

DRAFT CONTRACT
NEW YORK STATE COMPTROLLER
INDEPENDENT EXAMINER SERVICES AGREEMENT
WITH

CONTRACTOR'S NAME

NEW YORK STATE COMPTROLLER'S CONTRACT NUMBER XXXXXXXX

THIS AGREEMENT (the "Agreement") is between the New York State Comptroller, as Administrative Head of the New York State and Local Employees' Retirement System and the New York State and Local Police and Fire Retirement System ("NYSLRS"), whose main office and principal place of business is 110 State Street, Albany, New York 12236, and [Physician Name], (the "Physician") whose office is located at [Physician Address].

W I T N E S S E T H

WHEREAS, the Comptroller, as authorized by Retirement and Social Security Law, requires the services of medical doctors to conduct independent medical and/or psychiatric examinations ("IMEs") of NYSLRS members (the "Members") for NYSLRS's Medical Board (the "Board") in connection with applications for various retirement benefits; and

WHEREAS, the Physician is a medical doctor having general and specialized medical education, experience, and expertise; and

WHEREAS, the Physician meets the criteria set by the Board and is well qualified to perform IMEs for the Board; to render professional, technical, and expert advice and opinion in connection with the IMEs; and to testify at administrative disability hearings (collectively, the "Services").

NOW, THEREFORE, in consideration of the terms set forth and the mutual covenants and obligations of the parties, the parties do hereby agree as follows:

I. TERM

The term of this Agreement will begin upon approval of the New York State Office of the State Comptroller's ("OSC") Bureau of Contracts and will continue for a period of five years.

II. MERGER OF DOCUMENTS/CONFLICT OF CLAUSES

This Agreement includes the following documents and appendices:

- A. Appendix A – Standard Clauses for New York State Contracts;
- B. Agreement – this document, including:
 - o Appendix B – Forms AC 3239-A, Contractor's EEO Staffing Plan of Anticipated Workforce and AC 3239-B, Contractor's/Subcontractor's EEO Workforce Utilization Report;
 - o Appendix C – OSC Policy Statement on Discrimination and Harassment, Including Sexual Harassment;
 - o Appendix D – OSC Executive Order on Procurement Integrity and OSC Procurement Integrity Procedures;
 - o Appendix E – Contractor's Certifications/Acknowledgements;
 - o Appendix F – Disclosure of Prior Non-Responsibility Determinations;
 - o Appendix G – OSC Consultant Disclosure Reporting Requirements;

C. Attachments, including:

- Attachment 1 – Fee Schedule; and
- Attachment 2 – Certifications.

Conflicts between these documents will be resolved in the following descending order of precedence:

1. Appendix A – Standard Clauses for New York State Contracts;
2. This Agreement (this document), including Appendices B through and including G; and
3. Attachments 1 and 2.

III. PAYMENT AND INVOICES

- A. NYSLRS will compensate the Physician in the ordinary course of business upon receipt of the Physician's invoice. Invoices must be submitted on a monthly basis, unless the total invoice amount covering a billing period of one month is less than \$1,000, in which event the invoice may be submitted quarterly. Approved invoices will be paid in accordance with Article 11-A of New York State Finance Law.

The Physician shall not collect Members' personal insurance information or charge Members for the Services.

- B. All invoices must include the following information:

1. NYSLRS Agreement #XXXXXXX, Physician's name, Physician's taxpayer identification number, and the Physician's New York State Vendor Identification Number;
2. A detailed description of Services provided, including the Member name, case number, and date each billed Service was provided;
3. An itemized list and appropriate documentation describing and supporting all items billed as expenses;
 - a. Travel (transportation, lodging, meals) documentation must be sufficient to demonstrate conformance with applicable New York State reimbursement rates, as stated in Section VII(B) (Compensation);
 - b. Third-party testing expenses must include receipts and documentation for that testing;
4. The total amount billed for Services and expenses for the invoice period; and
5. The beginning and ending dates of the billing period included in the invoice, and the expiration date of this Agreement.

NYSLRS may request Services pertaining to more than one assignment, matter, or case and any associated testing, to be separately itemized on the invoice.

- C. All invoices are subject to NYLRS' acceptance of the Services for which billing is being made and must be submitted via email (preferred) to contractinvoices@osc.ny.gov or via hard copy mail to:

**Office of the State Comptroller
Bureau of Finance
Contract Payment Unit
110 State Street, Stop 13-2
Albany, NY 12236-0001**

IV. EQUAL EMPLOYMENT OPPORTUNITY (“EEO”) REPORTING

The Physician shall comply with applicable federal, New York State, and local requirements concerning equal employment opportunities for minorities and women, including Executive Law §312 and its implementing regulations. In addition to the requirements stated in Appendix A Clause 12 (Equal Employment Opportunities for Minorities and Women), and to ensure complete compliance with such requirements (and with Executive Law §312 and the regulations adopted pursuant thereto) Physician shall submit to OSC its EEO Policy Statement, and Form AC 3239-A Proposer’s EEO Staffing Plan of Anticipated Workforce. Further, the Physician shall submit on a semi-annual basis Form AC 3239-B (Contractor’s/Subcontractor’s EEO Workforce Utilization Report) and shall require each of its subcontractors, if any, to submit such report on a quarterly basis during the term of the Agreement.

The Physician/subcontractor shall submit two originals and two copies of Form AC 3239-B to OSC at the following address:

**Attn: Director of Finance
New York State Office of the State Comptroller
Bureau of Finance
110 State Street, Stop 13-2
Albany, NY 12236**

These reports are reviewed as part of OSC’s general compliance monitoring. If discrepancies exist between the EEO Staffing Plan of Anticipated Workforce and the Contractor’s/Subcontractor’s EEO Workforce Utilization Reports, the Physician/subcontractor may be subject to an in-depth EEO compliance review. If deficiencies are identified, OSC shall make every effort to resolve the deficiencies identified and to bring the Physician/subcontractor into compliance with such requirements. If OSC is unsuccessful in its efforts, and upon review, the Deputy Comptroller for the Division of Finance and Administration at OSC determines that the Physician/subcontractor is non-compliant, such Deputy Comptroller shall submit a written complaint to the New York State Department of Economic Development’s Division of Minority and Women’s Business Development (“DMWBD”) regarding the Physician’s/subcontractor’s noncompliance and shall recommend to DMWBD that it review and attempt to resolve the noncompliance matter. Such Deputy Comptroller shall serve a copy of the complaint upon the Physician/subcontractor by personal service or certified mail, return receipt requested.

DMWBD shall attempt to resolve a noncompliance dispute. If a resolution of the noncompliance dispute is satisfactory to the parties, the parties shall so indicate by signing a document indicating that the matter has been resolved and stating the terms of the resolution. If a resolution is not possible, DMWBD shall take all appropriate actions under statute (Executive Law §316) and regulation (5 NYCRR §143.6).

V. NOTICES

Any legal notice or other legal communication given under this Agreement must be in writing and addressed to such party at the address stated in this Agreement. Such notices will become effective:

- (i) When delivered personally to the party for whom intended; or
- (ii) Upon actual receipt by the intended party if such notice or other communication is sent by overnight mail service or United States Postal Service mail (certified mail, return receipt requested, or first-class postage prepaid).

The following are the names and contact information for OSC, NYSLRS, and the Physician. The parties shall notify each other as soon as possible of any change.

OSC:

Name: [REDACTED]
Title: Director of Finance
Address: Office of the State Comptroller
110 State Street, Stop 13-2
Albany, NY 12236-0001

NYSLRS – Disability Services:

Name: Kevin Mack
Title: Director of Disability Services
Address: 110 State Street, Mail Stop 7-1
Albany, NY 12244
Phone: (518) 473-1347
E-mail: IME_Recruitment@osc.ny.gov

Contractor:

Name:
Title:
Address:

Telephone:

VI. SERVICES

A. Physician Requirements and General Information

The Physician must have general and specialized medical education, experience, and expertise meeting the criteria of the NYSLRS Board. The Physician must be certified by the American Board of Medical Specialties (“ABMS”) in their specialty and any sub-specialty and, upon NYSLR’s request, provide documentation that Physician’s license and ABMS certifications have not expired. The Physician shall immediately notify NYSLRS of any significant information that would adversely affect the Physician’s professional standing and/or credibility as an expert witness (including any criminal or professional misconduct proceedings brought against the Physician or the Physician’s practice).

Only a Physician who has been approved by the Board to perform the Services, and who does not have a conflict in providing such Services, may provide Services under this Agreement. A conflict exists when the Physician has treated or previously examined the Member or a person in the Member’s immediate family, or if another Member of the preferred provider organization or managed care provider to which the Physician belongs has treated or examined the Member or any person in the Member’s immediate family.

All Service requests are at the discretion of NYSLRS. Requests for Services will be made by NYSLRS to the Physician electronically or by letter. NYSLRS’ request for Services will include the necessary instruction and the Member’s relevant medical and employment files and may include questions for the Physician to answer in the IME Report.

NYSLRS does not guarantee the volume of work, if any, that will be assigned to the Physician. The Physician must be available on an as-requested basis. All Services may only be performed with the prior, written approval of NYSLRS.

B. Physician Services

The Physician shall (i) perform IMEs of Members who apply for disability retirement benefits, (ii) produce comprehensive narrative medical reports (“IME Reports”), and (iii) testify at administrative disability hearings when necessary.

The Physician shall:

1. Assign a Primary Contact to coordinate activities and be responsible for resolving day-to-day problems and questions from NYSLRS, and inform NYSLRS of any change to the Primary Contact.
2. Use (and ensure that its Staff uses) appropriate safeguards to maintain and ensure the confidentiality, privacy, and security of all personal information that may be transmitted to, or accessed or collected by the Physician or Physician’s Staff under this Agreement, in accordance with the standards and requirements of applicable law. The Physician shall monitor its security

program and audit the security programs of its Staff at least annually. Personal information may include "Protected Health Information" as defined in the Health Insurance Portability and Accountability Act.

3. Schedule IMEs in accordance with the process stated in Section VI.C(2) (Process for Scheduling IMEs).
 - a) If, after scheduling an IME with a Member or the Member's employer, the Physician scheduled to perform the IME must change the IME date, time, and/or location, the Physician shall notify the Member or the Member's employer of the change, and the Member or Member's employer must approve of the change, before changing the date, time, or location.
 - b) The Physician shall reschedule an IME upon the request of NYSLRS, the Member, or the Member's employer. The Physician shall immediately notify NYSLRS of any IME rescheduled at the request of a Member or the Member's employer.
 - c) The Physician shall immediately notify NYSLRS if they are not available to provide a requested IME, or provide any other part of the Services.
 - d) The Physician shall respond to all scheduling requests within seven business days.
4. Immediately notify NYSLRS if the Physician learns (i) they are under investigation for professional misconduct or physician discipline, or (ii) their medical license and ABMS certifications have expired or been revoked.
5. Immediately notifying NYSLRS of any information that would adversely affect the Physician's professional standing or credibility as an expert witness (including, but not limited to, any criminal or professional misconduct proceedings brought against the Physician).
6. Ensure that any subcontractor, non-physician, or other health care provider currently disciplined, sanctioned, censured, or suspended by any government regulatory agency will not be allowed to provide Services under this Agreement.
7. Notify NYSLRS if the locations in which the Physician performs IMEs changes.
8. Respond to all NYSLRS inquiries within seven business days.

C. Independent Medical Examinations

The purpose of an IME is to determine whether a Member is permanently disabled with respect to performing the Member's job duties. **The Physician must not recommend a course of treatment to the Member or release IME Reports or test results to the Member. Neither the Physician nor any subcontractor may collect a Member's health insurance information or charge a Member for the Services.**

1. IME Requirements

- a. IMEs must be performed in medical facilities suitable for such examinations and accessible to persons with disabilities, with due regard and respect for the privacy and dignity of the Members.
- b. IMEs must be performed during regular business hours, Monday through Friday, 9am – 5pm, except when the Member or Member's employer requests an appointment outside of regular business hours, e.g., evening or weekends.
- c. The Physician shall thoroughly review the Member's relevant records before performing the IME.

2. Process for Scheduling IMEs

- a. NYSLRS will send a letter and a copy of the Member's record to the Physician via NYSLRS' Biscom Secure File Solution ("Biscom"), advising the Physician of:
 - The type of IME to be performed;
 - Any questions from NYSLRS, including questions regarding causal relationship,

diagnosis, safe and reasonable treatment of disability, maximum medical improvement, ability to return to work, and/or permanency; and

- The location where the IME must be performed.
 - b. NYSLRS will send a letter to the Member or the Member's employer requesting that the Member call the Physician to schedule the examination.
 - c. The Member or Member's employer will call the Physician and schedule the IME.
- OSC may cancel any request for an IME, subject to the rates in Attachment 1.

3. The IME Report

The Physician shall deliver their IME Report to NYSLRS via Biscom within 30 days following the IME. IME Reports must be signed by the Physician and must include the following information:

- a. The Member's name, age, gender, home address, NYSLRS identification number and, dates of injury (if applicable);
- b. A photocopy or digital photograph of the Member's photo I.D. (e.g., driver's license) unless the Member declines to provide their photo I.D. (Physicians must still conduct IMEs if a Member declines to provide their photo I.D.);
- c. The Physician's name and their specialty ;
- d. A copy of any new records provided by the Member to the Physician during the IME;
- e. Summary of all records provided by NYSLRS and/or the Member;
- f. Medical history of the Member including:
 - History of the relevant accident/injury and any intervening history,
 - If re-examination, intervening history since the last IME,
 - History of any prior conditions, which may include work injuries, off-the-job injuries, unrelated physical and mental conditions, and medical comorbidities/complicating factors, and
 - All correspondence reviewed by the Physician;
- g. Scope of examination and findings, including copies of medical test results and reports, including:
 - A description of the examination, including any review of tests performed (if applicable),
 - Copies of any test results performed by the Physician or at the Physician's request,
 - Discussion of issues regarding: causal relationship, diagnosis, safe and reasonable treatment of disability, maximum medical improvement, ability to return to work, and/or permanency, and
 - The Physician's conclusion, containing answers to the questions asked by NYSLRS. The Physician should stay within the Physician's specialty and only respond to issues requested for review;
- h. The Physician's availability for testimony at hearings; and
- i. Per NYSLRS' request, the Physician's responses to issues regarding: causal relationship, diagnosis, safe and reasonable treatment of disability, maximum medical improvement, ability to return to work, and/or permanency.

4. IME Report Submission

- a. The Physician shall submit the IME Report to NYSLRS via Biscom, or at the discretion of NYSLRS, via hard copy, sent via certified mail, return receipt requested to the following address:

NYSLRS
Disability Services Bureau
110 State Street, Mail Stop 7-1
Albany, NY 12244

NYSLRS will not accept the submission of IME Reports in a different manner (e.g., fax or email) without NYSLRS' prior written approval.

- b. Upon receipt, NYSLRS will review the IME Report. If NYSLRS determines that the IME Report contains any errors or is missing any pertinent information, the Physician must correct or amend the report. Once corrected, the Physician must resubmit the updated IME Report to NYSLRS at no additional cost to NYSLRS, within 14 calendar days from the date of NYSLRS' request. Such report is not a supplemental IME Report.

5. Record Review or Supplemental IME Report

Where OSC requests a record review (i.e., no physical examination occurs) or supplemental report, the record review or supplemental report must be completed within 14 calendar days from the date of OSC's request. If this timeframe cannot be met, the Contractor must notify OSC as soon as possible.

Providing any pertinent information that was found to be missing from the initial IME Report is not considered a supplemental report.

D. Expert Witness Services

The Physician shall testify as an expert witness if an administrative disability hearing is requested pursuant to 2 NYCRR Part 317. During such hearings, the Physician will testify under oath regarding their findings and render an expert medical opinion concerning the Member's alleged disability and, where directed by NYSLRS's attorney, the cause of that disability.

The Physician must be available for pre-hearing consultations with the attorney representing NYSLRS and must adequately review relevant records in preparation for the hearing so as to allow for full and effective testimony. Hearings are scheduled at the convenience of all parties, sufficiently in advance of the proposed date of the hearing. The Physician shall make reasonable adjustments to their schedule so as not to unduly delay the hearing process. The Physician shall be present for live hearings either in-person or on-camera during a Webex conference. The Physician may not testify by telephone unless a waiver to this requirement is granted at the discretion of NYSLRS.

NYSLRS may reschedule or cancel a hearing. In such instances, NYSLRS will notify the Physician (electronically or over the phone) as soon as possible. If NYSLRS notifies the Physician at least 48 hours before the scheduled hearing, no payment is due to the Physician related to such hearing. If NYSLRS notifies the Physician less than 48 hours before the scheduled hearing, the Physician will receive a cancellation fee as stated in Attachment 1 (Fee Schedule).

NYSLRS may modify this scheduling process at any time during the term of this Agreement, effective upon NYSLRS' written notice to the Physician.

VII. COMPENSATION

NYSLRS will compensate the Physician for the Services as follows:

A. Fees

1. NYSLRS will pay the Physician for Services performed for the fees and at the rates stated in Attachment 1 (Fee Schedule). NYSLRS may update the fees and rates stated in Attachment 1 at any

time during the term of this Agreement. Fee changes will become effective 60 days after the Physician's receipt of the updated Attachment 1.

2. The Physician will be paid in accordance with the fees stated in Attachment 1 for the Physician's preparation for and attendance at a hearing. Should there be extenuating circumstances, such as a hearing exceed 90 minutes, or the need for the Physician review an extraordinary volume of records as part of the preparation for a hearing, the hearing fee may be modified by OSC upon the Physician's timely request, at NYSLRS' discretion.

B. Expenses

1. Testing Expenses. The Physician shall obtain pre-approval from NYSLRS for any single test that costs more than \$500 or for two or more tests for the same IME that cost more than \$1,000. Failure to obtain pre-approval from NYSLRS may result in NYSLRS' refusal to pay any such testing expense. All tests conducted by third-party providers must be billed through the Physician. Upon NYSLRS' payment to the Physician, the Physician shall promptly pay such testing expense to the third-party provider.
2. Travel Expenses. NYSLRS will reimburse the Physician's travel expenses only where NYSLRS has authorized that travel in advance. NYSLRS will limit such reimbursement to the following unless written authorization to exceed the specified limits, or to include other items of expense, is obtained in advance:
 - a. To the extent permissible under New York State Law, OSC will pay Physician's travel and meals while traveling out of town on business relating to the Services. Travel expense reimbursement will be paid in accordance with guidelines established by the OSC (see OSC Travel Manual, available at <http://www.osc.state.ny.us/agencies/travel/manual.pdf>). For current per diem reimbursement rates only, visit the U.S. General Services Administration ("GSA") Domestic Per Diem Page (currently available at <https://www.gsa.gov/travel/plan-book/per-diem-rates>), as such rates may be amended from time to time. OSC will reimburse air travel at coach rates.
 - b. NYSLRS will reimburse pre-approved travel expenses upon the Physician's submission of appropriate invoices accompanied by copies of receipts for individual expenses.

- C. Total compensation under this Agreement must not exceed \$XXXXXXX.

VIII. COOPERATION

The Physician and NYSLRS and their respective agents, employees, and officers shall cooperate with each other to the fullest extent in connection with the Services. NYSLRS shall supply and make available necessary information and personnel to assist the Physician to perform the Services.

IX. STAFF

The Physician's "Staff" includes its employees, consultants, owners, officers, directors, subcontractors (and subcontractors' staff), subsidiaries, affiliates, partners, and agents of the Physician.

The Physician states that the Staff provided to perform the Services possesses the necessary integrity and professional capacity to meet NYSLRS' reasonable expectations. During the term of the Agreement, whenever the Physician learns that any member of its Staff providing Services to NYSLRS no longer possesses the necessary integrity or professional capacity to provide such Services, the Physician shall immediately discontinue the use of such Staff and notify NYSLRS. NYSLRS may refuse to allow any member of the Physician's staff to perform the required Services under the Agreement. NYSLRS may bar anyone from access to NYSLRS' premises and/or access to NYSLRS' information resources.

The Federal Immigration Reform and Control Act, as amended (8 USC §1324a et al.), obligates employers, to verify that their staff are legally entitled to work in the United States. NYSLRS may request documentation attesting to the legal right to work in the United States of any member of the Physician's Staff providing Services under the Agreement. NYSLRS does not provide sponsorship. The Physician must ensure that its Staff providing Services are eligible for employment in the United States throughout the term of the Agreement.

NYSLRS does not discriminate against individuals on the basis of national origin or citizenship.

X. SUBCONTRACTORS

- A. The Physician is responsible for the acts and omissions of its Staff in connection with the performance of Services.
- B. The Physician shall obtain prior written approval from NYSLRS before entering into an agreement for services to be provided by any non-Physician subcontractor. NYSLRS may approve or disapprove, after appropriate review and/or interviews, any and all non-Physician subcontractors of the Physician before their performance of services.
- C. All Physician's subcontracts must contain provisions specifying that the work performed by the subcontractor must be in accordance with the terms of this Agreement, and that the subcontractor specifically agrees to be bound by the confidentiality provisions of Section XIV (Confidentiality and Background Investigations). NYSLRS may request a copy of such subcontractor agreement at any time.
- D. The Physician shall require all approved subcontractors to complete such Appendices included in this Agreement as are deemed necessary by NYSLRS before any such proposed subcontractor's performance of Services. This requirement is ongoing for the term of this Agreement.

XI. RELATIONSHIP OF PARTIES; RIGHTS TO WORK PRODUCT

The relationship of the Physician and its Staff to NYSLRS is that of an independent contractor, and not that of an agent or employee of NYSLRS. The Physician, as an independent contractor, does not have the authority to contract for or bind NYSLRS for any purpose. The Physician states that its Staff will not hold themselves out as agents, officers, or employees of NYSLRS, and that they will not make any claim, demand, or application for any right or privilege applicable to any officer or employee of NYSLRS, including but not limited to Workers' Compensation coverage, Social Security coverage or Retirement System benefits.

IME Reports delivered by the Physician to NYSLRS under this Agreement are intended as works for hire. Such work is specially ordered and commissioned for use as contributions to a collective work, or is other such work as specified by section 101(2) of the U.S. Copyright Act [17 U.S.C. 101(2)], and is intended to be a work for hire that is made for the use and ownership of New York State. Title and ownership of IME Reports will pass to New York State upon acceptance of the work. The Physician and its Staff who have been or may be used in regard to the Agreement forfeit all claims of title or ownership to work produced under the Agreement. Any and all reports and other materials (preliminary, final, and otherwise), analyses and data (whether statistical or otherwise), transmitted to OSC by the Physician will become the exclusive property of NYSLRS for such use as NYSLRS deems appropriate, other than Physician's work papers, which the Physician may retain.

This Agreement does not preclude the Physician from otherwise using the related or underlying general knowledge, skills, ideas, concepts, techniques, and experience developed in the course of Physician's business.

XII. WARRANTY

The Physician shall ensure that the Services will be performed in a professional manner, in accordance with highest applicable industry standards. For purposes of this Agreement, "highest applicable industry standards" is defined as the degree of care, skill, efficiency, and diligence that a prudent person possessing technical expertise in the subject area and acting in a like capacity would exercise in similar circumstances.

XIII. CONFLICTS OF INTEREST

The Physician states that it currently has no conflicts of interest with respect to the Services and any other client engagements, contracts, or employment. The Physician shall immediately advise NYSLRS whenever it becomes aware of any situation that involves or appears to involve such a conflict of interest or potential conflict.

XIV. CONFIDENTIALITY AND BACKGROUND INVESTIGATIONS

A. Confidential Information Definition

The term "Confidential Information" includes, but is not limited to, Member personal information including Member Protected Health Information and medical records, Member employment records, information that would normally be protected by a physician-patient relationship, OSC or NYSLRS security information, OSC or NYSLRS policies or guidelines, documents in respect of any of the foregoing, as any such information may be accessed by or disclosed to the Physician or its Staff in connection with the Services or received from OSC or NYSLRS of on their behalf, and all other information whether accessed or disclosed verbally, electronically, visually, or in written or other tangible form that is either identified or should be reasonably understood to be confidential.

B. Treatment of Confidential Information

Confidential Information must be treated as strictly confidential by the Physician and its Staff and may not be disclosed to any third party except to those third parties operating under non-disclosure provisions no less restrictive than those in this Section and who have a justified business "need to know." The Physician and its Staff shall protect Confidential Information with at least the same level of care and security, using all reasonable and necessary security measures, devices, and procedures that they may use to maintain their own confidential information but in no event less than an industry-appropriate standard of care. Upon NYSLRS' written request, The Physician shall return all Confidential Information to NYSLRS. The Physician shall:

- View, access and use only the Confidential Information relevant and necessary to provide Services;
- Use its best efforts to preserve the confidentiality of the Confidential Information;
- Use its best efforts to prevent disclosure of the Confidential Information to any person other than to NYSLRS employees or those members of its Staff with a "need to know";
- Abide by all New York State confidentiality policies and procedures;
- Treat all reports and other materials, preliminary, final, and otherwise, prepared for or relating to the Services (other than Physician's work papers) as Confidential Information by the Physician; and
- Destroy all Confidential Information using the highest industry-standard secure disposal methods, other than that Confidential Information that must be retained per statute. The Physician shall destroy all Confidential information within 30 days after the expiration or termination of this Agreement. NYSLRS may require the Physician certify as to the method of destruction.

C. Background Investigations

OSC policy requires that background investigations be conducted on Physician Staff who will have access to OSC's IT systems, access to OSC or NYSLRS confidential information/data, or routine access to any OSC facility. For purposes of this policy, "routine access" is defined as access to an OSC facility for five consecutive business days or 10 business days over the annual term of the engagement. The Physician states that it has or will conduct a background investigation on all its Staff to whom the policy applies within the 12 months prior to the Staff commencing Services under this Agreement. The Physician shall undertake a background investigation of any new/replacement Staff during the term of the Agreement.

At a minimum, background investigations must include a review/evaluation of the following, as permissible:

- identity verification, including Social Security Number or National Identity number search;
- employment eligibility, including verification of U.S. citizenship or legal immigration status, where appropriate;
- criminal history/court records (Federal, New York State, and local for the past five years);
- work experience/history for the past five years;
- pertinent skills, qualifications, educational, and professional credentials; and
- references.

The Physician shall obtain the consent of its Staff to allow NYSLRS, upon request: (i) to review the background investigation records, including all supporting documentation, and (ii) to conduct its own background investigation.

Only Staff who have passed the background investigation, and provided such consent may be assigned to provide Services. During the term of the Agreement, and in accordance with Appendix A (Section 10, Records), the Physician shall maintain records related to the background investigations performed.

XV. HIPAA

The Physician and its Staff shall, at all times in the performance of the Services, ensure that it maintains compliance with the Health Insurance Portability and Accountability Act ("HIPAA") of 1996 and Balanced Budget Act of 1997, as amended, governing the protection of patient information.

XVI. Security

Throughout the term of this Agreement, the Physician shall maintain a comprehensive data security, disaster recovery, and business continuity programs (together, the "Security Programs") reasonably designed to protect information and conduct its business in accordance with current industry standards and applicable law and shall ensure that its Staff maintain appropriate safeguards to ensure the confidentiality, privacy, and security of all Confidential Information that may be disclosed to, or accessed or collected by the Physician or Physician's Staff per this Agreement.

The Physician shall monitor its Security Programs and audit such Security Programs at least annually, and verify the security programs of its Staff.

To the extent not prohibited by applicable law, the Physician shall promptly notify NYSLRS in writing upon the occurrence of any exploited vulnerability or unauthorized or unlawful access to Confidential Information, including any destruction, damage, loss, unauthorized use, unauthorized or unlawful disclosure of Confidential Information, any breach or compromise of the Physician's computer data, applications, networks or devices (including the applications, networks, or devices of the Physician's Staff, subcontractors or service providers that access, store, process, or otherwise interact with Confidential Information) (a "Security Incident"). A Security Incident includes any occurrence where it can be reasonably assumed under the circumstances that Confidential Information was exposed, accessed, or disclosed without NYSLRS' prior written authorization. If a Security Incident occurs, the Physician must notify NYSLRS of such Security Incident in the most expedient time possible and without unreasonable delay, but in any event no later than within 24 hours of such occurrence.

The Physician and its Staff shall comply with all applicable facility and information security policies, standards, and procedures, including any training required, both present and future, by OSC and NYSLRS in performing the Services.

XVII. INDEMNIFICATION AND LIABILITY

- A. The Physician, OSC, and New York State will not be liable for any delay or failure in performance beyond its control resulting from acts of war, hostility, or sabotage; act of God; electrical, internet or telecommunications outage that is not caused by the obligated party; or government restrictions, or other force majeure. The parties shall use reasonable efforts to eliminate or minimize the effect of such force majeure events upon performance of their respective duties under this Agreement. If such event continues

for more than 90 days, either party may terminate all or any agreed upon portion of the Agreement immediately upon written notice. This Section does not excuse either party's obligation to take reasonable steps to follow its normal disaster recovery procedures, or NYSLRS' obligation to pay for Services provided by the Physician which have been approved by NYSLRS.

- B. The Physician is liable for any act or omission of the Physician and its Staff and shall fully indemnify, defend and hold harmless OSC, NYSLRS and New York State, their officials, agents and employees, without limitation, from suits, actions, damages and costs of every name and description (including reasonable attorney's fees and expenses) arising from any act or omission of the Physician or its Staff, including bodily or personal injury (including wrongful death); damage to real or tangible personal property (including electronic systems, software and databases); damage to intellectual property; and infringement or violation of a third party's patent, copyright, license, or other proprietary or intellectual property right; provided however that the Physician shall not be obligated to indemnify NYSLRS for that portion of any claim, loss or damage arising hereunder due to the negligent act or failure to act of NYSLRS. For third party claims, NYSLRS shall give the Physician:

1. Prompt written notice of any action, claim, suit, proceeding, or threat of such action;
2. The opportunity to take over, settle or defend any such action, claim, suit or proceeding at Physician's sole expense; and
3. Reasonable assistance in the defense of any such action, claim, suit or proceeding at the expense of Physician.

The State may join such action, claim, suit, or proceeding at its expense, if it determines there is an issue involving a significant public interest.

- C. Neither party will be liable for any consequential, indirect, or special damages of any kind that may result directly or indirectly from such performance, including, without limitation, damages resulting from loss of use or loss of profit by NYSLRS, the Physician, or by others.
- D. NYSLRS may, in addition to other legal remedies available to it, retain from amounts otherwise due to the Physician such monies as may be necessary to satisfy any claim for damages NYSLRS may have against the Physician.

XVIII. RESPONSIBILITY TERMS

- A. The Physician states that it has, to the best of its knowledge, truthfully and thoroughly completed the Physician's Vendor Responsibility Questionnaire ("Responsibility Questionnaire") provided to the Physician by NYSLRS before execution of this Agreement. The Physician further states that as of the date of execution of this Agreement, there are no material events, omissions, changes, or corrections to such document requiring an amendment to the Responsibility Questionnaire.
- B. The Physician shall update the Responsibility Questionnaire if any material event(s) occurs requiring an amendment or as new information related to such Responsibility Questionnaire becomes available. The Physician shall, on an annual basis from the anniversary date of execution of this Agreement, re-certify such Responsibility Questionnaire, noting any changes, whether material or non-material, or submit a certification of "no change" to NYSLRS.
- C. NYSLRS may at any time during the term of this Agreement, (i) require updates or clarifications to the Responsibility Questionnaire, (ii) inquire about information included in or omitted from the Responsibility Questionnaire, and (iii) require the Physician to provide such information to NYSLRS within a reasonable timeframe established by NYSLRS.
- D. NYSLRS may make a final determination of the Physician's non-responsibility ("Determination of Non-Responsibility") at any time during the term of this Agreement based on (i) any information provided in the Responsibility Questionnaire and/or in any updates, clarifications, or amendments thereof; or (ii) the

Physician's failure to disclose material information; or (iii) State's discovery of any other material information which pertains to the Physician's responsibility.

- E. If NYSLRS preliminarily determines the Physician to be non-responsible, NYSLRS shall provide written notice to the Physician detailing the reasons for the preliminary determination, and shall provide the Physician with an opportunity to be heard before the determination is finalized.
- F. Upon a Determination of Non-Responsibility of the Physician, NYSLRS may terminate this Agreement for cause per Section XIX (Termination and Suspension).

XIX. TERMINATION AND SUSPENSION

- A. NYSLRS may terminate or suspend this Agreement, or terminate or suspend the Services, in whole or in part, with or without cause upon 15 days' prior written notice.
- B. NYSLRS may terminate or suspend this Agreement, or to terminate or suspend the Services, in whole or in part, immediately upon written notice to the Physician, if NYSLRS deems the Physician's performance unsatisfactory.
- C. If NYSLRS terminates or suspends this Agreement, the Physician will be entitled to compensation for Services performed through the date of termination or suspension that are acceptable to NYSLRS, in NYSLRS' discretion.

XX. TRANSITION

Upon expiration or termination of this Agreement, the Physician shall provide NYSLRS with all necessary records in the Physician's possession relating to the Services provided under this Agreement. At NYSLRS' request, the Physician shall, at then current hourly rates, also make appropriate Staff available to NYSLRS during normal business hours to answer questions regarding such records and the Services that have been provided by the Physician under this Agreement. The Physician shall cooperate to the fullest extent with any successor contractor in order to accomplish a smooth and orderly transition, so that the Services are uninterrupted and are not adversely impacted.

XXI. MISCELLANEOUS PROVISIONS

A. WAIVER

The waiver by either party of any default or breach of this Agreement will not constitute a waiver of any other subsequent default or breach.

B. SEVERABILITY

If any term or provision of this Agreement is held invalid or unenforceable, the remainder of this Agreement will not be affected thereby, and every other term and provision of this Agreement will remain valid and enforced to the fullest extent permitted by law.

C. ETHICS COMPLIANCE

The Physician and its Staff shall comply with the requirements of Public Officers Law §§73 and 74, and other State codes, rules and regulations establishing ethical standards for the conduct of business with New York State. Failure to comply with those provisions may result in termination of the Agreement and/or other civil or criminal proceedings as required by law.

D. PUBLIC COMMUNICATION

The Physician and its Staff shall not make any statement to the press or issue through any media of communication any statement bearing on the Services performed or data collected under this Agreement, without the prior written approval of NYSLRS.

E. SURVIVAL

The provisions of Sections XII (Warranty), XIV (Confidentiality and Background Investigations), XV (HIPAA), XVI (Security), XVII (Indemnification and Liability), XX (Transition), and Appendix A will survive the expiration or termination of this Agreement.

XXII. ENTIRE AGREEMENT/APPROVALS

This Agreement and the appendices, exhibits, and attachments constitute the entire Agreement between the parties and no statement, promise, condition, understanding, inducement, or representation, oral or written, expressed or implied, which is not contained in this Agreement will be binding or valid. This Agreement may not be changed, modified, or altered in any manner except by an amendment executed by the parties. This Agreement and any amendment hereof will not be deemed executed, valid or binding unless and until approved in writing by the New York State Department of Civil Service, New York State Attorney General, and thereafter, approved in writing by OSC's Bureau of Contracts pursuant to State Finance Law §112, and filed in the Office of the State Comptroller.

REMAINDER OF THIS PAGE INTENTIONALLY LEFT BLANK

IN WITNESS WHEREOF, the parties have executed this Agreement.

In addition to the acceptance of this Agreement, OSC and Physician signatures on this page also certify that originals of this signature page will be attached to all other originals of this Agreement.

CONTRACT NUMBER: XXXXXXXX

PHYSICIAN

**THE COMPTROLLER OF THE STATE OF NEW YORK, AS
ADMINISTRATIVE HEAD OF THE NEW YORK STATE AND
LOCAL RETIREMENT SYSTEM**

SIGNATURE

SIGNATURE

PRINTED NAME

JEREMY R. DISARE

PRINTED NAME

TITLE

DIRECTOR OF FINANCE

TITLE

DATE

DATE

CONTRACTOR'S ACKNOWLEDGEMENT

STATE OF _____ }

COUNTY OF _____ }

SS.:

On the _____ day of _____ in the year 20_____, before me personally appeared _____, known to me to be the person who executed the foregoing instrument, who, being duly sworn by me did depose and say that he/she/they maintain(s) an office at _____, has/have executed the foregoing instrument in his/her/their name and on his/her/their own behalf.

**Notary Public
Registration No.**

**APPROVED AS TO FORM:
NYS ATTORNEY GENERAL**

**APPROVED:
THOMAS P. DINAPOLI, COMPTROLLER**

BY:

BY:

DATE

DATE

**APPROVED:
NYS DEPARTMENT OF CIVIL SERVICE**

BY:

DATE

APPENDIX A
STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS

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

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

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

3. **COMPTROLLER'S APPROVAL.** In accordance with Section 112 of the State Finance Law, if this contract exceeds \$50,000 (or \$75,000 for State University of New York or City University of New York contracts for goods, services, construction and printing, and \$150,000 for State University Health Care Facilities) or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$25,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller's approval of contracts let by the Office of General Services, either for itself or its customer agencies by the Office of General Services Business Services Center, is required when such contracts exceed \$85,000. Comptroller's approval of contracts established as centralized contracts through the Office of General Services is required when such contracts exceed \$125,000, and when a purchase order or other procurement transaction issued under such centralized contract exceeds \$200,000.

4. **WORKERS' COMPENSATION BENEFITS.** In accordance with Section 142 of the State Finance Law, this contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

5. **NON-DISCRIMINATION REQUIREMENTS.** To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment, nor subject any individual to harassment, because of age, race, creed, color, national origin, citizenship or immigration status, sexual orientation, gender identity or expression, military status, sex, disability, predisposing genetic characteristics, familial status, marital status, or domestic violence victim status or because the individual has opposed any practices forbidden under the Human Rights Law or has filed a complaint, testified, or assisted in any proceeding under the Human Rights Law. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New

York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

6. WAGE AND HOURS PROVISIONS. If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of any State approved sums due and owing for work done upon the project.

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

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

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

10. RECORDS. The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract

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

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

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

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

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination.

Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

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

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

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

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

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

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

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

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

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

approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in § 165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES. In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

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

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

NYS Department of Economic Development
Division for Small Business and Technology Development
625 Broadway
Albany, New York 12245
Telephone: 518-292-5100

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

NYS Department of Economic Development
Division of Minority and Women's Business Development
633 Third Avenue 33rd Floor
New York, NY 10017
646-8467364
Email: mwbebusinessdev@esd.ny.gov
<https://ny.newnycontracts.com/FrontEnd/searchcertifieddirectory.asp>

The Omnibus Procurement Act of 1992 (Chapter 844 of the Laws of 1992, codified in State Finance Law § 139-i and Public Authorities Law § 2879(3)(n)–(p)) requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

- (a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority- and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;
- (b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;
- (c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as

is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and

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

21. RECIPROCITY AND SANCTIONS PROVISIONS. Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively, codified in State Finance Law § 165(6) and Public Authorities Law § 2879(5))) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 2023, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii.

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

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

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

25. CERTIFICATION OF REGISTRATION TO COLLECT SALES AND COMPENSATING USE TAX BY CERTAIN STATE CONTRACTORS, AFFILIATES AND SUBCONTRACTORS. To the extent this agreement is a contract as defined by Tax Law § 5-a, if the contractor fails to make the certification required by Tax Law § 5-a or if during the term of the contract, the Department of Taxation and Finance or the covered agency, as defined by Tax Law § 5-a, discovers that the certification, made under penalty of perjury, is false, then such failure to file or false certification shall be a material breach of this contract and this contract may be terminated, by providing written notification to the Contractor in accordance with the terms of the agreement, if the covered agency determines that such action is in the best interest of the State.

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

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

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

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

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

June 2023

APPENDIX B
NEW YORK STATE OFFICE OF THE STATE COMPTROLLER
CONTRACTOR’S EEO STAFFING PLAN OF ANTICIPATED WORKFORCE

INSTRUCTIONS: Contractor must complete and submit this form as part of the Agreement.															
Contractor Name:								Federal Identification Number:							
Address:								Contract Number:							
City, State, Zip Code:								M/WBE Participation Goals Assigned: MBE ____% WBE ____%							
Does the Contractor have an existing EEO Policy? (Check one): <input type="checkbox"/> Yes <input type="checkbox"/> No (if Yes, attach current copy of EEO Policy Statement.)								Is the Contractor ESD Certified: (Check one): <input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, provide ESD Certification Number and Expiration Date.)							
<input type="checkbox"/> Check box if the information provided below reflects only the workforce to be utilized in the performance of this State Contract that <u>can</u> be separated out from the Contractor's/Subcontractor's total workforce.								<input type="checkbox"/> Check box if the information provided below reflects only the workforce to be utilized in the performance of this State Contract that <u>cannot</u> be separated out from the Contractor's/Subcontractor's total workforce.							
Enter in the following Job Categories the total number of staff by race, sex, and ethnic status to be utilized by the Contractor during the performance of this State Contract.															
JOB CATEGORIES (as defined in the Instructions attached)	RACE/ETHNICITY OF ANTICIPATED WORKFORCE (Report employees in only one category as defined in the Instructions attached.)														
	Hispanic or Latino		(NOT HISPANIC OR LATINO)												Total Columns A – N
			White		Black or African-American		Native Hawaiian or Other Pacific Islander		Asian		American Indian or Alaska Native		Two or more races		
	A Male	B Female	C Male	D Female	E Male	F Female	G Male	H Female	I Male	J Female	K Male	L Female	M Male	N Female	
Executive/Senior Level Officials and Managers															
First/Mid-Level Officials and Managers															
Professionals															
Technicians															
Sales Workers															
Administrative Support Workers															
Craft Workers															
Operatives															
Laborers and Helpers															
Service Workers															
TOTAL:															
Prepared by (signature): _____															
Name of Preparer			Title of Preparer			Date		Telephone Number			Email Address				

NEW YORK STATE OFFICE OF THE STATE COMPTROLLER
CONTRACTOR’S EEO STAFFING PLAN OF ANTICIPATED WORKFORCE

Location and Description of Work to be Performed (expand as necessary):

--

INSTRUCTIONS FOR COMPLETING CONTRACTOR'S EEO STAFFING PLAN OF ANTICIPATED WORKFORCE FORM

RACE AND ETHNIC IDENTIFICATION*	
For the purpose of completing this form, OSC has adapted the race and ethnic designations used and obtained in accordance with the requirements administered by the Equal Employment Opportunity Commission, which do not denote scientific definitions of anthropological origins. Definitions of the race and ethnicity categories are as follows:	
Hispanic or Latino	A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin regardless of race.
White	A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
Black or African-American	A person having origins in any of the black racial groups of Africa.
Native Hawaiian or Other Pacific Islander	A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
Asian	A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
American Indian or Alaska Native	A person having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community attachment
Two or More Races	All persons who identify with more than one of the above five races.
<p>Submission of this form constitutes the Contractor's acknowledgement and agreement to adhere to the compliance requirements and procedures set forth under this State Contract and OSC's right to evaluate and determine Contractor/Subcontractor adherence or compliance during the term of said State Contract, pursuant to New York State Executive Law Article 15-A (the "Article") and the implementing regulations set forth under 5 NYCRR.</p> <p>By submitting this form, the Contractor agrees (i) to provide OSC access to all documentation, records, reports, facilities, etc. which OSC may deem necessary to determine Contractor compliance, and (ii) to be bound by the provisions of §316 regarding possible fines, sanctions, and penalties for violations of the Article.</p> <p>Failure to submit complete and accurate information may result in non-compliance and bid/proposal disqualification.</p> <p>*The Equal Employment Opportunity Commission's Description of Job Categories and Instructions for assigning employees can be viewed at www.eeoc.gov/employers/eeo1survey/2007instructions.cfm.</p>	

**NEW YORK STATE OFFICE OF THE STATE COMPTROLLER
CONTRACTOR'S/SUBCONTRACTOR'S EEO WORKFORCE UTILIZATION REPORT**

PART A – INSTRUCTIONS: All Contractors/Subcontractors must complete and submit this form on a semi-annual basis in accordance with terms of Agreement.															
Contractor/Subcontractor Name:															
Address:								Federal Identification Number:							
City, State, Zip Code:								Contract Number:							
Does the Contractor have an existing EEO Policy? (Check one): <input type="checkbox"/> Yes <input type="checkbox"/> No (if Yes, attach current copy of EEO Policy Statement.)															
Does the Contractor have an existing Affirmative Action Program? (Check one): <input type="checkbox"/> Yes <input type="checkbox"/> No (if Yes, attach description of Affirmative Action Program)										Is the Contractor ESD Certified: (Check one): <input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, provide ESD Certification Number and Expiration Date.) _____					
<input type="checkbox"/> Check box if the information provided below reflects only the workforce to be utilized in the performance of this State Contract that <u>can</u> be separated out from the Contractor's/Subcontractor's total workforce.										<input type="checkbox"/> Check box if the information provided below reflects only the workforce to be utilized in the performance of this State Contract that <u>cannot</u> be separated out from the Contractor's/Subcontractor's total workforce.					
Enter in the following Job Categories the total number of staff by race, sex, and ethnic status to be utilized by the Bidder during the performance of this State Contract.															
JOB CATEGORIES (as defined in the Instructions attached)	RACE/ETHNICITY OF ANTICIPATED WORKFORCE (Report employees in only one category as defined in the Instructions attached.)														
	Hispanic or Latino		(NOT HISPANIC OR LATINO)												Total Columns A – N
			White		Black or African-American		Native Hawaiian or Other Pacific Islander		Asian		American Indian or Alaska Native		Two or more races		
	A	B	C	D	E	F	G	H	I	J	K	L	M	N	
	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
Executive/Senior Level Officials and Managers															
First/Mid-Level Officials and Managers															
Professionals															
Technicians															
Sales Workers															
Administrative Support Workers															
Craft Workers															
Operatives															
Laborers and Helpers															
Service Workers															
TOTAL:															
PART C – Prepared by (signature): _____															
Name of Preparer				Title of Preparer				Date		Telephone Number			Email Address		

NEW YORK STATE OFFICE OF THE STATE COMPTROLLER
CONTRACTOR’S/SUBCONTRACTOR’S EEO WORKFORCE UTILIZATION REPORT

Description of Services or Supplies Provided (expand as necessary):

INSTRUCTIONS FOR COMPLETING CONTRACTOR'S/SUBCONTRACTOR'S EEO WORKFORCE UTILIZATION REPORT FORM

RACE AND ETHNIC IDENTIFICATION*	
For the purpose of completing this form, OSC has adapted the race and ethnic designations used and obtained in accordance with the requirements administered by the Equal Employment Opportunity Commission, which do not denote scientific definitions of anthropological origins. Definitions of the race and ethnicity categories are as follows:	
Hispanic or Latino	A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin regardless of race.
White	A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
Black or African-American	A person having origins in any of the black racial groups of Africa.
Native Hawaiian or Other Pacific Islander	A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
Asian	A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
American Indian or Alaska Native	A person having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community attachment
Two or More Races	All persons who identify with more than one of the above five races.

CONTRACTOR'S/SUBCONTRACTOR'S EEO WORKFORCE UTILIZATION REPORT SUBMISSION REQUIREMENTS

Please submit completed Form AC 3239-B semi-annually, in accordance with the terms of the State Contract to:

**New York State Office of the State Comptroller
Bureau of Financial Administration, Attn: M/WBE Specialist
110 State Street, Stop 13-2
Albany, NY 12236**

Submission of this form constitutes the Contractor's/Subcontractor's acknowledgement and agreement to adhere to the compliance requirements and procedures set forth under this State Contract and OSC's right to evaluate and determine Contractor/Subcontractor adherence or compliance during the bid and award of said State Contract, pursuant to New York State Executive Law Article 15-A (the "Article") and the implementing regulations set forth under 5 NYCRR.

By submitting this form, the Contractor agrees (i) to provide OSC access to all documentation, records, reports, facilities, etc. which OSC may deem necessary to determine Contractor compliance, and (ii) to be bound by the provisions of §316 regarding possible fines, sanctions, and penalties for violations of the Article.

Failure to submit complete and accurate information may result in non-compliance and bid/proposal disqualification.

*The Equal Employment Opportunity Commission's Description of Job Categories and Instructions for assigning employees can be viewed at www.eeoc.gov/employers/eeo1survey/2007instructions.cfm.

APPENDIX C

OSC POLICY STATEMENT ON DISCRIMINATION AND HARASSMENT, INCLUDING SEXUAL HARASSMENT

DISCRIMINATION AND HARASSMENT

It is the policy of the Office of the State Comptroller (“OSC”) to provide a workplace that is free of discrimination and harassment based on race, color, sex (including sexual orientation, self-identified or perceived sex, gender expression, gender identity and the status of being transgender), creed or religion, age, national origin, disability, marital status, military or veteran status, predisposing genetic characteristics, domestic violence victim status or any other classification protected by state or federal law, rule or regulation or executive order.

Discrimination is defined as the failure or refusal to hire, promote, or train an individual or treat that individual equally with respect to compensation, terms, conditions or privileges of employment because of that individual’s membership in any one of the above classes. Harassment based upon a person’s membership in any of the above classes is included within the definition of discrimination.

In keeping with its policies, OSC reaffirms that it will not tolerate such discrimination or harassment in its workplace and that it will take appropriate action to prevent and stop the occurrence of such conduct in its workplace. OSC employees and any third parties who interact with OSC employees in the workplace are expected to avoid any behavior or conduct that could be interpreted as discrimination/harassment based on membership in any of the above classes.

Examples of conduct that may constitute harassment based upon membership in one of the above classes include, but are not limited to:

- kidding or teasing related to membership in, or characteristic of one of the above classes, such as laughing at or mimicking someone’s physical or mental impairment, foreign accent, etc.;
- using ethnic or racial slurs;
- conduct that denigrates or shows hostility toward an individual because of protected class status, and that has the purpose or effect of creating an intimidating, hostile or offensive environment; and
- telling jokes that belittle a member or members of one of the above classes.

SEXUAL HARASSMENT

Sexual harassment, a form of discrimination, is defined as unwelcome conduct which is either of a sexual nature, or which is directed at an individual because of that individual’s sex when:

- such conduct is made either explicitly or implicitly a term or condition of employment;
- submission to or rejection of such conduct is used as the basis for employment decisions affecting an individual’s employment; or
- such conduct has the purpose or effect of unreasonably interfering with an individual’s work performance or creating an intimidating, hostile, or offensive work environment, even if the complaining individual is not the intended target of the sexual harassment.

Examples of sexual harassment include, but are not limited to, sexual innuendo; suggestive comments; sexually-oriented kidding, teasing or practical jokes; jokes about gender-specific traits; jokes about sexual orientation, or perceived masculinity or femininity of individuals; foul or obscene language or gestures; display of foul, obscene or sexually suggestive printed or visual material; physical conduct such as touching or patting; sexually-oriented email or phone mail messages; suggestive or obscene letters, notes, or invitations; inappropriate discussions of a person’s physical appearance; or unwelcome gifts and attention.

A perpetrator of harassment can be a superior, subordinate, co-worker or anyone in the workplace, including an independent contractor, contract worker, vendor, client, customer or visitor.

Questions about what behavior constitutes discrimination or harassment, including sexual harassment, or requests for OSC Executive Orders and policies on such matters may be directed to the OSC Division of Diversity Management at (518) 473-1368.

August 31, 2021

APPENDIX D
OSC EXECUTIVE ORDER ON PROCUREMENT INTEGRITY

Whereas, it is the policy of the Office of the State Comptroller (OSC) and the New York State Common Retirement Fund (CRF) to procure goods and services in a fair, equitable and open manner and to protect the procurement process from improper influences; and

Whereas, procurement lobbying activities must be monitored and documented to assure the integrity of the procurement process;

Now, therefore, I, Thomas P. DiNapoli, Comptroller of the State of New York, in consideration of the foregoing, do hereby order as follows;

1. **Applicability.** This executive order applies to determinations by OSC or CRF to award a contract for the acquisition of any goods, services, or information technology. Decisions to invest or disinvest CRF assets in securities, properties, or other investment vehicles, and selections of investment advisors or managers whose services are integral to the administration of CRF investments, remain subject to the Comptroller's fiduciary responsibility to administer the CRF prudently to increase and preserve CRF assets on behalf of its beneficiaries. In addition, selection of counsel to represent the CRF in transactional, investment or litigation matters remain subject to the Comptroller's fiduciary responsibilities. Although such CRF investment decisions and selections are not subject to this executive order, they shall be made in a fair and equitable manner, in accordance with the Comptroller's fiduciary responsibilities.
2. **General Counsel, Division of Legal Services.** General Counsel shall have general responsibility for the prevention of improper influence relative to all procurement contracts awarded by OSC or CRF. The General Counsel shall form such committees or draw upon OSC staff as needed to fulfill this responsibility.
3. **Procedural Controls.** The General Counsel shall develop, in consultation with the executive staff of OSC, procedural controls in the form of written Procurement Integrity Procedures. Such procedures shall:
 - a. require that decisions made on the award of procurement contracts shall be made in accordance with Article 11 of the State Finance Law, free from any improper influence;
 - b. require that any OSC employee who has direct knowledge of any improper influence or attempted improper influence shall immediately make a record of the improper influence or attempted improper influence relating to a bid, proposal or a procurement contract and notify the General Counsel or appropriate Division of Legal Services staff designated by the General Counsel;
 - c. prohibit contact relating to a bid or proposal, during the procurement process, between all OSC personnel involved in the determination of the procurement contract award and any employee, agent, or consultant of a bidder or proposer competing for the contract, except for contacts authorized by the procedures established pursuant to this executive order;
 - d. establish procedures for appropriate contacts between OSC personnel involved in the determination of a procurement contract award and the employees, agents or consultants of a bidder or proposer for the purpose of clarifying a bid or proposal. Such authorized contacts shall only be for the purpose of providing information to OSC personnel to assist them in understanding and assessing the qualities, characteristics and anticipated performance of a product or service offered by a bidder or proposer, and shall occur only at such times and in such manner as have been authorized by the procedures established pursuant to this executive order;

- e. provide for appropriate contacts between OSC personnel and the employees, agents or consultants of a proposer for the purpose of negotiating contract terms after the evaluation of bids or proposals and selection of a contractor have been completed;
 - f. establish a process for the review by the General Counsel of any allegations of improper influence or attempted improper influence, and for the imposition of sanctions if such improper activity has been found to exist.
- 4. Incorporation of Procedural Controls in Contract Documents. The Procurement Integrity Procedures required by this executive order shall be incorporated into all OSC and CRF procurement solicitations and contracts.
 - 5. Periodic Review. The General Counsel shall periodically review the Procurement Integrity Procedures with OSC personnel in order to ascertain potential areas of exposure to improper influence and to adopt desirable revisions for more effective avoidance of improper influences.
 - 6. Sanctions. Any OSC employee who violates the Procurement Integrity Procedures may be subject to disciplinary action. Any vendor who violates the Procurement Integrity Procedures may be found to be a non-responsible vendor, and on the basis of such finding, may be ineligible to receive a contract award.

_____/s/_____
Thomas P. DiNapoli
Comptroller, State of New York

Last Revised Date: March 14, 2007
Original Date: February 14, 2002

OSC PROCUREMENT INTEGRITY PROCEDURES

In order to ensure that procurements of goods or services¹ by the Office of the State Comptroller (OSC) or the Common Retirement Fund (CRF) are conducted in a fair, equitable and open manner, the procedures set forth below shall apply to the procurement process.

The General Counsel to the Comptroller shall have general responsibility for the prevention of improper influence relative to all procurement contracts awarded by OSC or CRF.

A copy of these Procurement Integrity Procedures will be given to every OSC employee, consultant, or other person assigned to any task related to an OSC or CRF procurement. A copy of these procedures will be incorporated into every Request for Information (RFI), Request for Proposals (RFP) or Invitation for Bids (IFB) issued by OSC or CRF.

Any OSC employee who violates these procedures may be subject to disciplinary action, such as a reprimand, suspension, demotion, or dismissal. Any vendor who violates these procedures may, after notice and an opportunity to be heard, be determined to be a non-responsible vendor, and on the basis of such a determination may be ineligible to receive a contract award.

Every reasonable effort will be made to assure compliance with these procedures, but a minor deviation from these procedures that does not impair the fairness and integrity of the procurement process will not require the invalidation of a contract award.

1. OSC employees must provide every interested vendor² with an equal opportunity to compete. No information may be given to one vendor without being made available to all other interested vendors. Vendors should be asked to submit every substantive question³ concerning the procurement in writing not later than the date specified by OSC for such questions; and a copy of each question, together with OSC's written answer, should be supplied to all interested vendors and included in the procurement record.
2. Unless otherwise directed by the General Counsel to the Comptroller, OSC's Assistant Comptroller for Administration or a designee will serve as the coordinator for all procurement-related contacts between OSC personnel and vendor personnel. All telephone calls, correspondence, and meeting requests must be routed to: Assistant Comptroller for Administration, Office of the State Comptroller, 110 State Street – 13th Floor, Albany, NY 12236, telephone: (518) 474-7574, Fax: (518) 473-9377, Email: RFP@osc.ny.gov OSC's Assistant Comptroller for Administration, or a designee, will maintain a record of all such contacts.
3. A vendor may not exert or attempt to exert any improper influence⁴ relating to the vendor's bid or proposal. Any OSC employee who has direct knowledge of any improper influence or attempt to exert an improper influence concerning a procurement contract shall immediately make a record of the improper influence or attempted improper influence and notify the General

¹ These procedures apply to determinations by OSC or CRF to award a contract for the acquisition of any goods, services, or information technology, except that they do not apply to (i) decisions to invest or disinvest CRF assets in securities, properties, or other investment vehicles, (ii) selections of investment advisors or managers whose services are integral to the administration of CRF investments, and (iii) selection of counsel to represent the CRF in transactional, investment or litigation matters. Such CRF investment decisions and selections remain subject to the Comptroller's fiduciary responsibilities, and are to be made in a fair and equitable manner in accordance with those responsibilities.

² For the purposes of these procedures, the term "interested vendor" means a person or firm that has received or requested a Request for Information (RFI), an RFP, or an IFB issued by OSC or CRF.

³ For the purposes of these procedures, the term "substantive question" means an inquiry concerning a material requirement of the procurement process, such as a technical specification or a financial prerequisite. The term does not apply to ministerial matters, such as the time and place or manner of submitting a bid or proposal.

⁴ For the purposes of these procedures, the term "improper influence" means any attempt to achieve preferential, unequal, or favored consideration of a bid or proposal based on considerations other than the merits of the proposal, including but not limited to, any conduct prohibited by the Ethics in Government Act, as set forth in Public Officers Law sections 73 and 74.

Counsel to the Comptroller. The General Counsel to the Comptroller shall thereupon cause an investigation to be made and shall recommend such action, if any, as may be necessary.

4. Unless otherwise directed by the General Counsel to the Comptroller, OSC's Assistant Comptroller for Administration or a designee will be responsible for approving and scheduling all contacts between OSC employees and vendor personnel concerning procurements.
5. Vendors are expected to obtain information relating to an OSC or CRF procurement only from an OSC employee or other person designated by OSC. Vendors who seek information from other sources are cautioned that they rely on such information at their own risk.
6. Every IFB and RFP shall require vendors to identify in their bids or proposals the persons authorized to represent the vendor by name, address, telephone number, place of principal employment and occupation. This requirement applies not only to vendor employees involved in the submission of the vendor's bid or proposal but also to every individual or organization employed or designated by the vendor to attempt to influence the procurement process⁵. If, after submission of a bid or proposal, a vendor retains an individual or organization to attempt to influence the procurement process, then the name, address, telephone number, place of principal employment and occupation of such individual or organization shall be disclosed in writing to OSC or CRF prior to any contact with OSC or CRF and such disclosure shall be included in the procurement record. IFBs and RFPs shall require that vendors indicate in their bids or proposals or subsequent disclosures whether each contact individual or organization has a financial interest in the procurement.
7. All contacts between OSC personnel and vendor personnel during which a procurement-related matter is discussed in any way must be by telephone, in writing, or in person at the place of business of OSC or the vendor or at a place designated by OSC. Written documentation of all such discussions must be filed by the Assistant Comptroller for Administration or designee in the procurement record.
8. During the procurement process no lunch, dinner, or other meal shall be accepted by a member of the OSC staff from an interested vendor, except that a presentation, interview or similar session occurring at the place of business of OSC or a vendor or at a place designated by OSC may include a refreshment break.
9. The evaluations of competing bids or proposals and the recommendations and deliberations of OSC evaluation or selection committees shall be based solely on the merits of the bids or proposals, free from any improper influence.
10. Prior to the public release by OSC or CRF of an Invitation for Bids (IFB) or Request for Proposals (RFP), no OSC employee may disclose the contents of any portion of an IFB or RFP to any person not employed by OSC or any other person not authorized by the Assistant Comptroller for Administration or designee unless such disclosure is specifically authorized by the Assistant Comptroller for Administration, who shall only authorize such disclosure if he or she determines that such disclosure will not impair the fairness and integrity of the procurement process.
11. The evaluation of competing bids or proposals shall be conducted strictly in accordance with the detailed evaluation and selection procedures documented in the procurement record prior to the initial receipt and opening of the bids or proposals. The Assistant Comptroller for Administration or a designee shall issue the detailed evaluation and selection procedures to the members of the evaluation and selection committees prior to the distribution of the bids or proposals to the committee members for evaluation.

⁵ For the purposes of these procedures, the term "attempt to influence the procurement process" means any attempt to influence any determination by OSC or CRF by a person other than an OSC employee with respect to (i) the solicitation, evaluation or award of a procurement contract; or (ii) the preparation of specifications or request for submissions of bids or proposals for a procurement contract.

12. During the evaluation and selection phases of the procurement process, no OSC employee may disclose any part of a bid or proposal to any other person, except that (i) a member of an evaluation or selection committee may discuss a proposal with another member of the same committee, and (ii) a member of an evaluation or selection committee may disclose a proposal or a portion of a proposal to a person assigned to assist in the evaluation or selection process, as described below.
13. With the approval of the Assistant Comptroller for Administration or designee, evaluation or selection committees may appoint OSC employees or other experts to provide supporting services or information to assist in the evaluation of proposals and the selection of a contractor.
14. At the discretion of the Assistant Comptroller for Administration or a designee, any person to whom a bid or a proposal or a portion of a bid or a proposal is disclosed may be required to comply with a written non-disclosure or confidentiality agreement setting forth the terms and conditions under which such person is entrusted with the bid or proposal or portion thereof.

October 11, 2011

**APPENDIX E
CONTRACTOR'S CERTIFICATIONS/ACKNOWLEDGEMENTS**

SIGNATURE AUTHORITY
The Contractor* and the person signing on behalf of the Contractor certify that such person is authorized to sign on behalf of the Contractor and has the express authority to contractually bind the Contractor.
ACKNOWLEDGEMENT OF RECEIPT OF OSC'S POLICY STATEMENT ON DISCRIMINATION AND HARASSMENT, INCLUDING SEXUAL HARASSMENT
The Contractor and the person signing on behalf of the Contractor acknowledge receipt of the OSC Policy on Discrimination and Harassment, Including Sexual Harassment (Appendix C), and each agrees to abide by the terms of Appendix C.
CERTIFICATION OF COMPLIANCE WITH STATE FINANCE LAW § 139(L) REGARDING SEXUAL HARASSMENT POLICY AND ANNUAL TRAINING
"By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that the bidder has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one-g of the labor law."
NON-COLLUSIVE BIDDING CERTIFICATION
<p>"By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of [such persons] knowledge and belief:</p> <ol style="list-style-type: none"> 1. The prices in this bid have been arrived at independently without collusion, consultation, communication, or agreement for the purpose of restricting competition, as to any matter relating to such prices with any other competitor; 2. Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the bidder and will not knowingly be disclosed by the bidder, directly or indirectly, to any other competitor; and 3. No attempt has been made or will be made by the bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition."
CONTRACTOR'S ACKNOWLEDGEMENT OF RECEIPT AND UNDERSTANDING OF OSC EXECUTIVE ORDER ON PROCUREMENT INTEGRITY
The Contractor and the person signing on behalf of the Contractor acknowledge receipt of the OSC Executive Order on Procurement Integrity and OSC Procurement Integrity Procedures (Appendix D). By submission of this bid, the Contractor and the person signing on behalf of the Contractor each affirms, under penalty of perjury, that they understand and will comply with the terms of Appendix D.

* All reference to "bidders" within this Appendix E includes proposers and Contractors. Reference to "bids" includes proposals and other responses to solicitations.

**THE SIGNATURES BELOW INDICATES AGREEMENT WITH EACH OF THE ABOVE CERTIFICATIONS/
ACKNOWLEDGEMENTS**

<hr/> PROPOSER NAME	<hr/> JOINT PROPOSER NAME (IF ANY)
<hr/> SIGNATURE	<hr/> SIGNATURE
<hr/> PRINTED OR TYPED NAME	<hr/> PRINTED OR TYPED NAME
<hr/> TITLE	<hr/> TITLE
<hr/> DATE	<hr/> DATE

Add additional signature lines below for additional Joint Proposers, as necessary.

October 2023

APPENDIX F
DISCLOSURE OF PRIOR NON-RESPONSIBILITY DETERMINATIONS

Have you been found by any governmental entity to be non-responsible within the past four (4) years from the date of this bid due to:

1. Impermissible contacts or other violations of New York State Finance Law Section 139-j (e.g., conduct prohibited by the ethics provisions of the New York State Public Officers Law)?

☐ Yes

☐ No

2. Intentional provision of false or incomplete information to a governmental entity?

☐ Yes

☐ No

If your answer to either of the above is “Yes,” please attach a written explanation, indicating the date of the non-responsibility finding, the entity that found you to be non-responsible, and the circumstances surrounding such finding (including any written finding of non-responsibility issued by such entity).

By my signature on this form, I certify that all information disclosed to the State is complete, true, and accurate with regard to prior non-responsibility findings within the past four (4) years based on (i) impermissible Contacts or other violations of New York State Finance Law Section 139-j, or (ii) the intentional provision of false or incomplete information to a governmental entity.

Signature

Printed or Typed Name

Title

XXXXXXXX

Contract Number

Date

August 15, 2014

APPENDIX G
OSC CONSULTANT DISCLOSURE REPORTING REQUIREMENTS
CONTRACTOR INSTRUCTIONS

Background:

Pursuant to New York State Finance Law Section 163(4)(g), state agencies must require all contractors, including subcontractors, that provide consulting services for State purposes pursuant to a contract to submit an annual employment report for each such contract, such report to include for each employment category within the contract: (i) the number of employees employed to provide services under the contract, (ii) the number of hours they work, and (iii) their total compensation under the contract. Consulting services are defined as analysis, evaluation, research, training, data processing, computer programming, engineering, environmental, health, and mental health services, accounting, auditing, paralegal, legal, or similar services.

Contractors selected for award on the basis of a procurement issued by OSC (Request for Proposals, Request for Quotations, Mini-Bid, or Invitation for Bids) must complete **Form A, State Consultant Services – Contractor’s Planned Employment from Contract Start Date through the End of the Contract Term** upon notification of award. The completed **Form A** must include information for all employees that will be providing services under the contract, whether employed by the contractor or by a subcontractor.

Contractors selected for award are also required to complete **Form B, State Consultant Services Contractor’s Annual Employment Report** annually for each year of the contract term, on a State fiscal year basis. The first report is due May 15 for the period April 1 through March 31 of the most recently concluded State fiscal year or portion thereof.

Form A must be submitted to OSC as the contracting agency, and Form B must be submitted to OSC (as the contracting agency), the Department of Civil Service, and the Consultant Reporting Section of the Bureau of Contracts at OSC, at the addresses provided in these instructions.

Instructions:

FORM A:

Upon notification of contract award, use Form A, State Consultant Services Contractor’s Planned Employment From Contract Start Date Through the End of the Contract Term, attached to these instructions, to report the necessary planned employment information prospectively from the start date through the end of the contract term. This is a one-time reporting requirement.

Complete **Form A** for contracts for consulting services in accordance with the following:

- **Employment category:** the specific occupation(s), as listed in the O*NET occupational classification system, which best describe the employees anticipated to be providing services under the contract. (Note: Access the O*NET database, which is available through the US Department of Labor’s Employment and Training Administration website at www.online.onetcenter.org.)
- **Number of employees:** the total number of employees in the employment category employed anticipated to provide services under the contract, including part time employees and employees of subcontractors.
- **Number of hours to be worked:** the total number of hours anticipated be worked by the employees in the employment category.
- **Amount payable under the contract:** the total amount payable by the State to the State contractor under the contract, for work by the employees in the employment category, for services to be provided during the Report Period.

Submit completed Form A within 48 hours of notification of selection for award to OSC (as the contracting agency) at the address listed below.

FORM B:

Use **Form B, State Consultant Services Contractor's Annual Employment Report**, attached to these Instructions, to report the annual employment information required by the statute. This form will capture historical information, detailing actual employment data for the most recently concluded State fiscal year (April 1 – March 31). Submit **Form B** to OSC (as the contracting Agency), the Department of Civil Service (DCS), and to the Consultant Reporting Section of the Bureau of Contracts at OSC at the addresses listed below.

Complete **Form B** for contracts for consulting services in accordance with the following:

- **Scope of Contract:** a general classification of the single category that best fits the predominate nature of the services provided under the contract.
- **Employment Category:** the specific occupation(s), as listed in the O*NET occupational classification system, which best describe the employees providing services under the contract. (Note: Access the O*NET database, through the US Department of Labor's Employment and Training Administration website at www.online.onetcenter.org.)
- **Number of Employees:** the total number of employees in the employment category employed that provided services under the contract during the Report Period, including part time employees and employees of subcontractors.
- **Number of hours worked:** the total number of hours **worked** during the Report Period by the employees in the employment category.
- **Amount Payable under the Contract:** the total amount paid or payable by the State to the State contractor under the contract, for work by the employees in the employment category, for services provided during the Report Period.

Submit the completed Form B by May 15 for the period April 1 through March 31, and annually by May 15th thereafter for each State fiscal year (or portion thereof) the contract is in effect, as follows:

To OSC (as the contracting Agency):

By mail: Director of Financial Administration
Office of the State Comptroller
110 State Street, Stop 13-2
Albany, NY 12236-0001

By email: rfp@osc.ny.gov

To the Consultant Reporting Section of the Bureau of Contracts at OSC:

By mail: NYS Office of the State Comptroller
Bureau of Contracts
110 State Street, 11th Floor
Albany, NY 12236
Attn: Consultant Reporting

By fax: (518) 474-8030 or (518) 473-8808

To DCS:

By mail: NYS Department of Civil Service
ESP, Agency Building 1
20th Floor
Albany, NY 12239

FORM A

New York State Consultant Services Contractor's Planned Employment From Contract Start Date Through The End Of The Contract Term

State Agency Name: Office of the State Comptroller	
State Agency Department ID: 3050000	Agency Business Unit: OSC01
Contractor Name:	Contract Number:
Contract Start Date: / /	Contract End Date: / /

Employment Category	Number of Employees	Number of hours to be worked	Amount Payable Under the Contract
29-1069.00 Physicians and Surgeons, All other			
Total this page	0	0	\$ 0.00
Grand Total			

Name of person who prepared this report:

Title:

Phone #:

Preparer's Signature:

Date Prepared: / /

(Use additional pages, if necessary)

Page of

FORM B

New York State Consultant Services Contractor's Annual Employment Report Report Period: April 1, to March 31,

Contracting State Agency Name: Office of the State Comptroller	
Contract Number:	Agency Business Unit: OSC01
Contract Term: / / to / /	Agency Department ID: 3050000
Contractor Name:	
Contractor Address:	
Description of Services Being Provided:	

Scope of Contract (Choose one that best fits):

- | | | | |
|--|---|--|--|
| <input type="checkbox"/> Analysis | <input type="checkbox"/> Evaluation | <input type="checkbox"/> Research | <input type="checkbox"/> Training |
| <input type="checkbox"/> Data Processing | <input type="checkbox"/> Computer Programming | <input type="checkbox"/> Other IT consulting | |
| <input type="checkbox"/> Engineering | <input type="checkbox"/> Architect Services | <input type="checkbox"/> Surveying | <input type="checkbox"/> Environmental Services |
| <input type="checkbox"/> Health Services | <input type="checkbox"/> Mental Health Services | | |
| <input type="checkbox"/> Accounting | <input type="checkbox"/> Auditing | <input type="checkbox"/> Paralegal | <input type="checkbox"/> Legal <input type="checkbox"/> Other Consulting |

Employment Category	Number of Employees	Number of Hours Worked	Amount Payable Under the Contract
Total this page	0	0	\$ 0.00
Grand Total			

Name of person who prepared this report:

Title:

Phone #:

Preparer's Signature:

Date Prepared: / /

(Use additional pages, if necessary)

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ATTACHMENT 1 – FEE SCHEDULE

SERVICES			
INDEPENDENT MEDICAL EXAMINATION FEES: including comprehensive narrative report and records review up to 200 pages, NOT including fees for testing and/or x-rays. Fees are applicable for services requested on or after the effective date listed below.			
For any of the following specialties or subspecialties:			Fees (Not to Exceed)
Allergy Cardiology Dermatology Endocrinology Gastroenterology General Surgery Gynecology Immunology	Infectious Disease Internal Medicine/Family Medicine Nephrology Neurology Neurosurgery Ophthalmology Oral Surgery Orthopedics	Orthopedic Surgery Otolaryngology Plastic Surgery Psychiatry Pulmonology Rheumatology Toxicology Urology Vascular Surgery	\$1,500.00
For each of the following specialties:			Fees (Not to Exceed)
• Psychiatry (additional examination)			\$400.00
• Neuropsychiatry			\$2,000.00
• Neuropsychology			\$2,500.00
• Hematology/Oncology			\$3,000.00
Cancellation Fees:			Fees
• Cancellation or rescheduling of an IME within 48 hours of scheduled IME (includes no-shows)			\$500.00
Records Review:			Fees
• Review of records in excess of 200 pages (per page)			\$1.00
• Review of records (without performing IME, up to 200 pages)			\$300.00
• Review of records (without performing IME, in excess of 200 pages, per page)			\$1.00
• Supplemental IME Report (only if such report is not required to clarify the original Report). No new records will be submitted			\$150.00
• Supplemental IME Report including up to 50 pages of new record review			\$200.00
• Supplemental IME Report (in excess of 50 pages, per page)			\$1.00
Hearing Rates:			Fees
• In-person or on-camera testimony (per hearing)			\$3,500.00
• In-person or on-camera testimony cancelled within 48 hours of scheduled hearing			\$1,750.00
• In-person or on-camera testimony cancelled within 24 hours of scheduled hearing			\$3,500.00
• Telephone testimony			\$1,750.00
• Telephone testimony cancelled within 48 hours of scheduled hearing			\$875.00
• Telephone testimony cancelled within 24 hours of scheduled hearing			\$1,750.00
• Pre-hearing meetings with NYSLRS attorney, if required by NYSLRS (up to 60 minutes)			\$600.00
• Review of records for hearing and Supplemental Hearing Report (including records review up to 500 pages)			\$1,500.00
• Review of records for hearing in excess of 500 pages (per page)			\$1.00

Revised Date: Not Applicable

Effective Date: Upon contract approval by OSC's Bureau of Contracts

PLACEHOLDER FOR ATTACHMENT 2