C)(1) above gives notice and proves that such interest was previously acquired. Under either circumstance, the party or entity must present evidence at the hearing demonstrating the potential adverse impact a penalty will have on such person or entity.

F. Definitions

1. The term "license" or "permit" as used in this Section shall be defined as a license, permit, franchise, or concession not granted as a matter of right.

2. The term "person" as used in this Section shall be defined as any natural person doing business alone or associated with another person or entity as a partner, director, officer, principal or employee.

3. The term "entity" as used in this Section shall be defined as any firm, partnership, corporation, association, or person that receives monies, benefits, licenses, leases, or permits from or through the City, or otherwise transacts business with the City.

4. The term "member" as used in this Section shall be defined as any person associated with another person or entity as a partner, director, officer, principal, or employee.

G. In addition to and notwithstanding any other provision of this Agreement, the Commissioner or Agency Head may in his or her sole discretion terminate this Agreement upon not less than three (3) Days written notice in the event the Contractor fails to promptly report in writing to the City Commissioner of Investigation any solicitation of money, goods, requests for future employment or other benefits or thing of value, by or on behalf of any employee of the City or other person or entity for any purpose that may be related to the procurement or obtaining of this Agreement by the Contractor, or affecting the performance of this Agreement.

Section 5.08 Confidentiality

A. The Contractor agrees to hold confidential, both during and after the completion or termination of this Agreement, all of the reports, information, or data, furnished to, or prepared, assembled or used by, the Contractor under this Agreement. The Contractor agrees that such reports, information, or data shall not be made available to any person or entity without the prior written approval of the Department. The Contractor agrees to maintain the confidentiality of such reports, information, or data by using a reasonable degree of care, and using at least the same degree of care that the Contractor uses to preserve the confidentiality of its own confidential information. In the event that the data contains social security numbers or other Personal Identifying Information, as such term is defined in Paragraph B of this Section, the Contractor shall utilize best practice methods (e.g., encryption of electronic records) to protect the confidentiality of such data. The obligation under this Section to hold reports, information or data confidential shall not apply where the City would be required to disclose such reports, information or data pursuant to the State Freedom of Information Law ("FOIL"), provided that the Contractor provides advance notice to the City, in writing or by e-mail, that it intends to disclose such reports, information or data and the City does not inform the contractor, in writing or by e-mail, that such reports, information, or data are not subject to disclosure under FOIL.

B. The Contractor shall provide notice to the Department within three (3) days of the discovery by the Contractor of any breach of security, as defined in Admin. Code § 10-501(b), of any data, encrypted or otherwise, in use by the Contractor that contains social security numbers or other personal identifying information as defined in Admin. Code § 10-501 ("Personal Identifying Information"), where such breach of security arises out of the acts or omissions of the Contractor or its employees, subcontractors, or agents. Upon the discovery of such security breach, the Contractor shall take reasonable steps to remediate the cause or causes of such breach, and shall provide notice to the Department of such steps. In the event of such breach of security, without limiting any other right of the City, the City shall have the right to withhold further payments under this Agreement for the purpose of set-off in sufficient sums to cover the costs of notifications and/or other actions mandated by any Law, or administrative or judicial order, to address the breach, and including any fines or disallowances imposed by the State or federal government as a result of the disclosure. The City shall also have the right to withhold further payments hereunder for the purpose of set-off in sufficient sums to cover the costs of credit monitoring services for the victims of such a breach of security by a national credit reporting agency, and/or any other commercially reasonable preventive measure. The Department shall provide the Contractor with written notice and an opportunity to comment on such measures prior to implementation. Alternatively, at the City's discretion, or if monies remaining to be earned or paid under this Agreement are insufficient to cover the costs detailed above, the Contractor shall pay directly for the costs, detailed above, if any.

C. The Contractor shall restrict access to confidential information to persons who have a legitimate work related purpose to access such information. The Contractor agrees that it will instruct its officers, employees, and agents to maintain the confidentiality of any and all information required to be kept confidential by this Agreement.

D. The Contractor, and its officers, employees, and agents shall notify the Department, at any time either during or after completion or termination of this Agreement, of any intended statement to the press or any intended issuing of any material for publication in any media of communication (print, news, television, radio, Internet, etc.) regarding the services provided or the data collected pursuant to this Agreement at least twenty-four (24) hours prior to any statement to the press or at least five (5) business Days prior to the submission of the material for publication, or such shorter periods as are reasonable under the circumstances. The Contractor may not issue any statement or submit any material for publication that includes confidential information as prohibited by this Section 5.08.

E. At the request of the Department, the Contractor shall return to the Department any and all confidential information in the possession of the Contractor or its subcontractors. If the Contractor or its subcontractors are legally required to retain any confidential information, the Contractor shall notify the Department in writing and set forth the confidential information that it intends to retain and the reasons why it is legally required to retain such information. The Contractor shall confer with the Department, in good faith, regarding any issues that arise from the Contractor retaining such confidential information. If the Department does not request such information, or the Law does not require otherwise, such information shall be maintained in accordance with the requirements set forth in Section 5.02.

F. A breach of this Section shall constitute a material breach of this Agreement for which the Department may terminate this Agreement pursuant to Article 10. The Department reserves any and all other rights and remedies in the event of unauthorized disclosure.

ARTICLE 6 - COPYRIGHTS, PATENTS, INVENTIONS, AND ANTITRUST

Section 6.01 Copyrights

A. Any reports, documents, data, photographs, deliverables, and/or other materials produced pursuant to this Agreement, and any and all drafts and/or other preliminary materials in any format related to such items produced pursuant to this Agreement, shall upon their creation become the exclusive property of the City.

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

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

C. The Contractor acknowledges that the City may, in its sole discretion, register copyright in the Copyrightable Materials with the United States Copyright Office or any other government agency authorized to grant copyright registrations. The Contractor shall fully cooperate in this effort, and agrees to provide any and all documentation necessary to accomplish this.

D. The Contractor represents and warrants that the Copyrightable Materials: (i) are wholly original material not published elsewhere (except for material that is in the public domain); (ii) do not violate any copyright Law; (iii) do not constitute defamation or invasion of the right of privacy or publicity; and (iv) are not an infringement, of any kind, of the rights of any third party. To the extent that the Copyrightable Materials incorporate any non-original material, the Contractor has obtained all necessary permissions and clearances, in writing, for the use of such non-original material under this Agreement, copies of which shall be provided to the City upon execution of this Agreement.

E. If the services under this Agreement are supported by a federal grant of funds, the federal and State government reserves a royalty-free, non-exclusive irrevocable license to reproduce, publish, or otherwise use and to authorize others to use, for federal or State government purposes, the copyright in any Copyrightable Materials developed under this Agreement.

F. If the Contractor publishes a work dealing with any aspect of performance under this Agreement, or with the results of such performance, the City shall have a royalty-free, non-exclusive irrevocable license to reproduce, publish, or otherwise use such work for City governmental purposes.

Section 6.02 Patents and Inventions

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

Section 6.03 Pre-existing Rights

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

Section 6.04 Antitrust

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

ARTICLE 7 - INSURANCE

Section 7.01 Agreement to Insure

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

Section 7.02 Commercial General Liability Insurance

A. The Contractor shall maintain Commercial General Liability Insurance covering the Contractor as Named Insured and the City as an Additional Insured in the amount of at least One Million Dollars ($1,000,000) per occurrence. Such insurance shall protect the City and the Contractor from claims for property damage and/or bodily injury, including death that may arise from any of the operations under this Agreement. Coverage under this insurance shall be at least as broad as that provided by the most recently issued Insurance Services Office ("ISO") Form CG 0001, shall contain no exclusions other than as required by law or as approved by the Department, and shall be "occurrence" based rather than "claims-made."

B. Such Commercial General Liability Insurance shall name the City, together with its officials and employees, as an Additional Insured with coverage at least as broad as the most recently issued ISO Form CG 20 10.

C. The Contractor shall ensure that each subcontractor adds the City, together with its officials and employees, as an Additional Insured under all Commercial General Liability Insurance policies obtained by a subcontractor covering work performed by such subcontractor under this Agreement with coverage at least as broad as the most recently issued ISO Form CG 20 26.

Section 7.03 Professional Liability Insurance

A. At the Department's direction, if professional services are provided pursuant to this Agreement, the Contractor shall maintain and submit evidence of Professional Liability Insurance appropriate to the type(s) of such services to be provided under this Agreement in the amount of at least Two Million Dollars ($2,000,000) per claim. The policy or policies shall include an endorsement to cover the liability assumed by the Contractor under this Agreement arising out of the negligent performance of professional services or caused by an error, omission or negligent act of the Contractor or anyone employed by the Contractor.

B. All subcontractors of the Contractor providing professional services under this Agreement for which Professional Liability Insurance is reasonably commercially available shall also maintain such insurance in the amount of at least One Million Dollars ($1,000,000) per claim, and the Contractor shall provide to the Department, at the time of the request for subcontractor approval, evidence of such Professional Liability Insurance on forms acceptable to the Department.

C. Claims-made policies will be accepted for Professional Liability Insurance. All such policies shall have an extended reporting period option or automatic coverage of not less than two (2) years. If available as an option, the Contractor shall purchase extended reporting period coverage effective on cancellation or termination of such insurance unless a new policy is secured with a retroactive date, including at least the last policy year.

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

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

Section 7.05 Unemployment Insurance

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

Section 7.06 Business Automobile Liability Insurance

A. If vehicles are used in the provision of services under this Agreement, then the Contractor shall maintain Business Automobile Liability insurance in the amount of at least One Million Dollars ($1,000,000) each accident combined single limit for liability arising out of ownership, maintenance or use of any owned, non-owned, or hired vehicles to be used in connection with this Agreement. Coverage shall be at least as broad as ISO Form CA0001, ed. 10/01.

B. If vehicles are used for transporting hazardous materials, the Business Automobile Liability Insurance shall be endorsed to provide pollution liability broadened coverage for covered vehicles (endorsement CA 99 48) as well as proof of MCS-90.

Section 7.07 General Requirements for Insurance Coverage and Policies

A. All required insurance policies shall be maintained with companies that may lawfully issue the required policy and have an A.M. Best rating of at least A- / "VII" or a Standard and Poor's rating of at least A, unless prior written approval is obtained from the City Law Department.

B. All insurance policies shall be primary (and non-contributing) to any insurance or self-insurance maintained by the City.

C. The Contractor shall be solely responsible for the payment of all premiums for all required insurance policies and all deductibles or self-insured retentions to which such policies are subject, whether or not the City is an insured under the policy.

D. There shall be no self-insurance program with regard to any insurance required under this Article unless approved in writing by the Commissioner. Any such self-insurance program shall provide the City with all rights that would be provided by traditional insurance required under this Article, including but not limited to the defense obligations that insurers are required to undertake in liability policies.

E. The City's limits of coverage for all types of insurance required under this Article shall be the greater of (i) the minimum limits set forth in this Article or (ii) the limits provided to the Contractor as Named Insured under all primary, excess, and umbrella policies of that type of coverage.

F. All insurance policies required pursuant to Sections 7.02 and 7.03 shall contain the following endorsement: "This policy may not be cancelled, terminated, modified or changed for any reason other than non-payment unless thirty (30) Days prior written notice is sent by the Insurance Company to the Named Insured, the Commissioner [insert Agency], and to the New York City Comptroller, Attn: Office of Contract Administration, Municipal Building, One Centre Street, Room 1005, New York, New York 10007. For non-payment, at least ten (10) Days written notice must be provided."

Section 7.08 Proof of Insurance

A. For Workers' Compensation Insurance, Disability Benefits Insurance, and Employer's Liability Insurance, the Contractor shall file one of the following within ten (10) Days of award of this Agreement. ACORD forms are not acceptable proof of workers' compensation coverage.

1. C-105.2 Certificate of Workers' Compensation Insurance;

2. U-26.3 -- State Insurance Fund Certificate of Workers' Compensation Insurance;

3. Request for WC/DB Exemption (Form CE-200);

4. Equivalent or successor forms used by the New York State Workers' Compensation Board; or

5. Other proof of insurance in a form acceptable to the City.

B. For each policy required under this Agreement, except for Workers' Compensation Insurance, Disability Benefits Insurance, Employer's Liability Insurance, and Unemployment Insurance, the Contractor shall file a Certificate of Insurance with the Department within ten (10) Days of award of this Agreement. All Certificates of Insurance shall be (a) in a form acceptable to the City and certify the issuance and effectiveness of such policies of insurance, each with the specified minimum limits; and (b) accompanied by the endorsement in the Contractor's general liability policy by which the City has been made an additional insured pursuant to Section 7.02(B). All Certificate(s) of Insurance shall be accompanied by either a duly executed "Certification by Broker" in the form attached to this Appendix A or copies of all policies referenced in the Certificate of Insurance. If complete policies have not yet been issued, binders are acceptable, until such time as the complete policies have been issued, at which time such policies shall be submitted.

C. Certificates of Insurance confirming renewals of insurance shall be submitted to the Commissioner prior to the expiration date of coverage of policies required under this Article. Such Certificates of Insurance shall comply with the requirements of Section 7.08 (A) and Section 7.08(B), as applicable.

D. The Contractor shall provide the City with a copy of any policy required under this Article upon the demand for such policy by the Commissioner or the New York City Law Department.

E. Acceptance by the Commissioner of a certificate or a policy does not excuse the Contractor from maintaining policies consistent with all provisions of this Article (and ensuring that subcontractors maintain such policies) or from any liability arising from its failure to do so.

Section 7.09 Miscellaneous

A. Where notice of loss, damage, occurrence, accident, claim or suit is required under a policy maintained in accordance with this Article, the Contractor shall notify in writing all insurance carriers that issued potentially responsive policies of any such event relating to any operations under this Agreement (including notice to Commercial General Liability Insurance carriers for events relating to the Contractor's own employees) no later than twenty (20) Days after such event. Such notice shall expressly specify that "this notice is being given on behalf of the City of New York as Additional Insured as well as the Named Insured." Such notice shall also contain the following information: the number of the insurance policy, the name of the named insured, the date and location of the damage, occurrence, or accident, and the identity of the persons or things injured, damaged, or lost. The Contractor shall simultaneously send a copy of such notice to the City of New York c/o Insurance Claims Specialist, Affirmative Litigation Division, New York City Law Department, 100 Church Street, New York, New York 10007.

B. The Contractor's failure to maintain any of the insurance required by this Article shall constitute a material breach of this Agreement. Such breach shall not be waived or otherwise excused by any action or inaction by the City at any time.

C. Insurance coverage in the minimum amounts required in this Article shall not relieve the Contractor or its subcontractors of any liability under this Agreement, nor shall it preclude the City from exercising any rights or taking such other actions as are available to it under any other provisions of this Agreement or Law.

D. The Contractor waives all rights against the City, including its officials and employees for any damages or losses that are covered under any insurance required under this Article (whether or not such insurance is actually procured or claims are paid thereunder) or any other insurance applicable to the operations of the Contractor and/or its subcontractors in the performance of this Agreement.

ARTICLE 8 - PROTECTION OF PERSONS AND PROPERTY AND INDEMNIFICATION

Section 8.01 Reasonable Precautions

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

Section 8.02 Protection of City Property

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

Section 8.03 Indemnification

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

Section 8.04 Infringement Indemnification

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

Section 8.05 Indemnification Obligations Not Limited By Insurance Obligation

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

Section 8.06 Actions By or Against Third Parties

A. In the event any claim is made or any action brought in any way relating to Agreement, other than an action between the City and the Contractor, the Contractor shall diligently render to the City without additional compensation all assistance which the City may reasonably require of the Contractor.

B. The Contractor shall report to the Department in writing within five (5) business Days of the initiation by or against the Contractor of any legal action or proceeding in connection with or relating to this Agreement.

Section 8.07 Withholding of Payments

A. In the event that any claim is made or any action is brought against the City for which the Contractor may be required to indemnify the City pursuant to this Agreement, the City shall have the right to withhold further payments under this Agreement for the purpose of set-off in sufficient sums to cover the said claim or action.

B. In the event that any City property is lost or damaged as set forth in Section 8.02, except for normal wear and tear, the City shall have the right to withhold further payments under this Agreement for the purpose of set-off in sufficient sums to cover such loss or damage.

C. The City shall not, however, impose a setoff in the event that an insurance company that provided liability insurance pursuant to Article 7 above has accepted the City's tender of the claim or action without a reservation of rights.

D. The Department may, at its option, withhold for purposes of set-off any monies due to the Contractor under this Agreement up to the amount of any disallowances or questioned costs resulting from any audits of the Contractor or to the amount of any overpayment to the Contractor with regard to this Agreement.

E. The rights and remedies of the City provided for in this Section shall not be exclusive and are in addition to any other rights and remedies provided by Law or this Agreement.

Section 8.08 No Third Party Rights

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

ARTICLE 9 - CONTRACT CHANGES

Section 9.01 Contract Changes

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

Section 9.02 Changes Through Fault of Contractor

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

ARTICLE 10 - TERMINATION, DEFAULT, AND REDUCTIONS IN FUNDING

Section 10.01 Termination by the City Without Cause

A. The City shall have the right to terminate this Agreement, in whole or in part, without cause, in accordance with the provisions of Section 10.05.

B. If the City terminates this Agreement pursuant to this Section, the following provisions apply. The City shall not incur or pay any further obligation pursuant to this Agreement beyond the termination date set by the City pursuant to Section 10.05. The City shall pay for services provided in accordance with this Agreement prior to the termination date. In

addition, any obligation necessarily incurred by the Contractor on account of this Agreement prior to receipt of notice of termination and falling due after the termination date shall be paid by the City in accordance with the terms of this Agreement. In no event shall such obligation be construed as including any lease or other occupancy agreement, oral or written, entered into between the Contractor and its landlord.

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

A. This Agreement is funded in whole or in part by funds secured from the federal, State and/or City governments. Should there be a reduction or discontinuance of such funds by action of the federal, State and/or City governments, the City shall have, in its sole discretion, the right to terminate this Agreement in whole or in part, or to reduce the funding and/or level of services of this Agreement caused by such action by the federal, State and/or City governments, including, in the case of the reduction option, but not limited to, the reduction or elimination of programs, services or service components; the reduction or elimination of contract-reimbursable staff or staff-hours, and corresponding reductions in the budget of this Agreement and in the total amount payable under this Agreement. Any reduction in funds pursuant to this Section shall be accompanied by an appropriate reduction in the services performed under this Agreement.

B. In the case of the reduction option referred to in Paragraph A, above, any such reduction shall be effective as of the date set forth in a written notice thereof to the Contractor, which shall be not less than thirty (30) Days from the date of such notice. Prior to sending such notice of reduction, the Department shall advise the Contractor that such option is being exercised and afford the Contractor an opportunity to make within seven (7) Days any suggestion(s) it may have as to which program(s), service(s), service component(s), staff or staff-hours might be reduced or eliminated, provided, however, that the Department shall not be bound to utilize any of the Contractor's suggestions and that the Department shall have sole discretion as to how to effectuate the reductions.

C. If the City reduces funding pursuant to this Section, the following provisions apply. The City shall pay for services provided in accordance with this Agreement prior to the reduction date. In addition, any obligation necessarily incurred by the Contractor on account of this Agreement prior to receipt of notice of reduction and falling due after the reduction date shall be paid by the City in accordance with the terms of this Agreement. In no event shall such obligation be construed as including any lease or other occupancy agreement, oral or written, entered into between the Contractor and its landlord.

D. To the extent that the reduction in public funds is a result of the State determining that the Contractor may receive medical assistance funds pursuant to title eleven of article five of the Social Services Law to fund the services contained within the scope of a program under this Agreement, then the notice and effective date provisions of this section shall not apply, and the Department may reduce such public funds authorized under this Agreement by informing the Contractor of the amount of the reduction and revising attachments to this agreement as appropriate.

Section 10.03 Contractor Default

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

1. Upon a breach by the Contractor of a material term or condition of this Agreement, including unsatisfactory performance of the services;

2. Upon insolvency or the commencement of any proceeding by or against the Contractor, either voluntarily or involuntarily, under the Bankruptcy Code or relating to the insolvency, receivership, liquidation, or composition of the Contractor for the benefit of creditors;

3. If the Contractor refuses or fails to proceed with the services under the Agreement when and as directed by the Commissioner;

4. If the Contractor or any of its officers, directors, partners, five percent (5%) or greater shareholders, principals, or other employee or person substantially involved in its activities are indicted or convicted after execution of the Agreement under any state or federal law of any of the following:

a. a criminal offense incident to obtaining or attempting to obtain or performing a public or private contract;

b. fraud, embezzlement, theft, bribery, forgery, falsification, or destruction of records, or receiving stolen property;

c. a criminal violation of any state or federal antitrust law;

d. violation of the Racketeer Influence and Corrupt Organization Act, 18 U.S.C. § 1961 et seq., or the Mail Fraud Act, 18 U.S.C. § 1341 et seq., for acts in connection with the submission of bids or proposals for a public or private contract;

e. conspiracy to commit any act or omission that would constitute grounds for conviction or liability under any statute described in subparagraph (d) above; or

f. an offense indicating a lack of business integrity that seriously and directly affects responsibility as a City vendor.

5. If the Contractor or any of its officers, directors, partners, five percent (5%) or greater shareholders, principals, or other employee or person substantially involved in its activities are subject to a judgment of civil liability under any state or federal antitrust law for acts or omissions in connection with the submission of bids or proposals for a public or private contract; or

6. If the Contractor or any of its officers, directors, partners, five percent (5%) or greater shareholders, principals, or other employee or person substantially

involved in its activities makes or causes to be made any false, deceptive, or fraudulent material statement, or fail to make a required material statement in any bid, proposal, or application for City or other government work.

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

C. If the conditions set forth in the Notice to Cure are not cured within the period set forth in the Notice to Cure, the Commissioner may declare the Contractor in default pursuant to this Section. Before the Commissioner may exercise his or her right to declare the Contractor in default, the Commissioner shall give the Contractor an opportunity to be heard upon not less than five (5) business days notice. The Commissioner may, in his or her discretion, provide for such opportunity to be in writing or in person. Such opportunity to be heard shall not occur prior to the end of the cure period but notice of such opportunity to be heard may be given prior to the end of the cure period and may be given contemporaneously with the Notice to Cure.

D. After the opportunity to be heard, the Commissioner may terminate the Agreement, in whole or in part, upon finding the Contractor in default pursuant to this Section, in accordance with the provisions of Section 10.05.

E. The Commissioner, after declaring the Contractor in default, may have the services under the Agreement completed by such means and in such manner, by contract with or without public letting, or otherwise, as he or she may deem advisable in accordance with applicable PPB Rules. After such completion, the Commissioner shall certify the expense incurred in such completion, which shall include the cost of re-letting. Should the expense of such completion, as certified by the Commissioner, exceed the total sum which would have been payable under the Agreement if it had been completed by the Contractor, any excess shall be promptly paid by the Contractor upon demand by the City. The excess expense of such completion, including any and all related and incidental costs, as so certified by the Commissioner, and any liquidated damages assessed against the Contractor, may be charged against and deducted out of monies earned by the Contractor.

Section 10.04 Force Majeure

A. For purposes of this Agreement, a force majeure event is an act or event beyond the control and without any fault or negligence of the Contractor ("Force Majeure Event"). Such events may include, but are not limited to, fire, flood, earthquake, storm or other natural disaster, civil commotion, war, terrorism, riot, and labor disputes not brought about by any act or omission of the Contractor.

B. In the event the Contractor cannot comply with the terms of the Agreement (including any failure by the Contractor to make progress in the performance of the services)

because of a Force Majeure Event, then the Contractor may ask the Commissioner to excuse the nonperformance and/or terminate the Agreement. If the Commissioner, in his or her reasonable discretion, determines that the Contractor cannot comply with the terms of the Agreement because of a Force Majeure Event, then the Commissioner shall excuse the nonperformance and may terminate the Agreement. Such a termination shall be deemed to be without cause.

C. If the City terminates the Agreement pursuant to this Section, the following provisions apply. The City shall not incur or pay any further obligation pursuant to this Agreement beyond the termination date. The City shall pay for services provided in accordance with this Agreement prior to the termination date. Any obligation necessarily incurred by the Contractor on account of this Agreement prior to receipt of notice of termination and falling due after the termination date shall be paid by the City in accordance with the terms of this Agreement. In no event shall such obligation be construed as including any lease or other occupancy agreement, oral or written, entered into between the Contractor and its landlord.

Section 10.05 Procedures for Termination

A. The Department and/or the City shall give the Contractor written notice of any termination of this Agreement. Such notice shall specify the applicable provision(s) under which the Agreement is terminated and the effective date of the termination. Except as otherwise provided in this Agreement, the notice shall comply with the provisions of this Section. For termination without cause, the effective date of the termination shall not be less than ten (10) Days from the date the notice is personally delivered, or fifteen (15) Days from the date the notice is either sent by certified mail, return receipt requested, or sent by fax and deposited in a post office box regularly maintained by the United States Postal Service in a postage pre-paid envelope. In the case of termination for default, the effective date of the termination shall be as set forth above for a termination without cause or such earlier date as the Commissioner may determine. If the City terminates the Agreement in part, the Contractor shall continue the performance of the Agreement to the extent not terminated.

B. Upon termination or expiration of this Agreement, the Contractor shall comply with the City close-out procedures, including but not limited to:

1. Accounting for and refunding to the Department, within forty-five (45) Days, any unexpended funds which have been advanced to the Contractor pursuant to this Agreement;

2. Furnishing within forty-five (45) Days an inventory to the Department of all equipment, appurtenances and property purchased through or provided under this Agreement and carrying out any Department or City directive concerning the disposition of such equipment, appurtenances and property;

3. Turning over to the Department or its designees all books, records, documents and material specifically relating to this Agreement that the Department has requested be turned over;

4. Submitting to the Department, within ninety (90) Days, a final statement and report relating to the Agreement. The report shall be made by a certified public accountant or a licensed public accountant; and

5. Providing reasonable assistance to the Department in the transition, if any, to a new contractor.

Section 10.06 Miscellaneous Provisions

A. The Commissioner, in addition to any other powers set forth in this Agreement or by operation of Law, may suspend, in whole or in part, any part of the services to be provided under this Agreement whenever in his or her judgment such suspension is required in the best interest of the City. If the Commissioner suspends this Agreement pursuant to this Section, the City shall not incur or pay any further obligation pursuant to this Agreement beyond the suspension date until such suspension is lifted. The City shall pay for services provided in accordance with this Agreement prior to the suspension date. In addition, any obligation necessarily incurred by the Contractor on account of this Agreement prior to receipt of notice of suspension and falling due during the suspension period shall be paid by the City in accordance with the terms of this Agreement.

B. Notwithstanding any other provisions of this Agreement, the Contractor shall not be relieved of liability to the City for damages sustained by the City by virtue of the Contractor's breach of the Agreement, and the City may withhold payments to the Contractor for the purpose of set-off in the amount of damages due to the City from the Contractor.

C. The rights and remedies of the City provided in this Article shall not be exclusive and are in addition to all other rights and remedies provided by Law or under this Agreement.

ARTICLE 11 - PROMPT PAYMENT AND ELECTRONIC FUNDS TRANSFER

Section 11.01 Prompt Payment

A. The prompt payment provisions of PPB Rule § 4-06 are applicable to payments made under this Agreement. The provisions generally require the payment to the Contractor of interest on payments made after the required payment date, as set forth in the PPB Rules.

B. The Contractor shall submit a proper invoice to receive payment, except where the Agreement provides that the Contractor will be paid at predetermined intervals without having to submit an invoice for each scheduled payment.

C. Determination of interest due will be made in accordance with the PPB Rules and the applicable rate of interest shall be the rate in effect at the time of payment.

Section 11.02 Electronic Funds Transfer

A. In accordance with Admin. Code § 6-107.1, the Contractor agrees to accept payments under this Agreement from the City by electronic funds transfer. An electronic funds transfer is any transfer of funds, other than a transaction originated by check, draft, or similar paper instrument, which is initiated through an electronic terminal, telephonic instrument or computer or magnetic tape so as to order, instruct, or authorize a financial institution to debit or credit an account. Prior to the first payment made under this Agreement, the Contractor shall designate one financial institution or other authorized payment agent and shall complete the "EFT Vendor Payment Enrollment Form" available from the Agency or at http://www.nyc.gov/dof in order to provide the commissioner of the Department of Finance with information necessary for the Contractor to receive electronic funds transfer payments through the designated financial institution or authorized payment agent. The crediting of the amount of a payment to the appropriate account on the books of a financial institution or other authorized payment agent designated by the Contractor shall constitute full satisfaction by the City for the amount of the payment under this Agreement. The account information supplied by the Contractor to facilitate the electronic funds transfer shall remain confidential to the fullest extent provided by Law.

B. The Agency Head may waive the application of the requirements of this Section to payments on contracts entered into pursuant to Charter § 315. In addition, the commissioner of the Department of Finance and the Comptroller may jointly issue standards pursuant to which the Agency may waive the requirements of this Section for payments in the following circumstances: (i) for individuals or classes of individuals for whom compliance imposes a hardship; (ii) for classifications or types of checks; or (iii) in other circumstances as may be necessary in the best interest of the City.

C. This Section is applicable to contracts valued at Twenty-Five Thousand Dollars ($25,000) and above.

ARTICLE 12 - CLAIMS

Section 12.01 Choice of Law

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

Section 12.02 Jurisdiction and Venue

The parties agree that any and all claims asserted by or against the City arising under or related to this Agreement shall solely be heard and determined either in the courts of the United States located in the City or in the courts of the State located in the City and County of New York. The parties shall consent to the dismissal and/or transfer of any claims asserted in any

other venue or forum to the proper venue or forum. If the Contractor initiates any action in breach of this Section, the Contractor shall be responsible for and shall promptly reimburse the City for any attorneys' fees incurred by the City in removing the action to a proper court consistent with this Section.

Section 12.03 Resolution of Disputes

A. Except as provided in Subparagraphs (A)(1) and (A)(2) below, all disputes between the City and the Contractor that arise under, or by virtue of, this Agreement shall be finally resolved in accordance with the provisions of this Section and PPB Rule § 4-09. This procedure shall be the exclusive means of resolving any such disputes.

1. This Section shall not apply to disputes concerning matters dealt with in other sections of the PPB Rules or to disputes involving patents, copyrights, trademarks, or trade secrets (as interpreted by the courts of New York State) relating to proprietary rights in computer software, or to termination other than for cause.

2. For construction and construction-related services this Section shall apply only to disputes about the scope of work delineated by the Agreement, the interpretation of Agreement documents, the amount to be paid for extra work or disputed work performed in connection with the Agreement, the conformity of the Contractor's work to the Agreement, and the acceptability and quality of the Contractor's work; such disputes arise when the City Engineer, City Resident Engineer, City Engineering Audit Officer, or other designee of the Agency Head makes a determination with which the Contractor disagrees. For construction, this Section shall not apply to termination of the Agreement for cause or other than for cause.

B. All determinations required by this Section shall be clearly stated, with a reasoned explanation for the determination based on the information and evidence presented to the party making the determination. Failure to make such determination within the time required by this Section shall be deemed a non-determination without prejudice that will allow application to the next level.

C. During such time as any dispute is being presented, heard, and considered pursuant to this Section, the Agreement terms shall remain in full force and effect and, unless otherwise directed by the ACCO or Engineer, the Contractor shall continue to perform work in accordance with the Agreement and as directed by the ACCO or City Engineer, City Resident Engineer, City Engineering Audit Officer, or other designee of the Agency Head. Failure of the Contractor to continue the work as directed shall constitute a waiver by the Contractor of any and all claims being presented pursuant to this Section and a material breach of contract.

D. Presentation of Dispute to Agency Head.

1. Notice of Dispute and Agency Response. The Contractor shall present its dispute in writing ("Notice of Dispute") to the Agency Head within the time specified herein, or, if no time is specified, within thirty (30) Days of receiving written notice of the determination or action that is the subject of the dispute. This notice requirement

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

2. Agency Head Inquiry. The Agency Head shall examine the material and may, in his or her discretion, convene an informal conference with the Contractor and the ACCO and, in the case of construction or construction-related services, the City Engineer, City Resident Engineer, City Engineering Audit Officer, or other designee of the Agency Head, to resolve the issue by mutual consent prior to reaching a determination. The Agency Head may seek such technical or other expertise as he or she shall deem appropriate, including the use of neutral mediators, and require any such additional material from either or both parties as he or she deems fit. The Agency Head's ability to render, and the effect of, a decision hereunder shall not be impaired by any negotiations in connection with the dispute presented, whether or not the Agency Head participated therein. The Agency Head may or, at the request of any party to the dispute, shall compel the participation of any other contractor with a contract related to the work of this Agreement and that contractor shall be bound by the decision of the Agency Head. Any contractor thus brought into the dispute resolution proceeding shall have the same rights and obligations under this Section as the Contractor initiating the dispute.

3. Agency Head Determination. Within thirty (30) Days after the receipt of all materials and information, or such longer time as may be agreed to by the parties, the Agency Head shall make his or her determination and shall deliver or send a copy of such determination to the Contractor and ACCO and, in the case of construction or construction-related services, the City Engineer, City Resident Engineer, City Engineering Audit Officer, or other designee of the Agency Head, together with a statement concerning how the decision may be appealed.

4. Finality of Agency Head Decision. The Agency Head's decision shall be final and binding on all parties, unless presented to the Contract Dispute Resolution Board ("CDRB") pursuant to this Section. The City may not take a petition to the CDRB. However, should the Contractor take such a petition, the City may seek, and the CDRB

may render, a determination less favorable to the Contractor and more favorable to the City than the decision of the Agency Head.

E. Presentation of Dispute to the Comptroller. Before any dispute may be brought by the Contractor to the CDRB, the Contractor must first present its claim to the Comptroller for his or her review, investigation, and possible adjustment.

1. Time, Form, and Content of Notice. Within thirty (30) Days of receipt of a decision by the Agency Head, the Contractor shall submit to the Comptroller and to the Agency Head a Notice of Claim regarding its dispute with the Agency. The Notice of Claim shall consist of (i) a brief statement of the substance of the dispute, the amount of money, if any, claimed and the reason(s) the Contractor contends the dispute was wrongly decided by the Agency Head; (ii) a copy of the decision of the Agency Head; and (iii) a copy of all materials submitted by the Contractor to the Agency, including the Notice of Dispute. The Contractor may not present to the Comptroller any material not presented to the Agency Head, except at the request of the Comptroller.

2. Agency Response. Within thirty (30) Days of receipt of the Notice of Claim, the Agency shall make available to the Comptroller a copy of all material submitted by the Agency to the Agency Head in connection with the dispute. The Agency may not present to the Comptroller any material not presented to the Agency Head, except at the request of the Comptroller.

3. Comptroller Investigation. The Comptroller may investigate the claim in dispute and, in the course of such investigation, may exercise all powers provided in Admin. Code §§ 7-201 and 7-203. In addition, the Comptroller may demand of either party, and such party shall provide, whatever additional material the Comptroller deems pertinent to the claim, including original business records of the Contractor. Willful failure of the Contractor to produce within fifteen (15) Days any material requested by the Comptroller shall constitute a waiver by the Contractor of its claim. The Comptroller may also schedule an informal conference to be attended by the Contractor, Agency representatives, and any other personnel desired by the Comptroller.

4. Opportunity of Comptroller to Compromise or Adjust Claim. The Comptroller shall have forty-five (45) Days from his or her receipt of all materials referred to in Paragraph (E)(3) above to investigate the disputed claim. The period for investigation and compromise may be further extended by agreement between the Contractor and the Comptroller, to a maximum of ninety (90) Days from the Comptroller's receipt of all the materials. The Contractor may not present its petition to the CDRB until the period for investigation and compromise delineated in this Paragraph has expired. In compromising or adjusting any claim hereunder, the Comptroller may not revise or disregard the terms of the Agreement.

F. Contract Dispute Resolution Board. There shall be a Contract Dispute Resolution Board composed of:

1. the chief administrative law judge of the Office of Administrative Trials and Hearings ("OATH") or his or her designated OATH administrative law judge, who shall act as chairperson, and may adopt operational procedures and issue such orders consistent with this Section as may be necessary in the execution of the CDRB's functions, including, but not limited to, granting extensions of time to present or respond to submissions;

2. the City Chief Procurement Officer ("CCPO") or his or her designee; any designee shall have the requisite background to consider and resolve the merits of the dispute and shall not have participated personally and substantially in the particular matter that is the subject of the dispute or report to anyone who so participated; and

3. a person with appropriate expertise who is not an employee of the City. This person shall be selected by the presiding administrative law judge from a prequalified panel of individuals, established, and administered by OATH, with appropriate background to act as decision-makers in a dispute. Such individuals may not have a contract or dispute with the City or be an officer or employee of any company or organization that does, or regularly represent persons, companies, or organizations having disputes with the City.

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

1. Form and Content of Petition by the Contractor. The Contractor shall present its dispute to the CDRB in the form of a petition, which shall include (i) a brief statement of the substance of the dispute, the amount of money, if any, claimed, and the reason(s) the Contractor contends that the dispute was wrongly decided by the Agency Head; (ii) a copy of the decision of the Agency Head; (iii) copies of all materials submitted by the Contractor to the Agency; (iv) a copy of the decision of the Comptroller, if any, and (v) copies of all correspondence with, and material submitted by the Contractor to, the Comptroller's Office. The Contractor shall concurrently submit four complete sets of the petition: one to the Corporation Counsel (Attn: Commercial and Real Estate Litigation Division), and three to the CDRB at OATH's offices, with proof of service on the Corporation Counsel. In addition, the Contractor shall submit a copy of the statement of the substance of the dispute, cited in (i) above, to both the Agency Head and the Comptroller.

2. Agency Response. Within thirty (30) Days of receipt of the petition by the Corporation Counsel, the Agency shall respond to the statement of the Contractor and make available to the CDRB all material it submitted to the Agency Head and Comptroller. Three complete copies of the Agency response shall be submitted to the CDRB at OATH's offices and one to the Contractor. Extensions of time for submittal of the Agency response shall be given as necessary upon a showing of good cause or, upon the consent of the parties, for an initial period of up to thirty (30) Days.

3. Further Proceedings. The CDRB shall permit the Contractor to present its case by submission of memoranda, briefs, and oral argument. The CDRB shall also permit the Agency to present its case in response to the Contractor by submission of memoranda, briefs, and oral argument. If requested by the Corporation Counsel, the Comptroller shall provide reasonable assistance in the preparation of the Agency's case. Neither the Contractor nor the Agency may support its case with any documentation or other material that was not considered by the Comptroller, unless requested by the CDRB. The CDRB, in its discretion, may seek such technical or other expert advice as it shall deem appropriate and may seek, on it own or upon application of a party, any such additional material from any party as it deems fit. The CDRB, in its discretion, may combine more than one dispute between the parties for concurrent resolution.

4. CDRB Determination. Within forty-five (45) Days of the conclusion of all submissions and oral arguments, the CDRB shall render a decision resolving the dispute. In an unusually complex case, the CDRB may render its decision in a longer period of time, not to exceed ninety (90) Days, and shall so advise the parties at the commencement of this period. The CDRB's decision must be consistent with the terms of this Agreement. Decisions of the CDRB shall only resolve matters before the CDRB and shall not have precedential effect with respect to matters not before the CDRB.

5. Notification of CDRB Decision. The CDRB shall send a copy of its decision to the Contractor, the ACCO, the Corporation Counsel, the Comptroller, the CCPO, and, in the case of construction or construction-related services, the City Engineer, City Resident Engineer, City Engineering Audit Officer, or other designee of the Agency Head. A decision in favor of the Contractor shall be subject to the prompt payment provisions of the PPB Rules. The required payment date shall be thirty (30) Days after the date the parties are formally notified of the CDRB's decision.

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

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

Section 12.04 Claims and Actions

A. Any claim against the City or Department based on this Agreement or arising out of this Agreement that is not subject to dispute resolution under the PPB Rules or this Agreement shall not be made or asserted in any legal proceeding, unless the Contractor shall have strictly complied with all requirements relating to the giving of notice and of information with respect to such claims as provided in this Agreement.

B. No action shall be instituted or maintained on any such claims unless such action shall be commenced within six (6) months after the date of filing with the Comptroller of the certificate for the final payment under this Agreement, or within six (6) months of the termination or expiration of this Agreement, or within six (6) months after the accrual of the cause of action, whichever first occurs.

Section 12.05 No Claim Against Officers, Agents or Employees

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

Section 12.06 General Release

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

Section 12.07 No Waiver

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

ARTICLE 13 - APPLICABLE LAWS

Section 13.01 PPB Rules

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

Section 13.02 All Legal Provisions Deemed Included

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

Section 13.03 Severability / Unlawful Provisions Deemed Stricken

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

Section 13.04 Compliance With Laws

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

Section 13.05 Americans with Disabilities Act (ADA)

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

B. The Contractor's failure to either submit a Compliance Plan as required herein or implement an approved Compliance Plan may be deemed a material breach of this Agreement and result in the City terminating this Agreement.

Section 13.06 Voter Registration

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

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

1. The Contractor shall provide and distribute voter registration forms to all persons together with written applications for services, renewal, or recertification for services and change of address relating to such services. Such voter registration forms shall be provided to the Contractor by the City. The Contractor should be prepared to provide forms written in Spanish or Chinese, and shall obtain a sufficient supply of such forms from the City.

2. The Contractor shall also include a voter registration form with any Contractor communication sent through the United States mail for the purpose of supplying clients with materials for application, renewal, or recertification for services and change of address relating to such services. If forms written in Spanish or Chinese are not provided in such mailing, the Contractor shall provide such forms upon the Department's request.

3. The Contractor shall, subject to approval by the Department, incorporate an opportunity to request a voter registration application into any application for services, renewal, or recertification for services and change of address relating to such services provided on computer terminals, the World Wide Web or the Internet. Any person indicating that they wish to be sent a voter registration form via computer terminals, the World Wide Web or the Internet shall be sent such a form by the Contractor or be directed, in a manner subject to approval by the Department, to a link on that system where such a form may be downloaded.

4. The Contractor shall, at the earliest practicable or next regularly scheduled printing of its own forms, subject to approval by the Department, physically incorporate the voter registration forms with its own application forms in a manner that permits the voter registration portion to be detached therefrom. Until such time when the Contractor amends its form, the Contractor should affix or include a postage-paid City Board of

Elections voter registration form to or with its application, renewal, recertification, and change of address forms.

5. The Contractor shall prominently display in its public office, subject to approval by the Department, promotional materials designed and approved by the City or State Board of Elections.

6. For the purposes of Paragraph A of this Section, the word "Contractor" shall be deemed to include subcontractors having regular contact with the public in the daily administration of their business.

7. The provisions of Paragraph A of this Section shall not apply to services that must be provided to prevent actual or potential danger to life, health, or safety of any individual or of the public.

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

1. In the event the Department provides assistance in completing distributed voter registration forms, the Contractor shall also provide such assistance, in the manner and to the extent specified by the Department.

2. In the event the Department receives and transmits completed registration forms from applicants who wish to have the forms transmitted to the City Board of Elections, the Contractor shall similarly provide such service, in the manner and to the extent specified by the Department.

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

4. The provision of Paragraph B services by the Contractor may be subject to Department protocols, including protocols regarding confidentiality.

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

1. The Contractor shall advise all persons seeking voter registration forms and information, in writing together with other written materials provided by the Contractor or by appropriate publicity, that the Contractor's or government services are not conditioned on being registered to vote.

2. No statement shall be made and no action shall be taken by the Contractor or an employee of the Contractor to discourage an applicant from registering to vote or to encourage or discourage an applicant from enrolling in any particular political party.

3. The Contractor shall communicate to applicants that the completion of voter registration forms is voluntary.

4. The Contractor and the Contractor's employees shall not:

a. seek to influence an applicant's political preference or party designation;

b. display any political preference or party allegiance;

c. make any statement to an applicant or take any action the purpose or effect of which is to discourage the applicant from registering to vote; or

d. make any statement to an applicant or take any action the purpose or effect of which is to lead the applicant to believe that a decision to register or not to register has any bearing on the availability of services or benefits.

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

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

Section 13.07 Participation in an International Boycott

A. The Contractor agrees that neither the Contractor nor any substantially-owned affiliated company is participating or shall participate in an international boycott in violation of the provisions of the federal Export Administration Act of 1979, as amended, 50 U.S.C. Appendix. §§ 2401 et seq., or the regulations of the United States Department of Commerce promulgated thereunder.

B. Upon the final determination by the Commerce Department or any other agency of the United States as to, or conviction of, the Contractor or a substantially-owned affiliated company thereof, of participation in an international boycott in violation of the provisions of the Export Administration Act of 1979, as amended, or the regulations promulgated thereunder, the Comptroller may, at his or her option, render forfeit and void this Agreement.

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

Section 13.08 MacBride Principles

A. In accordance with and to the extent required by Admin. Code § 6-115.1, the Contractor stipulates that the Contractor and any individual or legal entity in which the Contractor holds a ten percent (10%) or greater ownership interest and any individual or legal

entity that holds a ten percent (10%) or greater ownership interest in the Contractor either (a) have no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations they have in Northern Ireland in accordance with the MacBride Principles, and shall permit independent monitoring of their compliance with such principles.

B. The Contractor agrees that the covenants and representations in Paragraph A above are material conditions to this Agreement.

C. This Section does not apply if the Contractor is a not-for-profit corporation.

Section 13.09 Access to Public Health Insurance Coverage Information

A. Participating Agencies. Pursuant to Charter § 1069, if this Agreement is with a participating City agency and the Contractor is one to whom this Section applies as provided in Paragraph B of this Section, the Contractor hereby agrees to fulfill the obligations in Paragraph C of this Section. The participating City agencies are: the Administration for Children's Services; the City Clerk; the Commission on Human Rights; the Department for the Aging; the Department of Corrections; the Department of Homeless Services; the Department of Housing Preservation and Development; the Department of Juvenile Justice; the Department of Health and Mental Hygiene; the Department of Probation; the Department of Social Services/Human Resources Administration; the Taxi and Limousine Commission; the Department of Youth and Community Development; the Office to Combat Domestic Violence; and the Office of Immigrant Affairs.

B. Applicability to Certain Contractors. This Section shall be applicable to a Contractor operating pursuant to an Agreement which (i) is in excess of $250,000 and (ii) requires such Contractor to supply individuals with a written application for, or written renewal or recertification of services, or request for change of address form in the daily administration of its contractual obligation to such participating City agency. "Contractors" to whom this Section applies shall be deemed to include subcontractors if the subcontract requires the subcontractor to supply individuals with a written application for, or written renewal or recertification of services, or request for change of address form in the daily administration of the subcontractor's contractual obligation.

C. Distribution of Public Health Insurance Pamphlet. In accordance with Charter § 1069, when the participating City agency supplies the Contractor with the public health insurance program options pamphlet published by the Department of Health and Mental Hygiene pursuant to Section 17-183 of the Admin. Code (hereinafter "pamphlet"), the Contractor hereby agrees as follows:

1. The Contractor will distribute the pamphlet to all persons requesting a written application for services, renewal or recertification of services or request for a change of address relating to the provision of services.

2. The Contractor will include a pamphlet with any Contractor communication sent through the United States mail for the purpose of supplying an individual with a written application for services, renewal or recertification of services or with a request for a change of address form relating to the provision of services.

3. The Contractor will provide an opportunity for an individual requesting a written application for services, renewal or recertification for services or change of address form relating to the provision of services via the Internet to request a pamphlet, and will provide such

pamphlet by United States mail or an Internet address where such pamphlet may be viewed or downloaded, to any person who indicates via the Internet that they wish to be sent a pamphlet.

4. The Contractor will ensure that its employees do not make any statement to an applicant for services or client or take any action the purpose or effect of which is to lead the applicant or client to believe that a decision to request public health insurance or a pamphlet has any bearing on their eligibility to receive or the availability of services or benefits.

5. The Contractor will comply with: (i) any procedures established by the participating City agency to implement Charter §1069; (ii) any determination of the commissioner or head of the participating City agency (which is concurred in by the commissioner of the Department of Health and Mental Hygiene) to exclude a program, in whole or in part, from the requirements of Charter § 1069; and (iii) any determination of the commissioner or head of the participating City agency (which is concurred in by the commissioner of the Department of Health and Mental Hygiene) as to which Workforce Investment Act of 1998 offices providing workforce development services shall be required to fulfill the obligations under Charter § 1069.

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

ARTICLE 14 - MISCELLANEOUS PROVISIONS

Section 14.01 Conditions Precedent

A. This Agreement shall be neither binding nor effective unless and until it is registered pursuant to Charter § 328.

B. The requirements of this Section shall be in addition to, and not in lieu of, any approval or authorization otherwise required for this Agreement to be effective and for the expenditure of City funds.

Section 14.02 Merger

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

Section 14.03 Headings

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

Section 14.04 Notice

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

B. Any notice, direction, or communication from either party to the other shall be in writing and shall be deemed to have been given when (i) delivered personally; (ii) sent by certified mail, return receipt requested; (iii) delivered by overnight or same day courier service in a properly addressed envelope with confirmation; or (iv) sent by fax or email and, unless receipt of the fax or e-mail is acknowledged by the recipient by fax or e-mail, deposited in a post office box regularly maintained by the United States Postal Service in a properly addressed, postage pre-paid envelope.

C. Nothing in this Section shall be deemed to serve as a waiver of any requirements for the service of notice or process in the institution of an action or proceeding as provided by Law, including the New York Civil Practice Law and Rules.

AFFIRMATION

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

Full name of Proposer or Bidder *[below]*

_____

Address_____

City_____ State_____ Zip Code_____

CHECK ONE BOX AND INCLUDE APPROPRIATE NUMBER:

☐ A - Individual or Sole Proprietorships

SOCIAL SECURITY NUMBER _____

☐ B - Partnership, Joint Venture or other unincorporated organization

EMPLOYER IDENTIFICATION NUMBER _____

☐ C - Corporation

EMPLOYER IDENTIFICATION NUMBER _____

By_____

Signature

_____

Title

If a corporation place seal here

Must be signed by an officer or duly authorized representative.

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

CERTIFICATION BY BROKER

[Pursuant to Article Seven of Appendix A, every Certificate of Insurance must be accompanied by either the following certification by the broker setting forth the following text and required information and signatures or complete copies of all policies referenced in the Certificate of Insurance. In the absence of completed policies, binders are acceptable.]

CERTIFICATION BY BROKER

The undersigned insurance broker represents to the City of New York that the attached Certificate of Insurance is accurate in all material respects, and that the described insurance is effective as of the date of this Certification.

_____
[Name of broker (typewritten)]

_____
[Address of broker (typewritten)]

_____
[Signature of authorized officer of broker]

_____
[Name of authorized officer (typewritten)]

_____
[Title of authorized officer (typewritten)]

_____
[Contact Phone Number for Broker (typewritten)]

_____
[Email Address of Broker (typewritten)]

Sworn to before me this

_____ day of _____, 201_

_____

NOTARY PUBLIC

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 grater 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 contact, the contractor shall be liable for such difference in price fore 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)

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 sub-consultant (if any).**
Make copies of format sheets as needed

FORM 1P

PROPOSAL COVER LETTER

REQUEST FOR PROPOSALS FOR RESIDENT ENGINEERING INSPECTION SERVICES IN CONNECTION WITH COMPONENT REHABILITATION OF 10 BRIDGES

BOROUGH OF BROOKLYN

CONTRACT NO. HBCR01AA

E-PIN: 84110P0020

PIN 84110BKBR541

Proposer:

Name: _____

Address: _____

_____

Tax Identification #: _____

Proposer's Contact Person:

Name: _____

Title: _____

Telephone #: _____ **Fax #:** _____ **Email:** _____

Proposer's Authorized Representative:

Name: _____

Title: _____

Telephone #: _____ **Fax #:** _____ **Email:** _____

Signature: _____ **Date:** _____

Is the response printed on both sides, on recycled paper containing the minimum percentage of recovered fiber content as requested by the City in the instructions to this solicitation?

☐ **Yes** ☐ **No**

FORM 2P

ACKNOWLEDGEMENT OF ADDENDA

RFP TITLE: _____

PIN: _____

Directions: Complete Part I or Part II, whichever is applicable, and sign your name in Part III.

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 Acknowledgement of No Receipt

_____ No Addendum was received in connection with this RFP

Part III

Proposer's Name:_____

Proposer's Authorized Representative:

Name: _____

Title: _____

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)/EXPERIENCE**
3. **FORM 3T - OVERALL PROJECT UNDERSTANDING AND APPROACH**
4. **FORM 4T - JOB TITLES AND HOURS PROPOSED**
5. **FORM 5T - NYCDOT CURRENT WORKLOAD DISCLOSURE (2 PGS)**

Note: **Please copy and use separate sheets for each sub-consultant (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)

E-PIN: 84110P0020 **PROJECT NAME:** **Resident Engineering Inspection Services In Connection With Component Rehabilitation of 10 Bridges**

PIN: 84110BKBR541

CONTRACT NO.:_____ CONSULTANT:_____

☐ PROFESSIONAL ENGINEERING/ ARCHITECTURAL SERVICES

☐ OTHER/_____

DESCRIBE

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

1) **Proposer will include relevant experience in Bridge REI work in the last five (5) years. Proposer should consider work with City, State, Federal agencies and prior work over railroad, and demonstrated ability to complete these jobs in a timely fashion.**

2) **List all current and prior projects completed within the last five (5) years for REI services. Specifically identify whether any of those projects involved a scope similar to the referenced contract. For each project, provide the following information:**

- **Description/Name of Project**
- **Dollar Value of Project**
- **Contract Term**
- **Contract Status**
- **Owner/Client**
- **Owner Project Manager**
- **Telephone No.**
- **Email**

NYCDOT reserves the right to request data to verify information provided above.

3) **Provide a discussion on the form's ability to retain its employees. Complete the attrition chart below:**

Average attrition rate for past 3 calendar years:

Total number of technical employees as of August 1st of last year ___ . (a)
Number of technical employees who left firm during last calendar year ___ . (b)
Total number of technical employees as of August 1st of previous cal. year ___ . (c)
Number of technical employees who left firm during previous calendar year ___ . (d)
Total number of technical employees as of August 1st of 2nd previous cal. Year ___ . (e)
Number of technical employees who left firm during 2nd previous calendar year ___ . (f)

b/a = ___ (g) d/c = __ (h) f/e = __ (i)

Average attrition rate = (g+h+i) / 3 = ____.

NYCDOT reserves the right to request data to verify information provided in the attrition table.

FORM 2T

PROPOSED STAFF (RESUMES)/EXPERIENCE

E-PIN: 84110P0020 **PROJECT NAME: Resident Engineering Inspection Services In Connection With Component Rehabilitation of 10 Bridges**

PIN: 84110BKBR541

CONTRACT NO.:_____ CONSULTANT:_____

PROPOSED STAFF:

1. **Provide an organization chart for staffing this project and attach resumes of all key personnel including any sub-consultants. The chart must provide the key personnel proposed titles/roles for this project.**

2. **Provide a description of all relevant experience for key personnel (including any sub consultants).**

   Specifically identify any current or prior key personnel experience with City, state and /or federal projects and projects over railroads.

   In each of the project descriptions, identify the project manager, project engineer/resident engineers, the construction dollar value and the start date.

   Explain how past assignments of key personnel relate to their proposed assignments on this project.

3. **State the key personnel's commitment to and availability for the duration of this project.**

FORM 3T

OVERALL PROJECT UNDERSTANDING AND APPROACH

E-PIN: 84110P0020 **PROJECT NAME: Resident Engineering Inspection Services In Connection With Component Rehabilitation of 10 Bridges**

PIN: 84110BKBR541

CONTRACT NO.:_____ **CONSULTANT:_____**

OVERALL APPROACH TO PROJECT:

1. **Describe your overall approach and understanding to providing REI services for this project. This discussion should clearly demonstrate your understanding of the construction environment, including how it impacts the provision of the REI services. Provide enough detail to permit NYCDOT to assess the extent of the proposer's understanding of potential problems and proposed solutions.**

2. **Describe your overall approach and explain the different tasks anticipated to be performed, their relationship, the extent to which they can be performed concurrently and the unique aspects of each task as they relate to this project.**

3. **Explain the duration of each task and demonstrate the Proposer's ability to complete these tasks on time with the proposed staffing. Please elaborate on how the positions assigned for this project as shown in your organization chart will assist you in the execution of each identified task.**

4. **Discuss any alternate tasks, or innovative approaches that would assist in the successful provision of services and/or best achieve the project goals and objectives.**

FORM 4T – JOB TITLES AND HOURS PROPOSED

PROJECT NAME: **Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges**

E-PIN: 84110P0020
PIN: 84110BKBR541

LOCATION: **Crown Street Bridge Over Franklin Street Shuttle**

BIN: 2-24323-0

PRIME CONSULTANT: _____

CONSULTANT ON THIS FORM: _____

☐ PROFESSIONAL ENGINEERING/ ARCHITECTURAL SERVICES

☐ OTHER/_____

(COLUMN 1) JOB TITLES/ ASCE/NICET GRADE	(COLUMN 2) TOTAL HOURS
1. Office Engineer/ Part Insp.- Prime/ Sub – N III	**120 (Fixed)**
2. Community Liaison – Prime/ Sub	**40 (Fixed)**
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
TOTALS:	

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.**
3. **This form must be completed for the prime and each of the proposed subconsultants (use additional pages, if necessary)**

FORM 4T – JOB TITLES AND HOURS PROPOSED

PROJECT NAME: Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges

E-PIN: 84110P0020
PIN: 84110BKBR541

LOCATION: 5th Avenue Bridge Over Greenwood Cemetery Access Road

BIN: 2-24448-0

PRIME CONSULTANT: _____

CONSULTANT ON THIS FORM: _____

☐ PROFESSIONAL ENGINEERING/ ARCHITECTURAL SERVICES

☐ OTHER/_____

(COLUMN 1) JOB TITLES/ ASCE/NICET GRADE	(COLUMN 2) TOTAL HOURS
1. Office Engineer/ Part Insp.- Prime/ Sub – N III	80 (Fixed)
2. Community Liaison – Prime/ Sub	24 (Fixed)
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
TOTALS:	

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.**
3. **This form must be completed for the prime and each of the proposed subconsultants (use additional pages, if necessary)**

FORM 4T – JOB TITLES AND HOURS PROPOSED

PROJECT NAME: Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges

E-PIN: 84110P0020
PIN: 84110BKBR541

LOCATION: 4th Avenue Bridge Over Belt Parkway

BIN: 2-23127-0

PRIME CONSULTANT: _____

CONSULTANT ON THIS FORM: _____

☐ PROFESSIONAL ENGINEERING/ ARCHITECTURAL SERVICES

☐ OTHER/_____

(COLUMN 1) JOB TITLES/ ASCE/NICET GRADE	(COLUMN 2) TOTAL HOURS
1. Office Engineer/ Part Insp.- Prime/ Sub – N III	**600 (Fixed)**
2. Community Liaison – Prime/ Sub	**180 (Fixed)**
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
TOTALS:	_____

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.**
3. **This form must be completed for the prime and each of the proposed subconsultants (use additional pages, if necessary)**

FORM 4T – JOB TITLES AND HOURS PROPOSED

PROJECT NAME: Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges

E-PIN: 84110P0020
PIN: 84110BKBR541

LOCATION: Bedford Avenue Bridge Over LIRR

BIN: 2-24349-0

PRIME CONSULTANT: _____

CONSULTANT ON THIS FORM: _____

☐ PROFESSIONAL ENGINEERING/ ARCHITECTURAL SERVICES

☐ OTHER/_____

(COLUMN 1) JOB TITLES/ ASCE/NICET GRADE	(COLUMN 2) TOTAL HOURS
1. Office Engineer/ Part Insp.- Prime/ Sub – N III	420 (Fixed)
2. Community Liaison – Prime/ Sub	180 (Fixed)
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
TOTALS:	

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.**
3. **This form must be completed for the prime and each of the proposed subconsultants (use additional pages, if necessary)**

FORM 4T – JOB TITLES AND HOURS PROPOSED

PROJECT NAME: Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges

E-PIN: 84110P0020
PIN: 84110BKBR541

LOCATION: Cleft Ridge Span (Prospect Park) Bridge Over Park Road

BIN: 2-24406-0

PRIME CONSULTANT: _____

CONSULTANT ON THIS FORM: _____

☐ PROFESSIONAL ENGINEERING/ ARCHITECTURAL SERVICES

☐ OTHER/_____

(COLUMN 1) JOB TITLES/ ASCE/NICET GRADE	(COLUMN 2) TOTAL HOURS
1. Office Engineer/ Part Insp.- Prime/ Sub – N III	80 (Fixed)
2. Community Liaison – Prime/ Sub	24 (Fixed)
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
TOTALS:	

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.**
3. **This form must be completed for the prime and each of the proposed subconsultants (use additional pages, if necessary)**

FORM 4T – JOB TITLES AND HOURS PROPOSED

PROJECT NAME: **Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges**

E-PIN: **84110P0020**
PIN: **84110BKBR541**

LOCATION: **Carroll Street Over Gowanus Canal**

BIN: **2-24026-0**

PRIME CONSULTANT: _____

CONSULTANT ON THIS FORM: _____

☐ PROFESSIONAL ENGINEERING/ ARCHITECTURAL SERVICES

☐ OTHER/_____

(COLUMN 1) JOB TITLES/ ASCE/NICET GRADE	(COLUMN 2) TOTAL HOURS
1. Office Engineer/ Part Insp.- Prime/ Sub – N III	**680 (Fixed)**
2. Community Liaison – Prime/ Sub	**180 (Fixed)**
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
TOTALS:	

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.**
3. **This form must be completed for the prime and each of the proposed subconsultants (use additional pages, if necessary)**

FORM 4T – JOB TITLES AND HOURS PROPOSED

PROJECT NAME: **Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges**

E-PIN: **84110P0020**
PIN: **84110BKBR541**

LOCATION: **BQE SB Bridge Over Adams Street**

BIN: **2-23045-0**

PRIME CONSULTANT: _____

CONSULTANT ON THIS FORM: _____

☐ PROFESSIONAL ENGINEERING/ ARCHITECTURAL SERVICES

☐ OTHER/_____

(COLUMN 1) JOB TITLES/ ASCE/NICET GRADE	(COLUMN 2) TOTAL HOURS
1. Office Engineer/ Part Insp.- Prime/ Sub – N III	**120 (Fixed)**
2. Community Liaison – Prime/ Sub	**40 (Fixed)**
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
TOTALS:	_____

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.**
3. **This form must be completed for the prime and each of the proposed subconsultants (use additional pages, if necessary)**

FORM 4T – JOB TITLES AND HOURS PROPOSED

PROJECT NAME: Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges

E-PIN: 84110P0020
PIN: 84110BKBR541

LOCATION: Belt Parkway Bridge Over Bedford Avenue

BIN: 2-23142-9

PRIME CONSULTANT: _____

CONSULTANT ON THIS FORM: _____

☐ PROFESSIONAL ENGINEERING/ ARCHITECTURAL SERVICES

☐ OTHER/_____

(COLUMN 1) JOB TITLES/ ASCE/NICET GRADE	(COLUMN 2) TOTAL HOURS
1. Office Engineer/ Part Insp.- Prime/ Sub – N III	**840 (Fixed)**
2. Community Liaison – Prime/ Sub	**180 (Fixed)**
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
TOTALS:	

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.**
3. **This form must be completed for the prime and each of the proposed subconsultants (use additional pages, if necessary)**

FORM 4T – JOB TITLES AND HOURS PROPOSED

PROJECT NAME: Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges

E-PIN: 84110P0020
PIN: 84110BKBR541

LOCATION: Union Street Bridge Over BQE

BIN: 2-23036-0

PRIME CONSULTANT: _____

CONSULTANT ON THIS FORM: _____

☐ PROFESSIONAL ENGINEERING/ ARCHITECTURAL SERVICES

☐ OTHER/_____

(COLUMN 1) JOB TITLES/ ASCE/NICET GRADE	(COLUMN 2) TOTAL HOURS
1. Office Engineer/ Part Insp.- Prime/ Sub – N III	680 (Fixed)
2. Community Liaison – Prime/ Sub	180 (Fixed)
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
TOTALS:	

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.**
3. **This form must be completed for the prime and each of the proposed subconsultants (use additional pages, if necessary)**

FORM 4T – JOB TITLES AND HOURS PROPOSED

PROJECT NAME: **Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges**

E-PIN: **84110P0020**
PIN: **84110BKBR541**

LOCATION: **BQE NB Bridge Over Adams Street**

BIN: **2-23044-0**

PRIME CONSULTANT: _____

CONSULTANT ON THIS FORM: _____

☐ PROFESSIONAL ENGINEERING/ ARCHITECTURAL SERVICES

☐ OTHER/_____

(COLUMN 1) JOB TITLES/ ASCE/NICET GRADE	(COLUMN 2) TOTAL HOURS
1. Office Engineer/ Part Insp.- Prime/Sub – N III	**140 (Fixed)**
2. Community Liaison – Prime/ Sub	**40 (Fixed)**
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
TOTALS:	

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.**
3. **This form must be completed for the prime and each of the proposed subconsultants (use additional pages, if necessary)**

(For Use in REI & CSS Contacts)

FORM 5T
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 sub-consultants and sub-contractors or for rentals or purchases of equipment.

PIN: _____

CONTRACT NO.: _____

PROJECT NAME: _____

BIN: _____

DATE OF RFP: _____

IS YOUR FIRM A: DBE? (YES/NO) _____

FIRM NAME: _____

CONTACT PERSON: _____

PHONE NUMBER _____

ADDRESS OF OFFICE(S) TO PERFORM WORK

_____

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

Ihereby certify that the above figures are actual contract amounts (when available) or my best estimate of expecte d billings.

_____ DATE

_____ SIGNATURE (OFFICER OR PARTNER)

FORM 5T
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 – Highway, Bridge, Planning	Contract Number	Remaining $ Value (include anticipated Supplemental Agreement for this Project (a)	Percentage of Project performed at Office(s) proposed for this Project (b)	Pro-rated Workload of proposed office(s) (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 $ _____ Assigned Office(s) Miscellaneous Workload $ _____

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.

Use the following as a ratings guide:

Calculate the Ratio of expected billable dollars per person per year vs. average billable dollars per person per year.

If:
EB$PY - expected billable dollars per person per year.
AB$PY - average billable dollars per person per year.
EB - expected billing dollars for next 18 months.
S - Total personnel minus administrative personnel.
Y - Yearly adjustment (converts 18 months into 1 year).

Assume: **AB$PY** = $60,000 and **Y** = 1.5 (18 / 12 = 1.5)

Then: **EB$PY = EB / S / Y and R = EB$PY / AB$PY X 100%**

If R is greater than or equal to 100%, a rating of 0 may be appropriate.
If R is equal to 75 %, a rating of 5 may be appropriate.
If R is less than or equal to 25%, a rating of 10 may be appropriate.

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: **Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges**

E-PIN: **84110P0020**
PIN: **84110BKBR541**

LOCATION: **Crown Street Bridge Over Franklin Street Shuttle**

BIN: **2-24323-0**

PRIME CONSULTANT:_____

CONTRACT NO.: **HBCR01AA**

CONSULTANT ON THIS FORM:_____

☐ PROFESSIONAL ENGINEERING/ARCHITECTURAL SERVICES
☐ OTHER/_____

	(COLUMN 1) JOB TITLE ASCE/ NICET GRADE	(COLUMN 2) TOTAL HOURS	(COLUMN 3) HOURSTHIS FIRM	(COLUMN 4) AVERAGE HOURLY RATE (FY 2011)	(COLUMN 5) LABOR COST COL3X COL4
1.	Office Engineer/ Part Insp.- Prime/ Sub – N III	120 (fixed)		$	$
2.	Community Liaison – Prime/ Sub	40 (Fixed)		$	$
3.				$	$
4.				$	$
5.				$	$
6.				$	$
7.				$	$
8.				$	$
9.				$	$
	TOTALS				**$ (T)**

INTERIM OVERHEAD FACTOR _____ **(A)**

PROFIT FACTOR _____ **(B)**

INTERIM MULTIPLIER _____ **(1+A)X(1+B) = M**

TOTAL LABOR COST (T x M) **$** _____ **(C)**

MAXIMUM ESCALATION FACTOR = _____ **1.04 (D)**

TOTAL LABOR ESCALATED TO PROJECT MIDPOINT (GRAND TOTAL COST) (C X D) **$** _____

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 NYSDOT for regional offices (if available). 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 maximum escalation factor "D" indicated in the shaded area shall not be changed.
5. Interim Multiplier (M) shall be rounded off to three (3) decimal figures. Total Labor Cost (C) and Column 4 & Column 5 entries shall be rounded off to two (2) decimal places.
6. The agency will consider the proposed interim multiplier for establishing Total Contract Fee (including DTL, interim overhead & Maximum Profit of 10%). The interim multiplier will be based on currently available information on Consultant Company's overhead and profit. This multiplier is subject to audit and revision in accordance with applicable NYC Comptrollers' Directive on an annual basis when the actual overhead information for the respective year becomes available. Suitable adjustments to the previous payments will be made accordingly upon completion of contract and when multiplier information is available. As needed, the additional fund for the overhead and profit will be added via Change Order by the Agency at the discretion of the Agency.

FORM 4T1 – LABOR COST PROPOSAL

PROJECT NAME: **Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges**

E-PIN: 84110P0020
PIN: 84110BKBR541

LOCATION: **5th Avenue Bridge Over Greenwood Cemetery Access Road**

BIN: 2-24448-0

PRIME CONSULTANT:_____

CONTRACT NO.: HBCR01AA

CONSULTANT ON THIS FORM:_____

☐ PROFESSIONAL ENGINEERING/ARCHITECTURAL SERVICES
☐ OTHER/_____

	(COLUMN 1) JOB TITLE ASCE/ NICET GRADE	(COLUMN 2) TOTAL HOURS	(COLUMN 3) HOURSTHIS FIRM	(COLUMN 4) AVERAGE HOURLY RATE (FY 2011)	(COLUMN 5) LABOR COST COL3X COL4
1.	Office Engineer/ Part Insp.- Prime/ Sub – N III	80 (fixed)		$	$
2.	Community Liaison – Prime/ Sub	24 (Fixed)		$	$
3.				$	$
4.				$	$
5.				$	$
6.				$	$
7.				$	$
8.				$	$
9.				$	$
	TOTALS				**$ (T)**

INTERIM OVERHEAD FACTOR _____ **(A)**

PROFIT FACTOR _____ **(B)**

INTERIM MULTIPLIER _____ **(1+A)X(1+B) = M**

TOTAL LABOR COST (T x M) **$** _____ **(C)**

MAXIMUM ESCALATION FACTOR = _____ **1.04 (D)**

TOTAL LABOR ESCALATED TO PROJECT MIDPOINT (GRAND TOTAL COST) (C X D) **$** _____

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 NYSDOT for regional offices (if available). 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 maximum escalation factor "D" indicated in the shaded area shall not be changed.
5. Interim Multiplier (M) shall be rounded off to three (3) decimal figures. Total Labor Cost (C) and Column 4 & Column 5 entries shall be rounded off to two (2) decimal places.
6. The agency will consider the proposed interim multiplier for establishing Total Contract Fee (including DTL, interim overhead & Maximum Profit of 10%). The interim multiplier will be based on currently available information on Consultant Company's overhead and profit. This multiplier is subject to audit and revision in accordance with applicable NYC Comptrollers' Directive on an annual basis when the actual overhead information for the respective year becomes available. Suitable adjustments to the previous payments will be made accordingly upon completion of contract and when multiplier information is available. As needed, the additional fund for the overhead and profit will be added via Change Order by the Agency at the discretion of the Agency.

FORM 4T1 – LABOR COST PROPOSAL

PROJECT NAME: **Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges**

E-PIN: 84110P0020
PIN: 84110BKBR541

LOCATION: **4th Avenue Bridge Over Belt Parkway**

BIN: 2-23127-0

PRIME CONSULTANT:_____

CONTRACT NO.: HBCR01AA

CONSULTANT ON THIS FORM:_____

☐ PROFESSIONAL ENGINEERING/ARCHITECTURAL SERVICES
☐ OTHER/_____

	(COLUMN 1) JOB TITLE ASCE/ NICET GRADE	(COLUMN 2) TOTAL HOURS	(COLUMN 3) HOURSTHIS FIRM	(COLUMN 4) AVERAGE HOURLY RATE (FY 2011)	(COLUMN 5) LABOR COST COL3X COL4
1.	Office Engineer/ Part Insp.- Prime/ Sub – N III	600 (fixed)		$	$
2.	Community Liaison – Prime/ Sub	180 (Fixed)		$	$
3.				$	$
4.				$	$
5.				$	$
6.				$	$
7.				$	$
8.				$	$
9.				$	$
	TOTALS				**$ (T)**

INTERIM OVERHEAD FACTOR _____ **(A)**

PROFIT FACTOR _____ **(B)**

INTERIM MULTIPLIER _____ **(1+A)X(1+B) = M**

TOTAL LABOR COST (T x M) **$** _____ **(C)**

MAXIMUM ESCALATION FACTOR = **1.04 (D)**

TOTAL LABOR ESCALATED TO PROJECT MIDPOINT (GRAND TOTAL COST) (C X D) **$** _____

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 NYSDOT for regional offices (if available). 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 maximum escalation factor "D" indicated in the shaded area shall not be changed.
5. Interim Multiplier (M) shall be rounded off to three (3) decimal figures. Total Labor Cost (C) and Column 4 & Column 5 entries shall be rounded off to two (2) decimal places.
6. The agency will consider the proposed interim multiplier for establishing Total Contract Fee (including DTL, interim overhead & Maximum Profit of 10%). The interim multiplier will be based on currently available information on Consultant Company's overhead and profit. This multiplier is subject to audit and revision in accordance with applicable NYC Comptrollers' Directive on an annual basis when the actual overhead information for the respective year becomes available. Suitable adjustments to the previous payments will be made accordingly upon completion of contract and when multiplier information is available. As needed, the additional fund for the overhead and profit will be added via Change Order by the Agency at the discretion of the Agency.

FORM 4T1 – LABOR COST PROPOSAL

PROJECT NAME: **Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges**

E-PIN: 84110P0020
PIN: 84110BKBR541

LOCATION: **Bedford Avenue Bridge Over LIRR**

BIN: 2-24349-0

PRIME CONSULTANT:_____

CONTRACT NO.: HBCR01AA

CONSULTANT ON THIS FORM:_____

☐ PROFESSIONAL ENGINEERING/ARCHITECTURAL SERVICES
☐ OTHER/_____

	(COLUMN 1) JOB TITLE ASCE/ NICET GRADE	(COLUMN 2) TOTAL HOURS	(COLUMN 3) HOURSTHIS FIRM	(COLUMN 4) AVERAGE HOURLY RATE (FY 2011)	(COLUMN 5) LABOR COST COL3X COL4
1.	Office Engineer/ Part Insp.- Prime/ Sub – N III	420 (fixed)		$	$
2.	Community Liaison – Prime/ Sub	180 (Fixed)		$	$
3.				$	$
4.				$	$
5.				$	$
6.				$	$
7.				$	$
8.				$	$
9.				$	$
	TOTALS				**$ (T)**

INTERIM OVERHEAD FACTOR _____ **(A)**

PROFIT FACTOR _____ **(B)**

INTERIM MULTIPLIER _____ **(1+A)X(1+B) = M**

TOTAL LABOR COST (T x M) **$** _____ **(C)**

MAXIMUM ESCALATION FACTOR = _____ **1.04 (D)**

TOTAL LABOR ESCALATED TO PROJECT MIDPOINT (GRAND TOTAL COST) (C X D) **$** _____

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 NYSDOT for regional offices (if available). 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 maximum escalation factor "D" indicated in the shaded area shall not be changed.
5. Interim Multiplier (M) shall be rounded off to three (3) decimal figures. Total Labor Cost (C) and Column 4 & Column 5 entries shall be rounded off to two (2) decimal places.
6. The agency will consider the proposed interim multiplier for establishing Total Contract Fee (including DTL, interim overhead & Maximum Profit of 10%). The interim multiplier will be based on currently available information on Consultant Company's overhead and profit. This multiplier is subject to audit and revision in accordance with applicable NYC Comptrollers' Directive on an annual basis when the actual overhead information for the respective year becomes available. Suitable adjustments to the previous payments will be made accordingly upon completion of contract and when multiplier information is available. As needed, the additional fund for the overhead and profit will be added via Change Order by the Agency at the discretion of the Agency.

FORM 4T1 – LABOR COST PROPOSAL

PROJECT NAME: **Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges**

E-PIN: 84110P0020
PIN: 84110BKBR541

LOCATION: **Cleft Ridge Span (Prospect Park) Bridge Over Park Road**

BIN: 2-24406-0

PRIME CONSULTANT:_____

CONTRACT NO.: HBCR01AA

CONSULTANT ON THIS FORM:_____

☐ PROFESSIONAL ENGINEERING/ARCHITECTURAL SERVICES
☐ OTHER/_____

	(COLUMN 1) JOB TITLE ASCE/ NICET GRADE	(COLUMN 2) TOTAL HOURS	(COLUMN 3) HOURSTHIS FIRM	(COLUMN 4) AVERAGE HOURLY RATE (FY 2011)	(COLUMN 5) LABOR COST COL3X COL4
1.	Office Engineer/ Part Insp.- Prime/ Sub – N III	80 (fixed)		$	$
2.	Community Liaison – Prime/ Sub	24 (Fixed)		$	$
3.				$	$
4.				$	$
5.				$	$
6.				$	$
7.				$	$
8.				$	$
9.				$	$
	TOTALS				**$ (T)**

INTERIM OVERHEAD FACTOR _____ **(A)**

PROFIT FACTOR _____ **(B)**

INTERIM MULTIPLIER _____ **(1+A)X(1+B) = M**

TOTAL LABOR COST (T x M) **$** _____ **(C)**

MAXIMUM ESCALATION FACTOR = _____ **1.04 (D)**

TOTAL LABOR ESCALATED TO PROJECT MIDPOINT (GRAND TOTAL COST) (C X D) **$** _____

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 NYSDOT for regional offices (if available). 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 maximum escalation factor "D" indicated in the shaded area shall not be changed.
5. Interim Multiplier (M) shall be rounded off to three (3) decimal figures. Total Labor Cost (C) and Column 4 & Column 5 entries shall be rounded off to two (2) decimal places.
6. The agency will consider the proposed interim multiplier for establishing Total Contract Fee (including DTL, interim overhead & Maximum Profit of 10%). The interim multiplier will be based on currently available information on Consultant Company's overhead and profit. This multiplier is subject to audit and revision in accordance with applicable NYC Comptrollers' Directive on an annual basis when the actual overhead information for the respective year becomes available. Suitable adjustments to the previous payments will be made accordingly upon completion of contract and when multiplier information is available. As needed, the additional fund for the overhead and profit will be added via Change Order by the Agency at the discretion of the Agency.

FORM 4T1 – LABOR COST PROPOSAL

PROJECT NAME: **Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges**

E-PIN: 84110P0020
PIN: 84110BKBR541

LOCATION: **Carroll Street Over Gowanus Canal**

BIN: 2-24026-0

PRIME CONSULTANT:_____

CONTRACT NO.: HBCR01AA

CONSULTANT ON THIS FORM:_____

☐ PROFESSIONAL ENGINEERING/ARCHITECTURAL SERVICES
☐ OTHER/_____

	(COLUMN 1) JOB TITLE ASCE/ NICET GRADE	(COLUMN 2) TOTAL HOURS	(COLUMN 3) HOURSTHIS FIRM	(COLUMN 4) AVERAGE HOURLY RATE (FY 2011)	(COLUMN 5) LABOR COST COL3X COL4
1.	Office Engineer/ Part Insp.- Prime/ Sub – N III	680 (fixed)		$	$
2.	Community Liaison – Prime/ Sub	180 (Fixed)		$	$
3.				$	$
4.				$	$
5.				$	$
6.				$	$
7.				$	$
8.				$	$
9.				$	$
	TOTALS				**$ (T)**

INTERIM OVERHEAD FACTOR _____ **(A)**

PROFIT FACTOR _____ **(B)**

INTERIM MULTIPLIER _____ **(1+A)X(1+B) = M**

TOTAL LABOR COST (T x M) **$** _____ **(C)**

MAXIMUM ESCALATION FACTOR = **1.04 (D)**

TOTAL LABOR ESCALATED TO PROJECT MIDPOINT (GRAND TOTAL COST) (C X D) **$** _____

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 NYSDOT for regional offices (if available). 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 maximum escalation factor "D" indicated in the shaded area shall not be changed.
5. Interim Multiplier (M) shall be rounded off to three (3) decimal figures. Total Labor Cost (C) and Column 4 & Column 5 entries shall be rounded off to two (2) decimal places.
6. The agency will consider the proposed interim multiplier for establishing Total Contract Fee (including DTL, interim overhead & Maximum Profit of 10%). The interim multiplier will be based on currently available information on Consultant Company's overhead and profit. This multiplier is subject to audit and revision in accordance with applicable NYC Comptrollers' Directive on an annual basis when the actual overhead information for the respective year becomes available. Suitable adjustments to the previous payments will be made accordingly upon completion of contract and when multiplier information is available. As needed, the additional fund for the overhead and profit will be added via Change Order by the Agency at the discretion of the Agency.

FORM 4T1 – LABOR COST PROPOSAL

PROJECT NAME: **Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges**

E-PIN: 84110P0020
PIN: 84110BKBR541

LOCATION: **BQE SB Bridge Over Adams Street**

BIN: 2-23045-0

PRIME CONSULTANT:_____

CONTRACT NO.: HBCR01AA

CONSULTANT ON THIS FORM:_____

☐ PROFESSIONAL ENGINEERING/ARCHITECTURAL SERVICES
☐ OTHER/_____

	(COLUMN 1) JOB TITLE ASCE/ NICET GRADE	(COLUMN 2) TOTAL HOURS	(COLUMN 3) HOURSTHIS FIRM	(COLUMN 4) AVERAGE HOURLY RATE (FY 2011)	(COLUMN 5) LABOR COST COL3X COL4
1.	Office Engineer/ Part Insp.- Prime/ Sub – N III	120 (fixed)		$	$
2.	Community Liaison – Prime/ Sub	40 (Fixed)		$	$
3.				$	$
4.				$	$
5.				$	$
6.				$	$
7.				$	$
8.				$	$
9.				$	$
	TOTALS				**$ (T)**

INTERIM OVERHEAD FACTOR _____ **(A)**

PROFIT FACTOR _____ **(B)**

INTERIM MULTIPLIER _____ **(1+A)X(1+B) = M**

TOTAL LABOR COST (T x M) **$** _____ **(C)**

MAXIMUM ESCALATION FACTOR = **1.04 (D)**

TOTAL LABOR ESCALATED TO PROJECT MIDPOINT (GRAND TOTAL COST) (C X D) **$** _____

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 NYSDOT for regional offices (if available). 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 maximum escalation factor "D" indicated in the shaded area shall not be changed.
5. Interim Multiplier (M) shall be rounded off to three (3) decimal figures. Total Labor Cost (C) and Column 4 & Column 5 entries shall be rounded off to two (2) decimal places.
6. The agency will consider the proposed interim multiplier for establishing Total Contract Fee (including DTL, interim overhead & Maximum Profit of 10%). The interim multiplier will be based on currently available information on Consultant Company's overhead and profit. This multiplier is subject to audit and revision in accordance with applicable NYC Comptrollers' Directive on an annual basis when the actual overhead information for the respective year becomes available. Suitable adjustments to the previous payments will be made accordingly upon completion of contract and when multiplier information is available. As needed, the additional fund for the overhead and profit will be added via Change Order by the Agency at the discretion of the Agency.

FORM 4T1 – LABOR COST PROPOSAL

PROJECT NAME: **Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges**

E-PIN: 84110P0020
PIN: 84110BKBR541

LOCATION: **Belt Parkway Bridge Over Bedford Avenue**

BIN: 2-23142-9

PRIME CONSULTANT:_____

CONTRACT NO.: HBCR01AA

CONSULTANT ON THIS FORM:_____

☐ PROFESSIONAL ENGINEERING/ARCHITECTURAL SERVICES
☐ OTHER/_____

	(COLUMN 1) JOB TITLE ASCE/ NICET GRADE	(COLUMN 2) TOTAL HOURS	(COLUMN 3) HOURSTHIS FIRM	(COLUMN 4) AVERAGE HOURLY RATE (FY 2011)	(COLUMN 5) LABOR COST COL3X COL4
1.	Office Engineer/ Part Insp.- Prime/ Sub – N III	840 (fixed)		$	$
2.	Community Liaison – Prime/ Sub	180 (Fixed)		$	$
3.				$	$
4.				$	$
5.				$	$
6.				$	$
7.				$	$
8.				$	$
9.				$	$
	TOTALS				**$ (T)**

INTERIM OVERHEAD FACTOR _____ **(A)**

PROFIT FACTOR _____ **(B)**

INTERIM MULTIPLIER _____ **(1+A)X(1+B) = M**

TOTAL LABOR COST (T x M) **$** _____ **(C)**

MAXIMUM ESCALATION FACTOR = **1.04 (D)**

TOTAL LABOR ESCALATED TO PROJECT MIDPOINT (GRAND TOTAL COST) (C X D) **$** _____

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 NYSDOT for regional offices (if available). 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 maximum escalation factor "D" indicated in the shaded area shall not be changed.
5. Interim Multiplier (M) shall be rounded off to three (3) decimal figures. Total Labor Cost (C) and Column 4 & Column 5 entries shall be rounded off to two (2) decimal places.
6. The agency will consider the proposed interim multiplier for establishing Total Contract Fee (including DTL, interim overhead & Maximum Profit of 10%). The interim multiplier will be based on currently available information on Consultant Company's overhead and profit. This multiplier is subject to audit and revision in accordance with applicable NYC Comptrollers' Directive on an annual basis when the actual overhead information for the respective year becomes available. Suitable adjustments to the previous payments will be made accordingly upon completion of contract and when multiplier information is available. As needed, the additional fund for the overhead and profit will be added via Change Order by the Agency at the discretion of the Agency.

FORM 4T1 – LABOR COST PROPOSAL

PROJECT NAME: **Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges**

E-PIN: 84110P0020
PIN: 84110BKBR541

LOCATION: **Union Street Bridge Over BQE**

BIN: 2-23036-0

PRIME CONSULTANT:_____

CONTRACT NO.: HBCR01AA

CONSULTANT ON THIS FORM:_____

☐ PROFESSIONAL ENGINEERING/ARCHITECTURAL SERVICES
☐ OTHER/_____

	(COLUMN 1) JOB TITLE ASCE/ NICET GRADE	(COLUMN 2) TOTAL HOURS	(COLUMN 3) HOURSTHIS FIRM	(COLUMN 4) AVERAGE HOURLY RATE (FY 2011)	(COLUMN 5) LABOR COST COL3X COL4
1.	Office Engineer/ Part Insp.- Prime/ Sub – N III	680 (fixed)		$	$
2.	Community Liaison – Prime/ Sub	180 (Fixed)		$	$
3.				$	$
4.				$	$
5.				$	$
6.				$	$
7.				$	$
8.				$	$
9.				$	$
	TOTALS				**$ (T)**

INTERIM OVERHEAD FACTOR _____ **(A)**

PROFIT FACTOR _____ **(B)**

INTERIM MULTIPLIER _____ **(1+A)X(1+B) = M**

TOTAL LABOR COST (T x M) **$** _____ **(C)**

MAXIMUM ESCALATION FACTOR = **1.04 (D)**

TOTAL LABOR ESCALATED TO PROJECT MIDPOINT (GRAND TOTAL COST) (C X D) **$** _____

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 NYSDOT for regional offices (if available). 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 maximum escalation factor "D" indicated in the shaded area shall not be changed.
5. Interim Multiplier (M) shall be rounded off to three (3) decimal figures. Total Labor Cost (C) and Column 4 & Column 5 entries shall be rounded off to two (2) decimal places.
6. The agency will consider the proposed interim multiplier for establishing Total Contract Fee (including DTL, interim overhead & Maximum Profit of 10%). The interim multiplier will be based on currently available information on Consultant Company's overhead and profit. This multiplier is subject to audit and revision in accordance with applicable NYC Comptrollers' Directive on an annual basis when the actual overhead information for the respective year becomes available. Suitable adjustments to the previous payments will be made accordingly upon completion of contract and when multiplier information is available. As needed, the additional fund for the overhead and profit will be added via Change Order by the Agency at the discretion of the Agency.

FORM 4T1 – LABOR COST PROPOSAL

PROJECT NAME: **Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges**

E-PIN: **84110P0020**
PIN: **84110BKBR541**

LOCATION: **BQE NB Bridge Over Adams Street**

BIN: **2-23044-0**

PRIME CONSULTANT:_____

CONTRACT NO.: **HBCR01AA**

CONSULTANT ON THIS FORM:_____

☐ PROFESSIONAL ENGINEERING/ARCHITECTURAL SERVICES
☐ OTHER/_____

	(COLUMN 1) JOB TITLE ASCE/ NICET GRADE	(COLUMN 2) TOTAL HOURS	(COLUMN 3) HOURSTHIS FIRM	(COLUMN 4) AVERAGE HOURLY RATE (FY 2011)	(COLUMN 5) LABOR COST COL3X COL4
1.	Office Engineer/ Part Insp.- Prime/ Sub – N III	140 (fixed)		$	$
2.	Community Liaison – Prime/ Sub	40 (Fixed)		$	$
3.				$	$
4.				$	$
5.				$	$
6.				$	$
7.				$	$
8.				$	$
9.				$	$
	TOTALS				**$ (T)**

INTERIM OVERHEAD FACTOR _____ **(A)**

PROFIT FACTOR _____ **(B)**

INTERIM MULTIPLIER _____ **(1+A)X(1+B) = M**

TOTAL LABOR COST (T x M) **$** _____ **(C)**

MAXIMUM ESCALATION FACTOR = **1.04 (D)**

TOTAL LABOR ESCALATED TO PROJECT MIDPOINT (GRAND TOTAL COST) (C X D) **$** _____

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 NYSDOT for regional offices (if available). 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 maximum escalation factor "D" indicated in the shaded area shall not be changed.
5. Interim Multiplier (M) shall be rounded off to three (3) decimal figures. Total Labor Cost (C) and Column 4 & Column 5 entries shall be rounded off to two (2) decimal places.
6. The agency will consider the proposed interim multiplier for establishing Total Contract Fee (including DTL, interim overhead & Maximum Profit of 10%). The interim multiplier will be based on currently available information on Consultant Company's overhead and profit. This multiplier is subject to audit and revision in accordance with applicable NYC Comptrollers' Directive on an annual basis when the actual overhead information for the respective year becomes available. Suitable adjustments to the previous payments will be made accordingly upon completion of contract and when multiplier information is available. As needed, the additional fund for the overhead and profit will be added via Change Order by the Agency at the discretion of the Agency.

FORM 4T2 – COST PROPOSAL SUMMARY

PROJECT NAME: **Resident Engineering Inspection Services In Connection with Component Rehabilitation of 10 Bridges**
BIN: **2-24323-0, 2-24448-0, 2-23127-0, 2-24349-0, 2-24406-0, 2-24026-0, 2-23045-0, 2-23142-9, 2-23036-0, 2-23044-0**

E-PIN: **84110P0020**
PIN: **84110BKBR541**

PRIME CONSULTANT:_____ **CONTRACT NO.:** **HBCR01AA**

	(COLUMN 1) CONSULTANT	(COLUMN 2) HOURS ALL FIRMS	(COLUMN 3) ESCALATED LABOR COST TO PROJECT MIDPOINT	(COLUMN 4) DIRECT NON-SALARY COST	(COLUMN 5) TOTAL COST
1.	Office Engineer/ Part Insp.- Prime/ Sub – N III	**3760 (Fixed)**		$	$
2.	Community Liaison – Prime/ Sub	**1068 (Fixed)**		$	$
3.				$	$
4.				$	$
5.				$	$
6.				$	$
7.				$	$
8.				$	$
9.					
	TOTALS			**$ 61,300.00 (DNSC)**	**(T)**
	CONSTRUCTABILITY REVIEW				**$19,500.00 (CR)**
	GRAND TOTAL			**$ 80,800.00 (DNSC+CR)**	

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 (Target Goal)	Measure of Performance	Associated Financial Incentive/Disincentive
1.			
2.			
3.			
4.			
5.			

F) MINORITY/WOMEN BUSINESS OWNED ENTERPRISES PROGRAM

1. **NOTICE TO ALL PROPSECTIVE CONTRACTORS (7 Pages)**

2. **SCHEDULE B - SUBCONTRACTOR UTILIZATION PLAN**
   (To be submitted in a separate sealed envelope along with the Technical Proposal)

   PART I: AGENCY'S TARGET
   (To be completed by NYCDOT)

   PART II: BIDDER/PROPOSER SUBCONTRACTING PLAN
   (pages 2 and 3 to be completed by Consultant)

   PART III: REQUEST FOR WAIVER OF TARGET SUBCONTRACTING PERCENTAGE
   (page 4, if applicable, to be submitted no later than 7 days prior to the proposal due date)

NOTICE TO ALL PROSPECTIVE CONTRACTORS

PARTICIPATION BY MINORITY-OWNED AND WOMEN-OWNED BUSINESS ENTERPRISES IN CITY PROCUREMENT

ARTICLE I. M/WBE PROGRAM

Local Law No. 129 of 2005 added Section 6-129 to the Administrative Code of the City of New York. The local law creates a program for participation by minority-owned and women-owned business enterprises (MBEs and WBEs) in City procurement. As stated in the Section 6-129, the intent of the program is to address the impact of discrimination on the City's procurement process, and to promote the public interest in avoiding fraud and favoritism in the procurement process, increasing competition for City business, and lowering contract costs. The contract provisions contained herein are made pursuant to Local Law 129, and the rules of the Department of Small Business Services ("DSBS") promulgated thereunder.

If this Contract is subject to the Minority-Owned and Women-Owned Business Enterprise ("M/WBE") program created by Local Law 129, the specific requirements of M/WBE participation for this Contract are set forth in Schedule B of the Contract (entitled the "Subcontractor Utilization Plan"), and are detailed below.

The Contractor must comply with all applicable M/WBE requirements for this Contract.

Article I, Part A, below, sets forth provisions related to the participation goals for construction and professional services contracts.

Article I, Part B, below, sets forth miscellaneous provisions related to the M/WBE program.

PART A

PARTICIPATION GOALS FOR CONSTRUCTION AND PROFESSIONAL SERVICES CONTRACTS

1. The **Target Subcontracting Percentage** applicable to this Contract is set forth on Schedule B, Part I to this Contract (see Page 1, line (1)).

The **"Target Subcontracting Percentage"** is the percentage of the total Contract which Agency anticipates that the prime contractor for this Contract would in the normal course of business award to one or more subcontractors for amounts under $1 million for construction and professional services.

A prospective contractor may seek a full or partial pre-award waiver of the **Target Subcontracting Percentage** in accordance with Local Law 129 and Part A, Section 10 below. To apply for the a full or partial waiver of the **Target Subcontracting Percentage**, a prospective contractor must complete Part III (Page 4) of Schedule B, and must submit such request no later than seven (7) days prior to the date and time the bids or proposals are due, in writing to the Agency by e-mail at **accomail@dot.nyc.gov** or via facsimile at **(212) 839-4241**. Bidders/proposers who have submitted requests will receive a response by no later than two (2) calendar days prior to the date bids or proposals are due, provided, however, that if that date would fall on a weekend or holiday, a response will be provided by close-of-business on the business day before such weekend or holiday date.

2. The **Subcontractor Participation Goals** established for this Contract are set forth on Schedule B, Part I to this Contract (see Page 1, line (2) and/or line (3)).

The **Subcontractor Participation Goals** represent a percentage of the total dollar value of all construction and/or professional services subcontracts under this Agreement for amounts under $1 million.

3. If **Subcontractor Participation Goals** have been established for this Contract, Contractor agrees or shall agree as a material term of the Agreement that, with respect to the total amount of the Agreement to be awarded to one or more subcontractors pursuant to subcontracts for amounts under $1 million, Contractor shall be subject to the **Subcontractor Participation Goals**, unless the goals are modified by Agency in accordance with Local Law 129 and Part A, Section 11 below.

4. If **Subcontractor Participation Goals** have been established for this Contract, a prospective contractor shall be required to submit with its bid or proposal, as applicable, a completed Schedule B, Part II Subcontractor Utilization Plan (see Page 2-3) indicating: (a) the percentage of work it intends to subcontract; (b) the percentage of work it intends to award to subcontractors for amounts under $1 million; (c) in cases where the prospective contractor intends to award subcontracts for amounts under $1 million, a description of the type and dollar value of work designated for participation by MBEs and/or WBEs; and (d) the general time frames in which such work by MBEs and/or WBEs is scheduled to occur. In the event that this Subcontractor Utilization Plan indicates that the bidder or proposer, as applicable, does not intend to award the **Target Subcontracting Percentage**, the bid or proposal, as applicable, shall be deemed non-responsive, unless Agency has granted the bidder or proposer, as applicable, a pre-award waiver of the **Target Subcontracting Percentage** in accordance with Local Law 129 and Part A, Section 10 below.

THE BIDDER/PROPOSER MUST COMPLETE THE SUBCONTRACTOR UTILIZATION PLAN INCLUDED HEREIN (SCHEDULE B, PART II). SUBCONTRACTOR UTILIZATION PLANS WHICH DO NOT INCLUDE THE REQUIRED AFFIRMATIONS WILL BE DEEMED TO BE NON-RESPONSIVE, UNLESS A FULL WAIVER OF THE TARGET SUBCONTRACTING PERCENTAGE IS GRANTED (SCHEDULE B, PART III). IN THE EVENT THAT THE CITY DETERMINES THAT VENDOR HAS SUBMITTED A SUBCONTRACTOR UTILIZATION PLAN WHERE THE REQUIRED AFFIRMATIONS ARE COMPLETED

BUT OTHER ASPECTS OF THE PLAN ARE NOT COMPLETE, OR CONTAIN A COPY OR COMPUTATION ERROR THAT IS AT ODDS WITH THE AFFIRMATION, THE VENDOR WILL BE NOTIFIED BY THE AGENCY AND WILL BE GIVEN FOUR (4) CALENDAR DAYS FROM RECEIPT OF NOTIFICATION TO CURE THE SPECIFIED DEFICIENCIES AND RETURN A COMPLETED PLAN TO THE AGENCY. FAILURE TO DO SO WILL RESULT IN A DETERMINATION THAT THE BID/PROPOSAL IS NON-RESPONSIVE. RECEIPT OF NOTIFICATION IS DEFINED AS THE DATE NOTICE IS E-MAILED OR FAXED (IF THE VENDOR HAS PROVIDED AN E-MAIL ADDRESS OR FAX NUMBER), OR NO LATER THAN FIVE (5) DAYS FROM THE DATE OF MAILING OR UPON DELIVERY, IF DELIVERED.

5. Where a Subcontractor Utilization Plan has been submitted, the Contractor shall, within 30 days of issuance by Agency of a notice to proceed, submit a list of proposed persons or entities to which it intends to award subcontracts within the subsequent 12 months. In the case of multi-year contracts, such list shall also be submitted every year thereafter. **PLEASE NOTE: If this Contract is a public works project subject to GML §101(5), i.e., a contract valued at or below $3M (for projects in New York City) where the bidder is required to identify at the time of bid submission its intended subcontractors for the Wicks trades (plumbing and gas fitting; steam heating, hot water heating, ventilating and air conditioning (HVAC); and electric wiring), the Contractor must identify all those to which it intends to award construction subcontracts for any of the Wicks trades, regardless of what point in the life of the contract such subcontracts will occur, at the time of bid submission.** In the event that the Contractor's selection of a subcontractor is disapproved, the Contractor shall have a reasonable time to propose alternate subcontractors.

6. M/WBE firms must be certified by DSBS in order for the Contractor to credit such firms' participation toward the attainment of the M/WBE participation goals. Such certification must occur prior to the firms' commencement of work as subcontractors. A list of M/WBE firms may be obtained from the DSBS website at www.nyc.gov/buycertified, by emailing DSBS at buyer@sbs.nyc.gov, by calling (212) 513-6356, or by visiting or writing DSBS at 110 William St., New York, New York, 10038, 7th floor. Eligible firms that have not yet been certified may contact DSBS in order to seek certification by visiting www.nyc.gov/getcertified, emailing MWBE@sbs.nyc.gov, or calling the DSBS certification helpline at (212) 513-6311.

7. Where a Subcontractor Utilization Plan has been submitted, the Contractor shall, with each voucher for payment, and/or periodically as Agency may require, submit statements, certified under penalty of perjury, which shall include, but not be limited to, the total amount paid to subcontractors (including subcontractors that are not MBEs or WBEs); the names, addresses and contact numbers of each MBE or WBE hired as a subcontractor pursuant to such plan as well as the dates and amounts paid to each MBE or WBE. The Contractor shall also submit, along with its voucher for final payment, the total amount paid to subcontractors (including subcontractors that are not MBEs or WBEs); and a final list, certified under penalty of perjury, which shall include the name, address and contact information of each subcontractor that is an MBE or WBE hired pursuant to such plan, the work performed by, and the dates and amounts paid to each.

8. If payments made to, or work performed by, MBEs or WBEs are less than the amount specified in the Contractor's Subcontractor Utilization Plan, Agency shall take appropriate action, in accordance with Local Law 129 and Article II below, unless the Contractor has

obtained a modification of its Subcontractor Utilization Plan in accordance with Local Law 129 and Part A, Section 11 below.

9. Where a Subcontractor Utilization Plan has been submitted, and the Contractor requests a change order the value of which exceeds 10 percent of the Agreement, Agency shall establish participation goals for the work to be performed pursuant to the change order.

10. Pre-award waiver of **Target Subcontracting Percentage**. Agency may grant a full or partial waiver of the **Target Subcontracting Percentage** to a bidder or proposer, as applicable, who demonstrates—before submission of the bid or proposal—that it has legitimate business reasons for proposing the level of subcontracting in its Subcontractor Utilization Plan. In making its determination, Agency shall consider factors that shall include, but not be limited to, whether the bidder or proposer, as applicable, has the capacity and the bona fide intention to perform the Contract without any subcontracting, or to perform the Contract without awarding the amount of subcontracts for under one million dollars represented by the **Target Subcontracting Percentage**. In making such determination, Agency may consider whether the Subcontractor Utilization Plan is consistent with past subcontracting practices of the bidder or proposer, as applicable, and whether the bidder or proposer, as applicable, has made good faith efforts to identify portions of the Contract that it intends to subcontract.

11. Modification of Subcontractor Utilization Plan. A Contractor may request a modification of its Subcontractor Utilization Plan (**Subcontractor Participation Goals**) after award of this Contract. **PLEASE NOTE: If this Contract is a public works project subject to GML §101(5), i.e., a contract valued at or below $3M (for projects in New York City) where the bidder is required to identify at the time of bid submission its intended subcontractors for the Wicks trades (plumbing and gas fitting; steam heating, hot water heating, ventilating and air conditioning (HVAC); and electric wiring), the Contractor may request a Modification of its Subcontractor Utilization Plan as part of its bid submission.** The Agency may grant a request for Modification of a Contractor's Subcontractor Utilization Plan if it determines that the Contractor has established, with appropriate documentary and other evidence, that it made reasonable, good faith efforts to meet the **Subcontractor Participation Goals**. In making such determination, Agency shall consider evidence of the following efforts, as applicable, along with any other relevant factors:

(a) The Contractor advertised opportunities to participate in the Contract, where appropriate, in general circulation media, trade and professional association publications and small business media, and publications of minority and women's business organizations;

(b) The Contractor provided notice of specific opportunities to participate in the Contract, in a timely manner, to minority and women's business organizations;

(c) The Contractor sent written notices, by certified mail or facsimile, in a timely manner, to advise MBEs and WBEs that their interest in the Contract was solicited;

(d) The Contractor made efforts to identify portions of the work that could be substituted for portions originally designated for participation by MBEs and/or WBEs in the Subcontractor Utilization Plan, and for which the Contractor claims an inability to retain MBEs or WBEs;

(e) The Contractor held meetings with MBEs and/or WBEs prior to the date their bids or proposals were due, for the purpose of explaining in detail the scope and requirements of the work for which their bids or proposals were solicited;

(f) The Contractor made efforts to negotiate with MBEs and/or WBEs as relevant to perform specific subcontracts;

(g) Timely written requests for assistance made by the Contractor to Agency's M/WBE liaison officer and to DSBS;

(h) Description of how recommendations made by DSBS and Agency were acted upon and an explanation of why action upon such recommendations did not lead to the desired level of participation of MBEs and/or WBEs.

Agency's M/WBE officer shall provide written notice to the Contractor of the determination.

12. If **Subcontractor Participation Goals** have been established for this Contract, Agency shall evaluate and assess the Contractor's performance in meeting those goals, and such evaluation and assessment shall become part of the Contractor's overall contract performance evaluation.

PART B

MISCELLANEOUS

1. The Contractor shall take notice that, if this solicitation requires the establishment of a Subcontractor Utilization Plan, the resulting contract may be audited by DSBS to determine compliance with Section 6-129. See 6-129(e)(10). Furthermore, such resulting contract may also be examined by the City's Comptroller to assess compliance with the Subcontractor Utilization Plan.

2. Pursuant to DSBS rules, construction contracts that include a requirement for a Subcontractor Utilization Plan shall not be subject to the law governing Locally Based Enterprises set forth in Administrative Code Section 6-108.1.

3. DSBS is available to assist contractors and potential contractors in determining the availability of MBEs and WBEs to participate as subcontractors, and in identifying opportunities that are appropriate for participation by MBEs and WBEs in contracts.

4. Prospective contractors are encouraged to enter into joint ventures with MBEs and WBEs.

5. By submitting a bid or proposal the Contractor hereby acknowledges its understanding of the M/WBE requirements set forth herein and the pertinent provisions of Local Law 129 of 2005, and any rules promulgated thereunder, and if awarded this Contract, the Contractor hereby agrees to comply with the M/WBE requirements of this Contract and pertinent provisions of Local Law 129 of 2005, and any rules promulgated thereunder, all of which shall be deemed to be material terms of this Contract. The Contractor hereby agrees to make all reasonable, good faith efforts to solicit and obtain the participation of M/WBE's to meet the required **Subcontractor Participation Goals**.

ARTICLE II. ENFORCEMENT

1. If Agency determines that a bidder or proposer, as applicable, has, in relation to this procurement, violated Section 6-129 or the DSBS rules promulgated pursuant to Section 6-129, Agency may disqualify such bidder or proposer, as applicable, from competing for this Contract and the Agency may revoke such bidder's or proposer's prequalification status, if applicable.

2. Whenever Agency believes that the Contractor or a subcontractor is not in compliance with Section 6-129 or the DSBS rules promulgated pursuant to Section 6-129, or any provision of this Contract that implements Section 6-129, including, but not limited to any Subcontractor Utilization Plan, Agency shall send a written notice to the Contractor describing the alleged noncompliance and offering an opportunity to be heard. Agency shall then conduct an investigation to determine whether such Contractor or subcontractor is in compliance.

3. In the event that the Contractor has been found to have violated Section 6-129, the DSBS rules promulgated pursuant to Section 6-129, or any provision of this Contract that implements this Section 6-129, including, but not limited any Subcontractor Utilization Plan, Agency may determine that one of the following actions should be taken:

(a) entering into an agreement with the Contractor allowing the Contractor to cure the violation;

(b) revoking the Contractor's pre-qualification to bid or make proposals for future contracts;

(c) making a finding that the Contractor is in default of the Contract;

(d) terminating the Contract;

(e) declaring the Contractor to be in breach of Contract;

(f) withholding payment or reimbursement;

(g) determining not to renew the Contract;

(h) assessing actual and consequential damages;

(i) assess liquidated damages or reduction of fees, provided that liquidated damages may be based on amounts representing costs of delays in carrying out the purposes of the program established by Section 6-129, or in meeting the purposes of the Contract, the costs of meeting utilization goals through additional procurements, the administrative costs of investigation and enforcement, or other factors set forth in the Contract;

(j) exercise rights under the Contract to procure goods, services or construction from another contractor and charge the cost of such contract to the Contractor that has been found to be in noncompliance; or

(k) take any other appropriate remedy.

4. Whenever Agency has reason to believe that an MBE or WBE is not qualified for certification, or is participating in a contract in a manner that does not serve a commercially useful function (as defined in Section 6-129), or has violated any provision of Section 6-129, Agency shall notify the commissioner of DSBS who shall determine whether the certification of such business enterprise should be revoked.

5. Statements made in any instrument submitted to Agency pursuant to Section 6-129 shall be submitted under penalty of perjury and any false or misleading statement or omission shall be grounds for the application of any applicable criminal and/or civil penalties for perjury. The making of a false or fraudulent statement by an MBE or WBE in any instrument submitted pursuant to Section 6-129 shall, in addition, be grounds for revocation of its certification.

6. The Contractor's record in implementing its Subcontractor Utilization Plan shall be a factor in the evaluation of its performance. Whenever a contracting agency determines that a contractor's compliance with a Subcontractor Utilization Plan has been unsatisfactory, the agency shall, after consultation with the city chief procurement officer, file an advice of caution form for inclusion in VENDEX as caution data.

Tax ID #: _____ E-PIN: 84110P0020

THE CITY OF NEW YORK

SCHEDULE B – Subcontractor Utilization Plan – Part I: Agency's Target

This page to be completed by contracting agency

Contract Overview

E-PIN	84110P0020	**Project/Program**	BRIDGES
Procurement Description	REI Services for Component Rehabilitation of 10 Bridges, Borough of Brooklyn		
Contracting Agency	DOT		
Agency Address	55 Water Street, Ground Floor	**City** New York	**State** NY **Zip Code** 10041
Contact Person	Dr. Paul-Michael Kazas	**Title**	Director, Capital Procurement
Telephone #	212-839-6314	**Email**	pkazas@dot.nyc.gov

Project Description *(attach additional pages if necessary)*

Resident Engineering Inspection Services in connection with Component Rehabilitation of 10 Bridges, Borough of Brooklyn

(1) ✓ **Target Subcontracting Percentage**
Percentage of total contract dollar value that agency estimates will be awarded to subcontractors in amounts under $1 million for construction and professional services. 30 %

Subcontractor Participation Goals
Complete and enter total for each Construction or Professional Services, or both (if applicable)

Group	Construction	Professional Services
Black American	%	9 %
Hispanic American	%	5 %
Asian American	%	No Goal
Caucasian Female	No Goal	16.5 %
Total Participation Goals	**(2)** 0.0	**(3)** 30.5 %

Tax ID #: _____ E-PIN: 84111P0002

SCHEDULE B – Subcontractor Utilization Plan – Part II: Bidder/Proposer Subcontracting Plan

This page and the next (Part II herein) are to be completed by the bidder/proposer. AFFIRMATIONS; Bidder/proposer must check the applicable boxes below, affirming compliance with M/WBE requirements.

Bidder/proposer ☐ AFFIRMS or ☐ DOES NOT AFFIRM [statement below]

It is a material term of the contract to be awarded that, with respect to the total amount of the contract to be awarded, bidder/proposer will award one or more subcontracts for amounts under one million dollars, sufficient to meet or exceed the Target Subcontracting Percentage (as set forth in Part I) unless it obtains a full or partial waiver thereof, and it will award subcontracts sufficient to meet or exceed the Total Participation Goals (as set forth in Part I) unless such goals are modified by the Agency.

Bidder/proposer ☐ AFFIRMS that it intends to meet or exceed the Target Subcontracting Percentage (as set forth in Part I); or

☐ AFFIRMS that it has obtained a full/partial pre-award waiver of the Target Subcontracting Percentage (as set forth in Part I) and intends to award the modified Target Subcontracting Percentage, if any; or

☐ DOES NOT AFFIRM

Section I: Prime Contractor Contact Information

Tax ID # _____ **FMS Vendor ID #** _____

Business Name _____ **Contact Person** _____

Address _____

Telephone # _____ **Email** _____

Section II: General Contract Information

1. **Define the industry in which work is to be performed.**
   - **Construction** includes all contracts for the construction, rehabilitation, and/or renovation of physical structures. This category does include CM Build as well as other construction related services such as: demolition, asbestos and lead abatement, and painting services, carpentry services, carpet installation and removal, where related to new construction and not maintenance.

     This category does not include standard services which may be associated with construction projects but which do not constitute construction, such as trucking, site protection, site security, site surveying, soil testing, extermination, and maintenance/operations.
   - **Professional Services** are a class of services that typically require the provider to have some specialized field or advanced degree. Services of this type include: legal, management consulting, information technology, accounting, auditing, actuarial, advertising, health services, pure construction management, environmental analysis, scientific testing, architecture and engineering, and traffic studies, and similar services.

a. Type of work on Prime Contract *(Check one):* **b. Type of work on Subcontract *(Check all that apply):***

☐ **Construction** ☐ **Professional Services** ☐ **Construction** ☐ **Professional Services** ☐ **Other**

2. **What is the expected percentage of the total contract dollar value that you expect to award to all subcontracts?** _____ %
3. **Will you award subcontract(s) in amounts below $ 1 million for construction and/or professional services contracts within the first 12 months of the notice to proceed on the contract?** ☐ **Yes** ☐ **No**

Section III: Subcontractor Utilization Summary

IMPORTANT*: If you do not anticipate that you will subcontract at the target level the agency has specified, because you will perform more of the work yourself, you must seek a waiver of the Target Subcontracting Percentage by completing p. 4).*

Step 1: Calculate the percentage (of your total bid) that will go towards subcontracts under $1M for construction and/or professional services	**Subcontracts under $1M (4)** (construction/professional services)		**Total Bid/Proposal Value**		**Calculated Target Subcontracting Percentage**
	$ _____	÷	$ _____	x 100 =	_____ %

- **Subcontracts under $1M (construction/professional services):** Enter the value you expect to award to subcontractors in dollars for amounts under $1 million for construction and/or professional services. This value defines the amount that participation goals apply to, and will be entered into the first line of Step 2.
- **Total Bid/Proposal Value:** Provide the dollar amount of the bid/proposal.
- **Calculated Target Subcontracting Percentage:** The percentage of the total contract dollar value that will be awarded to one or more subcontractors for amounts under $1 million for construction and/or professional services. **This percentage must equal or exceed the percentage listed by the agency on page 1, at line (1).**

Tax ID #: _____ E-PIN: 84111P0002

NOTE: The "Calculated Target Subcontracting Percentage" MUST equal or exceed the Target Subcontracting Percentage listed by the agency on Page 1, Line (1).

SCHEDULE B – cont.

Step 2:
Calculate value of subcontractor participation goals

		Subcontracts under $1M (construction/professional services)
a.	Copy value from Step 1, line (4) – the total value of all expected subcontracts under $1M for construction and/or professional services	$

		Construction	Professional Services
b.	• From line a. above, allocate the dollar value of "Subcontracts under $1M" by Construction and Professional Services, • If all subcontracts under $1M are in one industry, enter '0' for the industry with no subcontracts. • Amounts listed on these lines should add up to the value from line a. **Subcontracts under $1M by Industry**	$ _____	$ _____
c.	• For Construction enter percentage from line (2) from Page 1. • For Professional Services enter percentage from line (3) from Page 1. • **Total Participation Goals Percentages must be copied from Part I, lines (2) and (3).** **Total Participation Goals**	x _____ %	x _____ %
d.	**Value of Total Participation Goals**	$ _____	$ _____

Step 3:

✓ **Subcontracts in Amounts Under $1 M Scope of Work – Construction**	*Enter brief description of type(s) of subcontracts in amounts under $1M anticipated, by type of work, not by name of subcontractor*
✓ **Subcontracts in Amounts Under $1 M Scope of Work – Professional Services**	*Enter brief description of type(s) of subcontracts in amounts under $1M anticipated, by type of work, not by name of subcontractor*

Section IV: Vendor Certification

I hereby 1) acknowledge my understanding of the M/WBE requirements as set forth herein and the pertinent provisions of Local Law 129 of 2005, and the rules promulgated thereunder; 2) affirm that the information supplied in support of this subcontractor utilization plan is true and correct; 3) agree, if awarded this Contract, to comply with the M/WBE requirements of this Contract and the pertinent provisions of Local Law 129 of 2005, and the rules promulgated thereunder, all of which shall be deemed to be material terms of this contract; and 4) agree, if awarded this contract to make all reasonable, good faith efforts to attain the Target Subcontracting Percentage as specified by the Agency, and to solicit and obtain the participation of M/WBEs so as to meet the required Subcontractor Participation Goals

Signature _____ **Date** _____

Print Name _____ **Title** _____

SCHEDULE B – PART III – REQUEST FOR WAIVER OF TARGET SUBCONTRACTING PERCENTAGE

Contract Overview

Tax ID # _____ **FMS Vendor ID #** _____

Business Name _____

Contact Name _____ **Telephone #** _____ **Email** _____

Type of Procurement ☐ Competitive Sealed Bids ☐ Other **Bid/Response Due Date** _____

E-PIN (for this procurement)	Type of work on Prime Contract *(Check one):*	Type of work on Subcontract *(Check all that apply):*	
84111P0002	☐ Construction ☐ Professional Services	☐ Construction ☐ Professional Services	☐ Other

SUBCONTRACTING *as described in bid/solicitation documents* *(Copy this % figure from the solicitation)*

_____ % of the total contract value anticipated by the agency to be subcontracted for construction/professional services subcontracts valued below $1 million (each)

ACTUAL SUBCONTRACTING *as anticipated by vendor seeking waiver*

_____ % of the total contract value anticipated in good faith by the bidder/proposer to be subcontracted for construction/ professional services subcontracts valued below $1 million (each)

Basis for Waiver Request: *Check appropriate box & explain in detail below (attach additional pages if needed)*

☐ **Vendor does not subcontract construction/professional services, and has the capacity and good faith intention to perform all such work itself.**

☐ **Vendor subcontracts *some* of this type of work but at *lower* % than bid/solicitation describes, and has the capacity and good faith intention to do so on this contract.**

☐ **Other** _____

References

List 3 most recent contacts/subcontracts performed for NYC agencies (if any)

CONTRACT NO. _____ AGENCY _____ DATE COMPLETED _____

CONTRACT NO. _____ AGENCY _____ DATE COMPLETED _____

CONTRACT NO. _____ AGENCY _____ DATE COMPLETED _____

List 3 most recent contracts/subcontracts performed for other agencies/entities
(complete ONLY if vendor has performed fewer than 3 NYC contracts)

TYPE OF WORK _____ AGENCY/ENTITY _____ DATE COMPLETED _____
Manager at agency/entity that hired vendor (Name/Phone No.) _____

TYPE OF WORK _____ AGENCY/ENTITY _____ DATE COMPLETED _____
Manager at agency/entity that hired vendor (Name/Phone No.) _____

TYPE OF WORK _____ AGENCY/ENTITY _____ DATE COMPLETED _____
Manager at agency/entity that hired vendor (Name/Phone No.) _____

VENDOR CERTIFICATION: *I hereby affirm that the information supplied in support of this waiver request is true and correct, and that this request is made in good faith.*

Signature: _____ **Date:** _____

Print Name: _____ **Title:** _____

Shaded area below is for agency completion only

AGENCY CHIEF CONTRACTING OFFICER APPROVAL

Signature: **Date:**

CITY CHIEF PROCUREMENT OFFICER APPROVAL

Signature: **Date:**

SECTION VII

G) VENDEX REQUIREMENTS & CONFIRMATION OF VENDEX COMPLIANCE

ATTACHMENT G

VENDEX Requirements

Pursuant to Section 6-112.2(b) of the New York City Administrative Code, all vendors that are under consideration for the award of a sole source contract or a contract valued at $100,000 or more, or whose aggregate business with the City in the last 12 months, including the proposed contract, is $100,000 or more, must complete and submit a VENDEX Business Entity or Not-For-Profit Organization Questionnaire when notified by the Agency. The principals and individuals thereof must also submit a Principal of Individual Questionnaire.

Upon selection, the successful proposer (including their sub-consultants) will be required to submit proof of filing of the appropriate VENDEX Questionnaires. Upon written notification, the proposer must submit a Confirmation of Vendex Compliance to the NYCDOT Vendor Responsibility Unit within five days of official notification.(Section VII, Attachment G). A form for this confirmation is set forth in the RFP.

The proposer is advised that Vendex Questionnaires and procedures have changed. See www.nyc.gov/vendex to download the new VENDEX Questionnaires and a Vendor's Guide to VENDEX or contact NYCDOT's Vendor Responsibility Unit at 212-442-7757.

(a) Submission: Vendex Questionnaires (if required) must be submitted directly to the Mayor's Office of Contract Services, ATTN: Vendex, 253 Broadway, 9th Floor, New York, New York 10007.

(b) Requirement: Pursuant to Administrative Code Section 6-116.2 and the PPB Rules, proposers may be obligated to complete and submit VENDEX Questionnaires. If required, Vendex Questionnaires must be completed and submitted before any award of contract may be made or before approval is given for a proposed subcontractor. Non-compliance with these submission requirements may result in the disqualification of the proposal, disapproval of a subcontractor, subsequent withdrawal of approval for the use of an approved subcontractor, or the cancellation of the contract after award.

ATTACHMENT G

CONFIRMATION OF VENDEX COMPLIANCE

The Proposer (including its subconsultant) shall submit this Confirmation of Vendex Compliance

Name of Proposer: _____

Proposer's Address: _____

Proposer's Telephone Number: _____

Proposer's Fax Number: _____

Date of Proposal Submission: _____

Project ID: _____

Vendex Compliance: To demonstrate compliance with Vendex requirements, the Proposer shall complete either Section (1) or Section (2) below, whichever applies.

(1) **Submission of Questionnaires to MOC**: By signing in the space provided below, the Proposer certifies that as of the date specified below, the Proposer has submitted Vendex Questionnaires to the Mayor's Office of Contract Services, Attn: VENDEX, 253 Broadway, 9th Floor, New York, New York 10007.

Date of Submission: _____

By: _____
(Signature of Partner or corporate officer)

Print Name: _____

(2) **Submission of Certification of No Change to NYCDOT**: By signing in the space provided below, the Proposer certifies that it has read the instructions in a "Vendor's Guide to Vendex" and that such instructions do not require the Proposer to submit Vendex Questionnaires. The Proposer has completed **TWO ORIGINALS** of the Certification of No Change.

By: _____
(Signature of Partner or corporate officer)

Print Name: _____

SECTION VII

H) LOCAL LAW 34:
DOING BUSINESS DATA FORM AND INSTRUCTIONS
(To be submitted as a separate sealed envelope along with the Technical Proposal)

The City of New York
Mayor's Office of Contract Services
Doing Business Accountability Project

Doing Business Data Form

To be completed by the City Agency prior to distribution	
Agency: _____	Transaction ID: _____
Check One:	Transaction Type (check one):
☐ Proposal	☐ Concession ☐ Contract ☐ Economic Development Agreement
☐ Award	☐ Franchise ☐ Grant ☐ Pension Investment Contract

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

This Data Form requires information to be provided on principal officers, owners and senior managers. The name, employer and title of each person identified on the Data Form will be included in a public database of people who do business with the City of New York; no other information reported on this form will be disclosed to the public. **This Data Form is not related to the City's VENDEX requirements.**

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

Section 1: Entity Information

Entity Name: _____

Entity EIN/TIN: _____

Entity Filing Status (select one):

☐ Entity has never completed a Doing Business Data Form. *Fill out the entire form.*

☐ Change from previous Data Form dated _____. *Fill out only those sections that have changed, and indicate the name of the persons who no longer hold positions with the entity.*

☐ No Change from previous Data Form dated _____. *Skip to the bottom of the last page.*

Entity is a Non-Profit: ☐ Yes ☐ No

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

Address: _____

City: _____ State: _____ Zip: _____

Phone : _____ Fax : _____

E-mail: _____

Provide your e-mail address and/or fax number in order to receive notices regarding this form by e-mail or fax.

Section 2: Principal Officers

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

Chief Executive Officer (CEO) or equivalent officer

☐ This position does not exist

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

First Name: _____ MI: ____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

☐ This person replaced former CEO: _____ on date: _____

Chief Financial Officer (CFO) or equivalent officer

☐ This position does not exist

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

First Name: _____ MI: ____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

☐ This person replaced former CFO: _____ on date: _____

Chief Operating Officer (COO) or equivalent officer

☐ This position does not exist

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

First Name: _____ MI: ____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

☐ This person replaced former COO: _____ on date: _____

Section 3: Principal Owners

Please fill in the required identification information for all individuals who, through stock shares, partnership agreements or other means, **own or control 10% or more of the entity**. If no individual owners exist, please check the appropriate box to indicate why and skip to the next page. If the entity is owned by other companies, those companies do **not** need to be listed. If an owner was identified on the previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list any individuals who are no longer owners at the bottom of this page. If more space is needed, attach additional pages labeled "Additional Owners."

There are no owners listed because (select one):

☐ The entity is not-for-profit ☐ There are no individual owners ☐ No individual owner holds 10% or more shares in the entity

☐ Other (explain): _____

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

First Name: _____ MI: ____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

First Name: _____ MI: ____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

First Name: _____ MI: ____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

Remove the following previously-reported Principal Owners:

Name: _____ Removal Date: _____

Name: _____ Removal Date: _____

Name: _____ Removal Date: _____

Section 4: Senior Managers

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

Senior Managers:

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

Remove the following previously-reported Senior Managers:

Name: _____ Removal Date: _____

Name: _____ Removal Date: _____

Certification

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

Name: _____

Signature: _____ Date: _____

Entity Name: _____

Title: _____ Work Phone #: _____

Return the completed Data Form to the agency that supplied it.

For information or assistance, call the Doing Business Accountability Project at 212-788-8104.

Printed on paper containing 30% post-consumer material

DOING BUSINESS ACCOUNTABILITY PROJECT

QUESTIONS AND ANSWERS ABOUT THE DOING BUSINESS DATA FORM

What is the purpose of this *Data Form*?

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

Why have I received this *Data Form*?

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

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

Entities that hold $100,000 or more in grants, contracts for goods or services, franchises or concessions ($500,000 or more for construction contracts), along with entities that hold any economic development agreements or pension fund investment contracts, are considered to be doing business with the City for the purposes of LL 34 and will be included in the *Doing Business Database*. Because all of the business that an entity does or proposes to do with the City will be added together, the *Data Form* must be completed for all covered transactions even if an entity does not currently do enough business with the City to be listed in the *Database*.

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

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

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

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

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

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

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

Printed on paper containing 30% post-consumer material

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

The names and titles of the officers, owners and senior managers reported on the *Data Form* will be made available to the public, as will information about the entity itself. However, personal identifying information, such as home address, home phone and date of birth, will not be disclosed to the public, and home address and phone number information will not be used for communication purposes.

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

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

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

Yes. An entity is required to submit a *Doing Business Data Form* each time it proposes on or enters a transaction considered business dealings with the City. However, the *Data Form* has both a No Change option, which only requires an entity to report its EIN and sign the last page, and a Change option, which allows an entity to only fill in applicable information that has changed since the previous completion of the *Data Form*. No entity should have to fill out the entire *Data Form* more than once.

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

Any person who believes that s/he should not be listed may apply for removal from the *Database* by submitting a Request for Removal. Reasons that a person would be removed include his/her no longer being the principal officer, owner or senior manger of the entity, or the entity no longer being in business. Entities may also update their database information by submitting an update form. Both of these forms are available online at www.nyc.gov/mocs (once there, click MOCS Programs) or by calling 212-788-8104.

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

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

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

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

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

The *Data Form* is to be returned to the contracting agency.

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

5/16/08