



**Department of  
Environmental  
Conservation**

Division of Environmental Remediation

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**Site Name: Katzman Recycling Site**

**Site Number: 558035**

**Contract Number: D013322**

**Location: Town of Granville, Washington  
County, New York**

# **Contract Documents**

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**TRC Engineers, Inc.**

**3 Corporate Drive, Suite 202**

**Clifton Park, New York 12065**

**February 2025**

New York State Department of Environmental Conservation

KATHY HOCHUL, *Governor*

SEAN MAHAR, *Interim Commissioner*

**NEW YORK STATE DEPARTMENT OF ENVIRONMENTAL CONSERVATION****KATZMAN RECYCLING SITE**  
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**SECTION I**

***Advertisement and Notice to Bidders***

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## SECTION I

### ***Advertisement and Notice to Bidders***

#### **New York State Department of Environmental Conservation Division of Environmental Remediation**

Project Name: Katzman Recycling Site, Site No. 558035

Sealed bids for the Katzman Recycling Site Remedial Action project will be received by the New York State Department of Environmental Conservation (NYSDEC), Division of Fiscal Management, Bureau of Expenditures, 625 Broadway, 10<sup>th</sup> Floor, Albany, New York, 12233-5027, until the time of 12:00 PM, Eastern Standard Time, on the date of April 17, 2025. The bids will be opened and read aloud at the above time and date. Telegraphic or other electronically transferred bids will not be accepted.

The Remedial Action involves the implementation of remedial activities at the Katzman Recycling Site, located at 24 County Route 26, Granville, New York. The remedial activities include but are not necessarily limited to: removal of asbestos containing soil and debris; excavation of PCB contaminated and RCRA Hazardous soil and debris; excavation dewatering; water handling, treatment, and discharge; loading, transport, and off-Site disposal of excavated soil and debris; backfilling; and Site restoration.

The estimated range for this work is: Over \$15,000,000.

**Contract Documents are available in electronic format at no charge.** Electronic copies of non-biddable Contract Document drawings, specifications, proposal forms, addenda, and a separate Limited Site Data Document may be downloaded from the Department website <http://www.dec.ny.gov/chemical/59233.html>. Hard copies (fees apply) and/or FTP link to biddable Contract Documents are available upon request from the Division of Environmental Remediation, 12th Floor, 625 Broadway, Albany, New York, 12233-7017, Attn: Brianna Scharf at (518) 402-5987 or [Brianna.Scharf@dec.ny.gov](mailto:Brianna.Scharf@dec.ny.gov).

Proposals will be accepted only from bidders who attend the Pre-Bid Conference. All proposals must be made on the official proposal form(s) and returned to the Department as specified in the Contract Documents. Each proposal must be accompanied by a deposit or a bid bond in the amount of five percent (5%) of Proposer's bid amount. All Bidders must attend the Pre-Bid Conference to receive special requirements and/or instruction for the Contract. The Pre-Bid Conference will be held on Tuesday, March 11, 2025 at the Site, located at 24 County Route 26, Granville, New York 12832, starting at 10:00 AM, Eastern Standard Time. Be advised, a limited number of parking spaces will be available inside the Site main gate. Other parking spaces will be available immediately outside of the Site main gate.

**ATTENDANCE IS MANDATORY AS A CONDITION OF BIDDING.**

Minority-, Women-, and Service-Disabled Veteran-owned businesses are encouraged to submit bids in response to this solicitation. The New York State Department of Environmental Conservation is an Equal Opportunity/Affirmative Action Employer.

The Contractor shall adhere to the New York State Department of Environmental Conservation Guidelines Regarding Permissible Contacts During a Procurement and the Prohibition of Inappropriate Lobbying Influence. For the purpose of this Notice to Bidders, the Director of the Division of Environmental Remediation, Andrew Guglielmi, 12<sup>th</sup> Floor, 625 Broadway, Albany, New York, 12233-7011, shall be the Department's Designated Representative. Any questions, however, shall be directed to Brianna Scharf, the Department's Project Manager and Designated Contact, at (518) 402-5987 or [Brianna.Scharf@dec.ny.gov](mailto:Brianna.Scharf@dec.ny.gov).

Bidders may receive announcements of procurement opportunities by signing up for the NYSDEC – DER electronic mailing list ("listserv") at – <https://public.govdelivery.com/accounts/NYSDEC/subscriber/new>

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**- IMPORTANT NEW INFORMATION FOR BIDDERS -**

Effective December 30, 2024, in order to be qualified to work on public works projects covered by Article 8 of the Labor Law, all contractors and subcontractors must be registered with the New York State Department of Labor (NYSDOL) in accordance with Labor Law § 220-i.

Prime contractors must be registered before submitting a bid. In addition, prime contractors and subcontractors must be registered prior to commencing any new work.

When submitting a bid for DEC construction contracts, bidders must provide their NYSDOL registration number in the designated space on the Bid Form. Failure to provide a valid and verifiable registration number from the NYSDOL Registry at the time of bid submission will result in disqualification of the bid.

During this transition period, for projects where the bids were due prior to December 30, 2024, but the work will commence after that date, prime contractors not already registered with DOL must be registered prior to the commencement of the work.

**REGISTER NOW!!**

Please note, per the NYSDOL website, NYSDOL estimates it may take approximately 3-4 weeks to review a registration application and issue a Certificate of Registration. Please act promptly and register now to avoid any disruptions in your bidding process or project schedule. For more information and instructions on how to become registered, please visit the NYS Department of Labor website at:



[Contractor and Subcontractor Landing | Department of Labor](#)

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Sean Mahar,  
Interim Commissioner

## **SECTION II**

### ***Terms and Definitions***

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## SECTION II

### ***Terms and Definitions***

Wherever used in the Contract Documents, the following terms (or pronouns in place of terms) have the meanings indicated which are applicable to both the singular and plural forms thereof:

***Addenda*** - Written or graphic instruments issued prior to the date for opening of Bids which interpret or modify the Contract Documents by way of changes, clarifications, corrections, or the provision of additional information.

***Administrative Agreement*** - A written explanation of the Contract Documents, signed by Department, Engineer and Contractor on or after the Effective Date of the Agreement and dealing with procedural or administrative aspects of the Contract Documents which do not change the contract price.

***Agreement*** - The written agreement between Department and Contractor covering the Work to be performed; other Contract Documents are attached to Section VI - Agreement and made a part thereof as provided therein.

***Application for Payment*** – Billing invoice in the form required by Department on which Contractor must request progress or final payments and which is to include such supporting documentation as is required by the Contract Documents.

***As-Built Documents*** - documents conforming to the requirements outlined in Section VIII - General Conditions, Article 5.19.

***Bid*** - The written offer or proposal of the Bidder, submitted pursuant to Article 5 of Section III of the Bidding Documents on the form(s) provided.

***Bidder*** - The person, partnership, corporation, joint venture or other authorized combination thereof, who has submitted a Bid. Bidder may also be referred to as “Offerer” or “Proposer” throughout the Bidding Documents and Contract Documents.

***Bid Security*** - The security designated in the Bidding Documents to be furnished by the Bidder as guarantee that he/she will enter into a Contract with Department for the performance of the Work, if the Work involved in the Bid is awarded to that Bidder.

***Bidding Documents*** - The Advertisement and Notice to Bidders, Bidding Information and Requirements, the Bid Forms and Attachments, and the proposed Contract Documents, including all Addenda issued prior to receipt of Bids.

***Bonds*** - Instruments of security furnished by Contractor and its surety in accordance with the Contract Documents. This refers to the labor and material payment Bond,

performance Bond and those other instruments of security required by the Contract Documents.

**Change Order** - A document prepared and recommended by Engineer, which is reviewed by Department and has been signed by Contractor and Department and approved by Comptroller. It authorizes an addition, deletion or revision in the Work, or an adjustment in Contract Price or Contract Time, or any combination thereof, issued on or after the Effective Date of the Agreement.

**Claim** – Contractor's demand or assertion seeking as a matter of right, adjustment, interpretation, additional money, extension of time or other relief with respect to terms of the Contract.

**Commissioner** – The Commissioner of the New York State Department of Environmental Conservation.

**Comptroller** - The Comptroller of the Office of the New York State Comptroller.

**Contract Documents** - The Agreement, Addenda, Contractor's Bid, including documentation accompanying the Bid and any post-Bid documentation submitted prior to the Notice of Award, all bid forms and attachments required by Section V, the General Conditions, the Supplementary Conditions, the Standard Specifications, the Supplementary Specifications, Appendix A, Appendix B, Appendix C, Appendix D, Measurement for Payment, Advertisement, Terms and Definitions, Bidding Information and Requirements, Supplementary Bid Information and Requirements, and the Drawings, together with all amendments, modifications and supplements issued pursuant to paragraphs 2.4 and 2.5 of Article 2 of the General Conditions on or after the Effective Date of the Agreement.

**Contract Price** - The money payable by Department to Contractor under the Contract Documents.

**Contract Time** - The number of days permitted by the Agreement for completion of Work. This number may be stated, or, implied by a requirement that all work be completed by a certain date.

**Contractor** - The person, partnership, corporation, joint venture, or other allowable combination thereof, who has entered into the Contract with Department for the Work. The term "Contractor" means Contractor or its authorized representative.

**Correction Period** - The period of time within which the Contractor shall promptly, without cost to Department and in accordance with Department's written instructions, either correct Defective Work, or if it has been rejected by Department, remove it from the Site and replace it with non-defective Work, pursuant to paragraph 12.12 of the General Conditions.

**Cost and Pricing Data** - Refers to all data available to and relied upon by Contractor in negotiating, pricing, or performing Work covered by a Change Order, or a Proposed Change Order, or involved in a claim. Sample Cost and Pricing Data include data and supporting documents pertaining to labor wages and material rates, crew mixes, labor productivity, payroll costs, price catalogs, quotations from and payments to Subcontractors, Suppliers or others, equipment production rates, equipment costs, sales and use taxes, cost of premiums for Bonds and Insurances, costs related to the determination of general and administrative overhead, site office overhead, profit, estimates and estimating guides, Contractor's computations and projections, and all of the relevant assumptions made by Contractor in pricing or figuring increases or decreases in Contract Price or Contract Time.

**Cost of the Work Involved** - The sum of all costs necessarily incurred and paid by Contractor in the proper performance of the Work involved.

**Day** - A calendar day consisting of 24 hours lasting from midnight to midnight on any two consecutive dates.

**Defective Work** - Work that is unsatisfactory, faulty or deficient, or does not conform to the Contract Documents, or does not meet the requirements of any inspection, reference standard, test or approval referred to in the Contract Documents, or has been damaged prior to Engineer's recommendation of final payment; unless responsibility for the protection thereof has been assumed by Department at Substantial Completion in accordance with paragraphs 13.8 or 13.10 of the General Conditions.

**Delivery** - Shall be effective on the date of receipt by the addressee.

**Department** - The New York State Department of Environmental Conservation.

**Department Representative(s)** - Employee(s) of Department engaged in Department activities relating to the work, but not responsible for day to day administration of the Project.

**Design Engineer** - The individual, partnership, corporation, joint venture, or any allowable combination thereof, who prepared and sealed the Contract Documents that were advertised for bid by Department.

**Designated Contact(s)** - Individuals to whom all contacts can properly be made during the Restricted Period in relation to the Permissible Contacts during a Procurement and Prohibition of Inappropriate Lobbying Influence clause of the Contract Documents. The Project Manager shall serve as the Department's Designated Contact for the Contract.

**Designated Representative to Resolve Disputes** - Department employee responsible for resolving all disputes between Contractor and Project Manager, as identified in the Supplementary Bidding Information and Requirements.

**Dispute** - A Claim that is not resolved pursuant to Article 8.10 of Section VIII - General Conditions, becomes a Dispute to be resolved under Article VIII – Dispute Resolution of Appendix B – Standard Clauses for All New York State Department of Environmental Conservation Contracts.

**Drawings, Plans** - The Drawings, Plans or reproductions thereof, which show location, character, dimensions, and details of the Work to be performed and which are referred to in the Contract Documents.

**Effective Date of the Agreement** - The date on which the Agreement is executed by Comptroller.

**Employee** - Any person working on the project mentioned in the Contract of which these specifications are a part, and who is under the direction or control, or receives compensation from Contractor or Subcontractor.

**Engineer** - The individual, partnership, corporation, joint venture, or any allowable combination thereof, any entity named as Engineer in the Agreement who will have the rights and authority assigned to Engineer in the Contract Documents. The term "Engineer" means the Engineer or its authorized representative.

**Equipment** - All machinery and equipment, together with the necessary supplies for upkeep and maintenance, and also tools and apparatus necessary for the proper construction and acceptable completion of the Work.

**Field Order** - A written order issued by Engineer to Contractor which orders minor changes in the Work in accordance with Article 9.2 of the General Conditions not involving an adjustment in the Contract Price or the Contract Time.

**Law(s)** - Applicable laws, rules, regulations, ordinances, codes or orders of a Federal or New York State court.

**Material** - Any approved material acceptable to Department and conforming to the requirements of the specifications.

**Notice of Intent to Award** - The written notice by Department to a Bidder stating that upon compliance by that Bidder with the conditions enumerated therein, within the time specified, Department intends to process contract through the appropriate New York State contract reviews.

**Notice to Proceed** - The Department's written notice of Agreement execution by the Comptroller, stating pertinent information with which Contractor must comply and, where applicable, authorizing Contractor to proceed with the Work at the Site.

**Overhead** - General and administrative costs (whether at the Site or in Contractor's principal or branch offices) and all other miscellaneous costs not assigned to a specific payment item as identified in Articles 9, 10 and 11 of the General Conditions.

**Partial Utilization** - Placing a portion of the Work in service for the purpose for which it is intended (or a related purpose) before reaching Substantial Completion for all the Work.

**Physical Completion** - The Work and all parts thereof have been completed to the satisfaction of Department.

**Progress Schedule** - Drawings, data computer reports, and narratives disclosing Contractor's approach to the Work; the associated Early Schedule, Late Schedule and Float times, as supported by the Critical Path Method (CPM) or Bar Chart Diagram; the Schedule of Values; and the Schedule of Shop Drawing submissions.

**Project** - The term "Project" means work at the same Site carried out pursuant to one or more sets of Contract Documents.

**Project Field Representative** - Department employee assigned responsibility for the day to day administration of the Project.

**Progress Payment** - Payment made to the Contractor as the result of an Application for Payment which accurately reflects the Contract work completed to date.

**Project Manager** - Department employee identified in the Supplementary Bidding Information and Requirements, responsible for administration of work required by Contract Documents and supervision of the Project Field Representative(s).

**Proposed Change Order** - A document prepared on a form furnished by the Department which is to be used: 1) by Department when requiring that Contractor figure the potential effect on Contract Price or Contract Time of a proposed change, (the proposed change is ordered upon signing by Department), or 2) by Contractor to notify Department that in the opinion of Contractor a change is required to respond to differing or unforeseen physical conditions under which the Work is to be performed as provided in paragraph 3.7 of Article 3 of the General Conditions or to emergencies under paragraph 5.23 of Article 5 of the General Conditions, or has been ordered in a Field Order, or in Engineer's approval of a Shop Drawing or sample, or in Engineer's written interpretation or clarification of the requirements of the Contract Documents. When signed by Department, a Proposed Change Order may or may not fully adjust Contract Price or Contract Time but is evidence that the change directed or documented by the Proposed Change Order will be incorporated in a subsequently issued Change Order following negotiations as to its effect, if any, on Contract Price or Contract Time.

**Resident Engineer** - The authorized representative of Engineer who is assigned to the Site or any part thereof.



**Resident Project Representative(s)** - Person acting as assistant to the Resident Engineer who is assigned to the Site or any part thereof.

**Resident Superintendent** - The authorized representative of Contractor who is assigned to the Site or any part thereof.

**Restricted Period** - The time period which runs from contract bid advertisement to contract execution by the Comptroller.

**Retainage** - A percentage of a Progress Payment withheld by the Department from a Contractor as guaranty that all contract requirements will be satisfactorily completed.

**Request for Interpretation** - A document prepared on a form furnished by the Department which is to be used by the Contractor to request interpretation or clarification of the Contract Requirements by the Engineer.

**Shop Drawings** - All drawings, diagrams, illustrations, schedules and other data which are specifically prepared by or for Contractor to illustrate some portion of the Work and all illustrations, brochures, standard schedules, performance charts, instructions, diagrams and other information prepared by a Supplier and submitted by Contractor to illustrate material or equipment for some portion of the Work.

**Site** – The horizontal and vertical area requiring Work by Contractor, as bounded by and represented in the Contract Documents.

**Specifications** - Those portions of the Contract Documents consisting of written technical descriptions of materials, equipment, construction systems, standards and workmanship as applied to the Work and certain administrative details applicable thereto.

**Subcontractor** - An individual, partnership, corporation, joint venture or other allowable combination thereof, having a direct contract with Contractor or with any other Subcontractor for the performance of a part of the Work at the Site.

**Substantial Completion** - The Work, or a specified part thereof, has progressed to the point where, in the opinion of Engineer as evidenced by Engineer's definitive Certificate of Substantial Completion, it is sufficiently complete, in accordance with the Contract Documents (with the exception of the minor items identified during inspection described in paragraph 13.6 of the General Conditions), so that it can be utilized continuously for the purposes for which it is intended. Substantial Completion of the Work will be achieved upon completion of site restoration, including placement of fill and topsoil to specified final grades, completion of specified seeding, and effective stabilization of ground surfaces. The terms "substantially complete" and "substantially completed" as applied to any Work refer to Substantial Completion thereof.

**Supplier** - A manufacturer, fabricator, supplier, distributor, vendor, or other entity providing materials or components for the Project.

**Testing, Pre-Operational** - All testing, associated trim-out activities and specified manufacturer or supplier training required prior to placing the facilities in service, including but not limited to manufacturer or supplier installation checks; leak, disinfection and pressure tests; removal or erection of temporary components; tie-ins; flushing and chemical/mechanical cleaning operations; specified performance tests; and other necessary non-operating adjustments, cold-alignment checks, corrections, housekeeping and spare parts stocking required of Contractor to demonstrate to Department and Engineer that individual components of the Work have been properly erected and do operate in accordance with the Contract Documents, and that they can be placed in service and utilized continuously for their intended purposes.

**Testing, Start-Up** - Follows Pre-Operational Testing. Start-up Testing commences by placing portions of the Work in service under interim conditions, continues through initial utilization of the facilities under design media, and culminates with predefined trial utilization tests during which Contractor is to operate the Work, or specified parts thereof, under actual and simulated operating conditions and performing as defined in the Contract Documents, for the purposes of: a) making such minor adjustments and changes as may be found necessary to comply with the requirements of the Contract Documents, and b) complying with the Start-up Test requirements outlined in the Contract Documents.

**Total Float** - Number of working days by which a part of the Work identified in the progress schedule may be delayed without necessarily extending the corresponding Contract Time(s).

**Underground Facilities** - All pipelines, conduits, ducts, cables, wires, manholes, vaults, tanks, tunnels or other such facilities or attachments, and any encasements containing such facilities which have been installed underground to furnish any of the following services or materials: electricity, gases, steam, liquid petroleum products, chemicals, telephone or other communications, cable television, sewage and drainage removal, traffic or other control systems or water.

**Work** - Any and all obligations, duties, responsibilities, labor, materials, equipment, temporary facilities, and incidentals, and the furnishing thereof necessary to complete the construction assigned to or undertaken by, Contractor pursuant to the Contract Documents. Also, the entire completed construction or the various separately identifiable parts thereof required to be furnished under the Contract Documents. Work is the result of performing services, furnishing labor, and furnishing and incorporating materials and equipment into the construction, all as required by the Contract Documents.

## **SECTION III**

### ***Bidding Information and Requirements***

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## **SECTION III**

### ***Bidding Information and Requirements***

#### ***ARTICLE 1 - Address for Notices***

It is understood and agreed between the parties that Department's Representative(s) for the implementation of this Agreement, or for approval and direction called for therein, shall be the individual(s) named in Article 2 of Section IV, "Supplementary Bidding Information and Requirements."

Whenever it is provided in this Agreement that notice shall be given or other communications sent to Department, such notices or communications shall be delivered or sent to the Project Manager at the address set forth in Article 2 of Section IV, "Supplementary Bidding Information and Requirements." However, the Bid submittal should be addressed as stated in *Article 3 – Bid Instruction* below.

#### ***ARTICLE 2 - Interpretation of Bidding Documents***

No interpretation of the meaning of the Bidding Documents will be made orally: all questions regarding the intent or meaning of the Bidding Documents shall be submitted in writing to the Project Manager at the address set forth in Article 2 of Section IV, "Supplementary Bidding Information and Requirements". The reply to the same, when deemed necessary, will be made available by Addenda. To be given consideration, all inquiries must be received in writing at the address set forth in Article 2 of Section IV, "Supplementary Bidding Information and Requirements", at least ten (10) days prior to the date fixed for the opening of Bids, or by the date indicated by Department. Any and all interpretations, and any supplemental instructions will be in the form of written Addenda made available in electronic format. Failure of any Bidder to receive any such Addenda shall not relieve said Bidder from any obligation under its Bid as submitted. All Addenda so issued shall become part of the Bidding Documents.

All pre-bid inquiries answered by means other than Addenda shall not be binding.

#### ***ARTICLE 3 - Bid Instructions***

Department invites sealed Bids, on the forms attached hereto and submitted in the envelopes provided to: New York State Department of Environmental Conservation, Division of Management and Budget Services, Bureau of Expenditures, 625 Broadway, 10<sup>th</sup> Floor, Albany, New York, 12233-5027.

The outside of the envelope must bear the name and address of the Bidder, the Site Name, Site Number and Contact Number from the cover of the Contract Documents and specification book, and be clearly marked as "Bid."

Department may consider non-responsive any Bid not prepared and submitted in accordance with the provisions hereof, may waive any informalities or irregularities in any bid, or may reject any or all Bids. Bids that are illegible or that contain any omission, erasures, alterations, additions, conditions, or items not called for in the Bidding Documents, or that contain other irregularities of any kind, may be rejected as non-responsive. The failure or omission of any Bidder to obtain or examine any form, instrument, document or Bidding Documents, or any part thereof, shall in no way relieve any Bidder from any obligation in respect to its Bid. Complete sets of Bidding Documents shall be used in preparing Bids; neither Department nor Engineer assume any responsibility for errors or misinterpretations resulting from the use of incomplete sets of Bidding Documents.

Department is responsible for providing Addenda only to those persons or firms listed as having attended the mandatory Pre-Bid Conference.

Department and Engineer make copies of Bidding Documents available only for the purpose of obtaining Bids on the Work and do not authorize any other use of the Bidding Documents.

Each Bid must be submitted on the official form which is furnished by Department. All blank spaces in the Bid must be filled in as noted, and no change shall be made in the phraseology of the Bid or in the items mentioned therein.

The Bidder shall sign, in the space provided in the Bid form, with his or her usual signature. An officer of a corporation or a member of a partnership signing for the Bidder, shall place his or her signature and title after the word "By" under the name of the Contractor. The same procedure shall apply to the Bid of a joint venture by two or more Bidders; however, if the signature is by an agent or attorney-in-fact for the parties of the joint venture, then the Bid shall be accompanied by evidence of his or her authority to act on behalf of all parties of the joint venture.

The Bidder shall complete that portion of the Bid form requesting a statement of the Addenda which have been received, by Addenda number and date. If no Addenda have been received, insert the word, "NONE." Failure to complete this portion of the Bid form may result in a bid being declared non-responsive at Department's option.

Each Bid shall specify in words and figures, the correct gross sum, in the manner hereafter described for which the Work shall be performed according to the Bidding Documents together with a unit price expressed in words and figures for each separate items for which such a price is required. The lowest Bid shall be determined by Department on the basis of the total sum for which the entire Work will be performed, arrived at by a correct computation of all items specified in the Bidding Documents at the prices stated in the Bid. Department reserves the right to reject any Bid in which the Bid prices appear to constitute an unbalanced Bid for the work.

In the event there is a discrepancy in any Bid between the unit prices and the extended totals, the unit prices shall govern. In the event there is a discrepancy in any Bid between the prices written in figures and the unit or lump sum prices written in words, the prices written in words shall govern. Department may reject as non-responsive bids which do not contain a price for every numbered item contained in the Bid form, or may insert a zero for every numbered item that doesn't contain a price.

Unless Department gives instructions to the contrary, the Bidder shall use no more than three decimal places in the cents column under unit Bid price items. If Bidder uses more than three decimal places without such instructions, Department may round off the Bid item to three decimal places.

The Bidder is responsible for examining supplemental information which is available for inspection, upon request, at the address for notices in Article 1 of this Section.

Department will not accept any Bid which has been transmitted electronically (e.g. via Facsimile, Telephone, Telegraph, email, text) or which has been received after the designated bid opening time except where there is evidence that the bid arrived on time, but was mishandled by the Department. A late Bid will be returned unopened with notification of the reason for non-acceptance.

Bids will only be accepted from persons or firms who have attended the mandatory Pre-Bid Conference.

***Permissible Contacts During a Procurement and Prohibition of Inappropriate Lobbying Influence*** - Pursuant to State Finance Law §§139-j and §139-k, this contract includes and imposes certain restrictions on communications between a Governmental Entity and an Offerer/Bidder during the procurement process. An Offerer/bidder is restricted from making contacts from the earliest notice of intent to solicit bids through final award and approval of the Procurement Contract by the Department of Environmental Conservation (Department) and, if applicable, Office of the State Comptroller ("restricted period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law §139-j(3)(a). Designated staff, as of the date hereof, is identified on page I-1 of Section I, Advertisement and Notice to Bidders. Department employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the Offerer/bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four (4) year period, the Offerer / Bidder is debarred from obtaining governmental Procurement Contracts. Further information about these requirements, including a copy of the new lobbying law, can be found at <http://www.ogs.state.ny.us/aboutogs/regulations/defaultAdvisoryCouncil.html> .

#### ***ARTICLE 4 - Modification or Withdrawal of Bid***

Permission will not be given to modify or explain by letter, telegram, telephone or otherwise, any Bid after it has been deposited with Department except that a Bid may be withdrawn, modified, and resubmitted prior to the date and time for opening the Bids. After such date and time, no Bid may be withdrawn by a Bidder except as provided by law, and provided further that: 1.) the Bidder files a duly signed written notice of a Bid mistake with Department within two (2) business days after the day of the Bid opening, and 2.) within three (3) business days thereafter demonstrates to the reasonable satisfaction of Department that there has been a material and substantial mistake in the preparation of the Bid. If these two conditions are not met, then the bid bond would be forfeited.

Prior to submittal of Bid, a Bidder may alter or correct a unit price, or a lump sum item, which has been entered on the Bid form by crossing out the entry, entering the new figure above or below the crossed-out entry, and initialing on the line of change. The crossing out of entries shall be with ink, or typed. All new entries and initials shall be legibly handwritten with ink, or typed. Any ambiguity arising from entries altered or corrected on the Bid Form may be cause for Department's rejection of the Bid as non-responsive.

If the Bid is made by an individual, the business address shall be given. If made by a corporation, the names and business addresses of the president, secretary and treasurer shall be given. If made by a partnership, the names and business addresses of the partners shall be given.

Department reserves the right to disqualify Bids, before or after opening, upon evidence of collusion with intent to defraud or other illegal practices upon the part of the Bidder.

All Bids submitted by an individual, a firm or partnership, a corporation or association, which submits more than one Bid for the same Work under the same or different name shall be rejected.

#### ***ARTICLE 5 - Required Bid Submittals***

The following are to be submitted within the time periods indicated. At the option of Department, failure to make or amend a submittal will constitute proof that the Bidder has abandoned all rights and interests in the contract; that the Bid Security is forfeited to Department as liquidated damages; and that the Work may be awarded to another Bidder in a manner consistent with Law.

- a) The following items are to accompany Contractor's Bid submitted to Department as required in Article 3. The applicable forms and instructions can be found in Section V – Consolidated Bid Form Acknowledgements, Article 1:
  - Bid Forms and Acknowledgments (completed and endorsed)
    - Contractor must be registered with the New York State Department of



Labor (NYSDOL) in accordance with Labor Law § 220-i, and must include their registration number on the Bid Form.

- Bid Bond or Certified Check
  - Offerer Disclosure of Prior Non-Responsibility Determinations (completed and endorsed)
  - Vendor Assurance of No Conflict of Interest or Detrimental Effect (endorsed)
  - In the case of a legally constituted joint venture, the bidders must submit a copy of the written joint venture agreement with their bid. Each member can only be part of one (1) joint venture. The agreement shall clearly define the relationship and services to be performed by each member, identify the authorized representative for each member, designate the lead principal participant, provide proof of insurance, identify percent equity share held by each member, and include any other relevant information.
    - The Bidder must also submit a statement signed by the Bidder's authorized representative acknowledging that such entities will be required to provide evidence of joint and several liability for the Bidder's obligations under the Contract. If the entity is an LLC, a statement signed by the bidder's authorized representative acknowledging that such entities will be required to provide guarantees of the Bidder's obligations under the Contract.
    - If the joint venture has not yet been legally formed, then the Bidder must submit a description of the proposed legal structure and draft copies of the underlying documents, including: a) all significant terms of the joint venture or partnership, including the rules relative to the administration of the joint venture, limited liability company or partnership, including dealing with deadlock situations; b) description of how the joint venture, limited liability company or partnership will operate administratively and technically; and c) a teaming agreement or comparable document setting forth the equity member's agreement to form the organization.
- b) The following items shall be submitted to the Project Manager within five (5) days of notification that the Bidder is the apparent low Bidder. The applicable forms and instructions can be found in Section V – Consolidated Bid Form Acknowledgements, Article 2:
- Off-Site permitted facility to receive material along with a copy of the facility's permit;
  - Plan of Operations (Work Plan) and Progress Schedule, Health and Safety Plan, Sampling Plan, and QA/QC Plan;

- Statement of Surety's intent, complete and signed by a duly authorized surety company licensed to do business in the State of New York;
  - A description of projects completed by Bidder documenting its experience in this type of work;
  - Completed NYS Vendor Responsibility Questionnaire (CCA-2) or an affidavit of no change (if appropriate). If the forms are filed using OSC's online VendRep System, a letter certifying that the forms have been so completed and submitted must be sent to the Project Manager. In the case of a joint venture, each member will be required to complete and submit a NYS Vendor Responsibility Questionnaire or an affidavit of no change (if appropriate). (Must be bound separately if submitting a paper copy of the Vendor Responsibility Questionnaire);
  - The Contractor agrees to submit an MWBE Utilization Plan and Work Force Utilization Plan either prior to or at the time of the execution of the contract. The Contractor agrees to use such MWBE Utilization Plan for the performance of MWBE's on the Contract Pursuant to the prescribed MWBE goals;
  - An Authorizing Resolution stating that a certain individual has the authority to sign the Contract on behalf of the firm;
  - Endorsed Executive Order No. 177 Certification (Anti-Discriminatory Policies and Practices);
  - Any other information that demonstrates the Bidder's ability to perform the work described herein; and
  - Low bidders may be asked to submit additional information to demonstrate competency.
- c) The following items shall be submitted to the Project Manager within 14 days from the date of the Notice of Intent to Award letter from Department. The applicable forms and instructions can be found in Section V – Consolidated Bid Form Acknowledgements, Article 3:
- Executed Agreement (four (4) endorsed originals);
  - Performance Bond with Power of Attorney & Surety Financial Statement (original and three copies);
  - Labor & Materials Bond with Power of Attorney & Surety Financial Statement (original and three copies);
  - Bid Breakdown of Items (original) (see Article 12 below);

- Certificates of Insurance (original);
- Consultant/Contractor Detailed M/WBE-EEO Utilization Plan (original). If the forms are filed using the Department's electronic M/WBE System, a letter certifying that the forms have been so completed and submitted must be sent to the Project Manager; and
- Service-Disabled Veteran-Owned Business (SDVOB) Utilization Plan (original) as detailed in Appendix D.

#### ***ARTICLE 6 - Bid Security and Bonds***

Bid Security shall be made payable to Department in an amount not less than five (5) percent (5%) of the Bidder's gross sum Bid. The Bid Security shall be in the form of either a certified or bank check upon an incorporated bank or trust company, or a Bid Bond issued by a surety satisfactory to Department.

Department will accept only Bonds from a surety company licensed to write Bonds of such character and amount under the laws of New York State and which are listed on the U.S. Treasury Department Circular 570.

Attorneys-in-fact who sign Bonds shall file with such Bonds a certified copy of their Power of Attorney to sign Bonds and to conduct business in the State of New York.

The Bid Security of a Bidder awarded a Contract for the Work will be retained until such Bidder has executed the Agreement and furnished the required bonds and insurance, whereupon the Bid Security will be returned. If the Bidder fails to execute and deliver the Agreement, other required documents and furnish the required bonds and insurance within fourteen (14) days after the Notice of Intent to Award, Department may annul the Notice of Intent to Award, and the Bid Security of that Bidder will be forfeited to Department. The Bid Security of any Bidder whom Department believes to have a reasonable chance of receiving the award may be retained by Department until the earlier of the 45th day after the Bid opening or seven (7) days after the Effective Date of the Agreement, whereupon Bid Security furnished by such Bidders will be returned. Bid Security of other Bidders will be returned after the Bid opening.

#### ***ARTICLE 7 - Approval of "or Equal" or Substitution Equipment, Systems or Items***

There shall be no approval given by Department or Engineer during the bidding period or prior to Award of Contract for any "or equal" or substitution equipment, systems or items.

#### ***ARTICLE 8 - Other Contracts and Occupancy***

Department may award other contracts in connection with this Work. Contractor shall not have exclusive occupancy of the real property within or adjacent to the limits of the Work.

In case of interference between the operations of utility owners and different contractors, Department will be the sole judge of the rights of each contractor and the sequence of work necessary to expedite the completion of the entire Project. In all such cases, Department's decision shall be accepted as final.

#### ***ARTICLE 9 - Taxes***

Department is exempt from the payment of sales and compensating use taxes of the State of New York and of cities and counties on all materials, equipment and supplies sold to Department pursuant to this Contract. Also exempt from such taxes are purchases by Contractor and its Subcontractors of materials, equipment and supplies to be sold to Department pursuant to this Contract, including tangible personal property to be incorporated in any structure, building, or other real property forming part of the Project. These taxes are therefore not to be included in the Bid. The cost of all other taxes under the Contract shall be included in the Bid prices for the several items of the Contract.

#### ***ARTICLE 10 - Experience and Financial Statements***

In accordance with New York State Executive Order No. 170, a Contract shall only be awarded to a responsible Bidder capable of performing and completing the Work in a satisfactory manner. The NYS Vendor Responsibility Questionnaire, instructions for which are included in Section V, "Bid Forms and Attachments" must be completed and submitted by the apparent low Bidder within five (5) days after the apparent low Bidder has been so notified.

Failure of the apparent low Bidder to timely submit the complete, properly executed questionnaire within five (5) days may result in disqualification.

Before Department will consent to any subcontracts at or over \$10,000, unless otherwise agreed to by the Department, the proposed subcontractor must submit the complete, properly executed "NYS Vendor Responsibility Questionnaire" through Contractor. Any delay in the progression of work caused by the failure of a subcontractor to comply with these requirements will be attributable to Contractor and any additional costs will be Contractor's responsibility.

The low Bidder shall demonstrate its responsibility to perform and complete Work by submitting a statement of its experience and the experience of any Subcontractor which the low Bidder intends to use to perform the Work. Department may require the low Bidder to further demonstrate its responsibility to perform and complete Work by submitting an additional experience and financial statement or information seven (7) days after bid opening or within seven (7) days of Department request, which shall include at a minimum, information pertaining to the Bidder's financial resources. The submitted financial information shall be certified by a Certified Public Accountant, and shall be submitted in the form required by Department. This can also apply to Contractor's Subcontractors.

In the case of a joint venture, each member must meet the experience requirements specified in Article 17 of this Section. A bid cannot be submitted by a Bidder, including a joint venture, where the Bidder or one of the members of a joint venture has less than three (3) years satisfactory experience in construction of the work to be performed, unless the Bidder or member of a joint venture is a successor in interest to a pre-existing company which meets the required minimum of three (3) years satisfactory experience in construction of the work to be performed.

All on-Site personnel are required to have 40-hour Occupational Safety and Health Administration (OSHA) training plus a current eight-hour refresher, baseline medical monitoring, plus a current yearly physical, and training and current fit testing for respirator use if applicable.

Additionally, the successful Contractor must be compliant with Section X – Standard Specifications Section 01 35 29 Contractor's Health and Safety Plan and the OSHA Standards and Regulations contained in Title 29, Code of Federal Regulations, Part 1910 and 1926 (20 CFR 1910 and 1926) and subsequent additions and/or modifications, the New York State Labor Law Section 876 (Right-to-Know Law), the Standard Operating Safety Guidelines by the United States Environmental Protection Agency (EPA), Office of Emergency and Remedial Response and the Occupational Safety and Health Guidance Manual for Hazardous Waste Site Activities (NIOSH, OSHA, USCG, and EPA) provide the basis for the safety and health program. Additional specifications within this section are in addition to OSHA regulations and reflect the positions of both the EPA and the National Institute for Occupational Safety and Health (NIOSH) regarding procedures required to ensure safe operations at abandoned hazardous waste disposal sites.

#### ***ARTICLE 11 - Preliminary Progress Schedule***

The Preliminary Progress Schedule shall consist of three (3) copies of a narrative description and a time-scaled critical path method diagram or bar chart diagram as specified in Section X – Standard Specifications Section 01 32 16, Progress Schedule. The narrative in the Preliminary Progress Schedule shall describe the order in which Bidder proposes to perform the Work pursuant to the specified Contract Time(s) and Work sequence conditions indicated in or required by the Bidding Documents. It shall also indicate proposed starting and completion dates for Work expressed in terms of days elapsed from the Notice to Proceed associated with each division of the Specifications within each major structure or geographical area of Work. Activities shall further identify significant submittals, approvals and associated deliveries, significant testing, major Department responsibilities, and responsibilities of affected utilities and third parties. The narrative shall include monthly percentages of completion for the Work in relation to the rate of progress anticipated in the Preliminary Progress Schedule.

### ***ARTICLE 12 - Bid Breakdown***

The Bid breakdown shall be submitted by the apparent low Bidder within fourteen (14) days after the date of the Notice of Intent to Award letter. Discrepancies, ambiguities or conflicts in the Bid breakdown shall be resolved in accordance with the terms and conditions set forth in Article 8.10 of Section VIII the General Conditions.

A Bidder submitting a Bid breakdown and awarded a Contract for the Work agrees and understands that those prices for separable parts of the Work disclosed on the Bid breakdown, where they are applicable and determined to be reasonable by Department may be used for the purposes of: a.) measurement and payment, b.) increase(s) or decrease(s) in the Contract Price due to adjustments in quantities to the separable parts of the Work, and c.) Change Orders or Proposed Change Orders which add or deduct like Work.

### ***ARTICLE 13 - Subsurface and Technical Information***

If boring logs and other subsurface information were made available for the inspection of Bidders, please note that such data were obtained with reasonable care and were recorded in good faith by Department, Engineer or the Design Engineer.

The soil and rock descriptions shown are as determined by a visual inspection of the samples from the various explorations unless otherwise noted. The observed water levels and/or water conditions indicated thereon are as recorded at the time of the exploration. These levels and/or conditions may vary considerably, according to the prevailing climate, rainfall and other factors, including the passage of time.

Similarly, data concerning leachate were obtained with reasonable care and recorded in good faith. The location and concentrations of leachate may vary considerably according to the prevailing climate, rainfall and other factors, including the passage of time. Bidders may rely upon accuracy of the subsurface technical data as to where (location) and when (exact time) data was obtained; but not upon non-technical data, interpretations or opinions contained therein or for the completeness thereof.

When reports showing data obtained by investigations and tests at the Site by Department, Engineer or the Design Engineer are included with the Bidding Documents, or made available to Bidders as set forth in the Bidding Documents, it is expressly understood and agreed that technical data, but not any non-technical data, interpretations or opinions contained in such reports, are incorporated by reference into the Contract Documents. Bidders may rely upon the accuracy of all such technical data contained in such reports as to where (location) and when (exact time) such technical data was obtained, unless the Bidding Documents limit any other basis upon which such technical data may be relied upon. It is further expressly understood and agreed that the use of any technical data contained in such reports is subject to all of the conditions and limitations set forth in the Bidding Documents.

Subsurface and technical information is made available to Bidders in good faith so that they may be aware of the information utilized for design and estimating purposes. Department makes no representations or warranties, express or implied, as to the completeness of this information or data, nor is such disclosure intended as a substitute for personal investigations, interpretations, and judgment of the Bidder.

#### ***ARTICLE 14 - Underground Facilities***

The locations of Underground Facilities were ascertained with reasonable care and recorded in good faith from various sources, including the records of municipal and other public service corporations, and therefore such locations may only be approximate. Department does not assume responsibility for the accuracy or completeness of such locations.

#### ***ARTICLE 15 - Examination of Bidding Documents and Site***

It is the responsibility of each Bidder, before submitting a Bid to: a.) examine the Bidding Documents thoroughly, b.) visit and visually inspect the Site during the Pre-Bid Conference required pursuant to Article 3 of Section IV, "Supplementary Bidding Information and Requirements," c.) become familiar with local conditions that may affect cost, schedule, performance or furnishing of the Work, d.) become familiar with applicable Laws that may in any manner affect cost, schedule, performance or furnishing of the Work, e.) study and carefully correlate Bidder's observations with the Bidding Documents, and f.) notify the Project Manager identified in Article 1 of this Section promptly after discovering any conflicts, ambiguities, errors or inconsistencies in the Bidding Documents.

It is the responsibility of each Bidder to obtain any additional documents, information or data which pertain to the physical conditions (surface, subsurface and Underground Facilities) at or contiguous to the Site which may affect cost, schedule, progress, performance or furnishing of the Work and which Bidder deems necessary to determine its Bid for performing and furnishing the Work in accordance with the Bidding Documents.

The submission of a Bid constitutes an incontrovertible representation by Bidder that Bidder has taken steps reasonably necessary to ascertain the nature and location of the Work, and that Bidder has investigated and accounted for in the preparation of the Bid: a.) Governmental requirements and all reasonably foreseeable general and local conditions that may affect cost, schedule, performance or furnishing of the Work. Examples of such conditions include: 1.) conditions bearing upon the transportation, disposal, handling and storage of materials, 2.) the availability and suitability of labor, water, electric power, telephone, sanitary services, and roads, 3.) weather, river stages, tides or similar conditions at or contiguous to the Site, 4.) physical conditions of the Site, and 5.) the character of equipment and facilities needed preliminary to and during Work performance, b.) character, quality and quantity of surface, subsurface and Underground Facilities at or contiguous to the Site, insofar as this information is reasonably ascertainable from the Drawings and Specifications included as part of the Bidding

Documents, from the reports referenced in the Supplementary Bid Information. and from the documents, information and data regarding physical conditions at or contiguous to the Site obtained by Bidder, and c.) Bidding Documents to be sufficient in scope and detail to indicate and convey understanding of all terms and conditions affecting cost, schedule, performance and furnishing of the Work.

Any Failure to take the actions described in this Article will not relieve that Bidder from responsibility for estimating properly the difficulty, cost of, and schedule for successfully performing the Work, or from performing the Work successfully without an increase in Contract Price or an extension in Contract Time.

Department, Engineer, or Design Engineer do not assume any responsibility for any conclusions or interpretations made by any Bidder based on the information made available by the Bidding Documents. Nor does Department, or Engineer assume any responsibility for any understanding reached or representation made concerning conditions which can affect the cost, schedule, progress, furnishing and performance of the Work prior to execution of the Contract, unless that understanding or representation is expressly stated in the Bidding Documents.

In an itemized contract, the estimate of quantities of work to be done and materials to be furnished is approximate and is given only as a basis of calculation upon which the award of the contract is to be made. Department does not assume any responsibility that the quantities estimated will be the actual quantities required; Contractor may not claim misunderstanding or deception because of such estimates of quantities or of the character of the work, location, or other condition pertaining thereto. Department may increase or diminish any or all of the quantities of work mentioned above or omit any of them, as deemed necessary or as being in the best interest of Department.

#### ***ARTICLE 16 - Subcontractors, Suppliers or Others***

Unless otherwise agreed in writing by Department, Contractor shall subcontract no more than the percentage (%) of the total cost of the work under its contract as may be provided by the Contract Documents in Article 6 of Section IV, "Supplementary Bidding Information and Requirements". Procedures for approval of Subcontractors, Suppliers or other persons or organizations, after execution of the Agreement, are set forth in the General Conditions and the Supplementary Conditions.

#### ***ARTICLE 17 - Award of Contract***

The Contract will be awarded to the lowest, responsive and responsible Bidder(s) that has prepared acceptable required submittals, in the opinion of Department, as stipulated in Article 5 of this Section.

To the extent permitted by applicable Law, Department reserves the right to reject any and all Bids, to waive any and all informalities or irregularities, to disregard all nonconforming, nonresponsive, or conditional Bids, or to re-advertise for Bids.



In order to be considered responsive, a Bid shall be completed, signed and be responsive in all respects to the Bidding Documents unless informalities are waived by Department. In order to be considered responsible, a Bidder must establish to the complete satisfaction of Department and Engineer, as a minimum, that it has adequate and satisfactory experience and financial resources to meet the obligations under the Contract and award of the Contract would be in the best interest of the State. A Bidder's prior experience shall be considered satisfactory when among other factors, its performance of prior work was timely, of good quality, in compliance with any contract requirements including contracted costs and schedule, and in compliance with applicable Law. The Bidder must have a minimum of three (3) years satisfactory experience in construction of the work to be performed. This experience must include, but not be limited to, the excavation, transportations, and handling of hazardous waste and contaminated soil/sediment. Experience must also include the handling and treatment of contaminated water generated from hazardous waste operations. For work to be deemed satisfactory, the work must have been performed with required oversight from United States Environmental Protection Agency (USEPA), Department, or an equivalent state environmental regulatory agency (i.e., New Jersey DEP, Pennsylvania DER, etc). Brownfield cleanup work qualifies for the experience requirement. The bidder cannot meet the minimum experience requirements through the use of subcontractor(s).

Department may conduct such investigations as it deems necessary to assist in the evaluation of any Bid and to establish the responsibility in terms of satisfactory experience and financial ability of the Bidder, and of any proposed subcontractors. Department may reject the Bid of any Bidder which it deems not to be responsible and may reject performance of Work by any Subcontractor which it deems is not responsible.

It is the intention of Department that the work will be awarded within 45 calendar days after the opening of bids to the lowest responsive, responsible Bidder whose bid conforms to the requirements of the Contract Documents. Bids may not be withdrawn, altered or revoked during this 45-day period except as provided by law and specified within Article 4 of this Section. Even after the expiration of such 45-day period, Department may accept a Bid and award the work to any Bidder whose bid has not been unequivocally withdrawn or revoked prior to the mailing of written Notice of the Award to the successful Bidder. For purposes of the preceding sentence, withdrawal or revocation of a Bid shall not occur until Department receives an unequivocal written statement to that effect.

#### ***ARTICLE 18 - Time is of the Essence***

Time is of the essence for the performance of Work required by the Contract Documents.

#### ***ARTICLE 19 - Applicability of Federal, State and Local Law***

Any Bid and any Contract awarded pursuant to a Bid shall be subject to and governed by applicable Law.

It is the responsibility of each Bidder to be informed of and comply with federal, state and local Laws, affecting the cost, schedule, progress, performance or furnishing of the Work. This requirement includes, but is not limited to, applicable regulations concerning minimum wages, nondiscrimination in employment, affirmative action, protection of public and employee safety and health, environmental protection, fire protection and permits, and fees and licensing.

### ***ARTICLE 20 - M/WBE and EEO Requirements***

The M/WBE and EEO provisions of Appendix B are required provisions for this contract. The Bidder is required to comply with State regulations 9NYCRR Part 543 entitled, "Requirements and Procedures Regarding Business Participation Opportunities for Minorities and Women on State Contracts."

The selected Bidder shall be required to make good-faith efforts to subcontract at least the percentage stipulated in Section VII of Appendix B, of the contract price to NYS Certified Minority Business Enterprise(s) (MBE) and Women Business Enterprise(s) (WBE), respectively.

In accordance with Executive Law Article 15-A, Department is required to make available the NYS Directory of Certified Minority and Women Owned Business Enterprises. Empire State Development has put the Minority and Women's Business Development Directory on the Internet at [www.ny.newnycontracts.com](http://www.ny.newnycontracts.com). Support will be available from 9:00 a.m. to 5:00 p.m., Monday through Friday, except for NYS holidays. If assistance is needed call (855) ESD-4MWBE or (855) 373-4692. For additional information and assistance regarding NYS Certified M/WBE's, please contact the Department's Minority and Women's Business Programs Unit at (518) 402-9240.

Pursuant to New York State Executive Law Article 15-A, and the attending rules and regulations, an approvable M/WBE Utilization Plan and Work Force Utilization Plan shall be required prior to or at the time of the execution of the Contract.

Contractor shall be required to provide equal opportunities to minorities and women with regard to all jobs necessary for the performance of work or contracts required by the project. In doing so, Contractor agrees to make good-faith efforts to employ minorities and women for at least the percentage stipulated in Section VII of Appendix B, of the work force hours required for the completion of the project. Different occupational category work force participation goals may be used to meet these overall goals for work force participation. Contractor shall not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability, or marital status, and shall undertake or continue existing programs of affirmative action to ensure that minority group persons and women are afforded equal opportunity without discrimination. Such programs shall include, but not be limited to, recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, rates of pay or other forms of compensation, and selection for training or retraining, including apprenticeship and on-the-job training.

As required by Department, Contractor shall request of each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding and which is involved in the performance of the contract with the Agency to furnish a written statement that such employment agency, labor union, or representative shall not discriminate because of race, creed, color, national origin, sex, age, disability, or marital status, and that such union or representative will cooperate in the implementation of Contractor's obligations hereunder.

Contractor shall include the provisions of Section VII of Appendix B in every subcontract or purchase order in such a manner that the subcontractor shall be required to comply with such provisions with respect to its work in conjunction with the contract with Department.

***ARTICLE 21 – Participation Requirements for New York State Certified Service-Disabled Veteran-Owned Businesses***

Article 17-B of the New York State Executive Law provides for more meaningful participation in public procurement by certified Service-Disabled Veteran-Owned Businesses (SDVOBs), thereby further integrating such businesses into New York State's economy. The Department recognizes the need to promote the employment of service-disabled veterans and to ensure that certified service-disabled veteran-owned businesses have opportunities for maximum feasible participation in the performance of Department contracts.

In recognition of the service and sacrifices made by service-disabled veterans and in recognition of their economic activity in doing business in New York State, Bidders are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the Contract. Such participation may be as subcontractors or suppliers, as protégés, or in other partnering or supporting roles. To obtain more information regarding the utilization of SDVOBs including how to find and contact them, please use the contact information below or go to the Division of Service Disabled Veteran's Business Development (DSDVBD) website at: <https://ogs.ny.gov/veterans>.

The contractor must make good faith efforts to subcontract a goal of six (6) percent (%) of the contract amount to New York State Certified Service-Disabled Veteran-Owned Businesses (SDVOBs), for purposes of providing meaningful participation by SDVOBs. Appendix D further defines the SDVOB provisions required by Executive Law, Article 17B.

***ARTICLE 22 - Permissible Contacts During a Procurement and Prohibition of Inappropriate Lobbying Influence***

Chapter 1 of the Laws of 2005, as amended by Chapter 596 of the Laws of 2005 (collectively referred to as the "Lobbying Law"), makes major changes to the Legislative Law and State Finance Law relative to lobbying on government procurements. More specifically, the Lobbying Law creates two new sections in the State Finance Law: Section

139-j addresses restrictions on “contacts” during the procurement process; and Section 139-k addresses the disclosure of contacts and the responsibility of offerer(s)<sup>1</sup> during the procurement process. The Lobbying Law applies to all procurements initiated on or after January 1, 2006. In this regard, a procurement means a contract or agreement involving an annual expenditure in excess of \$15,000 for a commodity, service, technology, public work, or construction; purchase, sale or lease of real property; or revenue contract.

In conformity with the Lobbying Law, during a procurement’s restricted period<sup>2</sup> the only New York State Department of Environmental Conservation (Department) officer(s) or employee(s) that the offerer may “contact” is/are the Department designated contact person(s) for that procurement. In this regard, “contact” means any oral, written, or electronic communication under circumstances where a reasonable person would infer that the communication was intended to influence a procurement. Exceptions to this rule include:

- submission of a written proposal in response to an RFP, IFB or any other solicitation method;
- submission of written questions as part of an RFP, IFB or other solicitation method where all written questions and written responses will be provided to all offerer(s);
- participation in a pre-proposal or pre-bid conference scheduled as part of an RFP, IFB or other solicitation process;
- written complaints by an offerer that the Department designated contact for a procurement fails to respond to in a timely manner;
- negotiations with the Department following tentative award;
- contacts between designated Department staff and offerer to request the review of a contract award; and
- communications with the Department regarding an appeal, protest or other review of a procurement, participation in an administrative or judicial proceeding regarding a procurement, and complaints regarding a procurement made to the Attorney General, Inspector General, District Attorney, or State Comptroller.

An offerer shall not, under any circumstances, attempt to influence a Department procurement in a way that violates or attempts to violate: Public Officers Law Section 73(5), relating to gifts intended to influence; or Public Officers Law Section 74, relating to the code of ethics for employees of state agencies, public authorities and public benefit corporations, members of the New York State Legislature, and Legislative employees.

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<sup>1</sup> Individual or entity, or any employee, agent, consultant or person acting on behalf of such individual or entity, that contacts the Department about a procurement during the restricted period.

<sup>2</sup> The period of time commencing with the earliest public notice, advertisement or solicitation of a Request for Proposals (RFP), Invitation for Bids (IFB), solicitation of proposals or any other method for soliciting responses from offerers intending to result in a procurement contract by the Department, and ending with the final contract award and approval by the Department, and the Office of the State Comptroller (if required).

An offerer who contacts the Department designated contact person for a procurement during the restricted period must be prepared to provide the following information: name, address, telephone number, place of principal employment and occupation of the person or organization making the contact, and whether the person/organization making the contact is the offerer or is retained, employed or designated by or on behalf of the offerer to appear before or contact the Department about the procurement.

An offerer that submits a proposal, bid or other response to a Department RFP, IFB or other solicitation method must: certify that it understands and agrees to comply with these guidelines regarding permissible contacts during a procurement and the prohibition of inappropriate lobbying influence; and disclose whether any governmental entity has, within the prior four years, found the offerer non-responsible due to a violation of the Lobbying Law or the intentional provision of false or incomplete information. Further, all Department procurement contracts will contain: a certification by the offerer that all information provided to the Department with respect to the Lobbying Law is complete, true and accurate; and a provision authorizing the Department to terminate the contract in the event such information is found to be intentionally false or incomplete.

The Department will investigate all allegations of violations of the Department guidelines regarding permissible contacts during a procurement and the prohibition of inappropriate lobbying influence. A finding that an offerer has knowingly and willfully committed such a violation may result in a determination that the offerer and its subsidiaries are non-responsible and therefore ineligible for award of the procurement contract. A second determination of non-responsibility for such a violation within four (4) years of the first such determination may render the offerer and its subsidiaries ineligible to submit a bid or proposal or be awarded a procurement contract for four (4) years from the date of the second determination. The Department will notify the New York State Office of General Services (OGS) of any determination of non-responsibility or debarments due to violations of the Lobbying Law.

If you require further guidance on the new Lobbying Law, you are encouraged to visit the Advisory Council on Procurement Lobbying website at the following address: <https://ogs.ny.gov/acpl>, where Frequently Asked Questions (FAQ's) and answers adopted by the council have been posted. A copy of the new Procurement Lobbying Law is also available on this website.

### ***ARTICLE 23 – Diesel Emissions Reduction Act 2006***

In 2007, New York State passed legislation establishing the Diesel Emissions Reduction Act 2006 (DERA). This Act amended the Environmental Conservation Law (ECL) by adding Section 19-0323 which requires the use of best available retrofit technology (BART) and ultra-low sulfur diesel fuel (ULSD) for heavy duty vehicles owned or operated by, including on behalf of, state agencies and state or regional public authorities. The Department has promulgated regulations (6 NYCRR Part 248) to provide guidance on provisions of the law. The regulations may be found on the Department's website at <http://www.dec.ny.gov/regs/2492.html>.

The Contractor must comply with the specifications and provisions of ECL Section 19-0323 and 6 NYCRR Part 248, which require the use of Best Available Retrofit Technology (BART) and Ultra Low Sulfur Diesel (ULSD), unless specifically waived by the Department. Qualifications for a waiver under this law will be the responsibility of the Contractor.

***ARTICLE 24 – Environmental Protection Fund Acknowledgment***

If applicable, in recognition of a portion of the Department funds utilized for any work completed under this Contract, the Contractor agrees to acknowledge in any communication to the public, that such funding was provided from the Environmental Protection Fund as administered by the New York State Department of Environmental Conservation.

***Article 25 – Executive Order 177***

Executive Order No. 177, Prohibiting State Contracts with Entities that Support Discrimination, orders that New York State's government will not do business with entities that promote or tolerate discrimination or infringement on the civil rights and liberties of New Yorkers. New York State is dedicated to ensuring that all individuals are treated equally, regardless of their age, race, creed, color, national origin, sexual orientation, gender identity, military status, sex, marital status, disability, or other protected basis. To that end, New York has enacted numerous laws, regulations, and policies, and will continue to aggressively enforce its strong protections against discrimination to the maximum extent allowable by law.

In order to comply with this order, the Contractor is required to complete the Executive Order No. 177 Certification which certifies that it does not have institutional policies or practices that fail to address the harassment and discrimination of individuals on the basis of their age, race, creed, color, national origin, sex, sexual orientation, gender identity, disability, marital status, military status, or other protected status under the Human Rights Law.

## **SECTION IV**

### ***Supplementary Bidding Information and Requirements***

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## SECTION IV

### ***Supplementary Bidding Information and Requirements***

#### ***ARTICLE 1 - Location and Description of Project***

The Site Number of this project is 558035. The Project is located on the east side of County Route 26, in the Town of Granville, Washington County, New York. Access to the Site is from the County Route 26, entrance as shown on the drawings.

The project involves the implementation of remedial activities at the Katzman Recycling Site, located at 24 County Route 26, Granville, New York. These activities include, but are not necessarily limited to: removal of asbestos containing material and debris; excavation of PCB contaminated material and debris; excavation dewatering; water handling, treatment, and discharge; loading, transport, and off-Site disposal of excavated material and debris; backfilling; and Site restoration.

#### ***ARTICLE 2 - Department Representatives***

Project Manager – Brianna Scharf, NYSDEC Division of Environmental Remediation, 625 Broadway, 12th Floor, Albany, New York 12233-7017, [Brianna.Scharf@dec.ny.gov](mailto:Brianna.Scharf@dec.ny.gov).

Section Chief – Samantha Salotto, PE, Remedial Section C, Remedial Bureau E, NYSDEC Division of Environmental Remediation, 625 Broadway, 12th Floor, Albany, New York 12233-7017, [Samantha.Salotto@dec.ny.gov](mailto:Samantha.Salotto@dec.ny.gov).

Designated Representative to Solve Disputes – Andy Guglielmi, Director, NYSDEC Division of Environmental Remediation, 625 Broadway, 12th Floor, Albany, New York 12233-7017, [Andy.Guglielmi@dec.ny.gov](mailto:Andy.Guglielmi@dec.ny.gov).

Engineer – Kevin Sullivan, PE, TRC Engineers, Inc., 1090 Union Road, Suite 280, West Seneca, New York 14224, [KSullivan@TRCcompanies.com](mailto:KSullivan@TRCcompanies.com).

#### ***ARTICLE 3 - Pre-Bid Conference***

A Pre-Bid Conference will be held on March 13, 2025, at the Project Site located at 24 County Road 26, Granville, NY 12832, at the time of 10:00 AM Eastern Standard Time to view the Project area. The Pre-Bid Conference is held to discuss the requirements of the Bidding Documents, the protocols for performing the work, the conditions existing at the work site, and to provide for visual inspection of the Site by Bidders. Bidders will be required to sign an attendance sheet to document their presence at the mandatory Pre-Bid Conference. **Department will accept Bids only from those bidders who attend the Pre-Bid Conference, attendance is mandatory as a condition of Bid.**

#### **ARTICLE 4 - Additional Bid Submittals**

Experience in performance of the Scope of Work (SOW) and in accordance with Section IX – Supplementary Conditions, Part 1.2 – Items Amended.

- A. The NYSDEC reminds the Bidders of the requirements set forth in the Contract Specifications, per Section 3 – Bidding Information and Requirements, Article 17 - Award of Contract, Page III-12, Paragraph 4, that a Bidder must have adequate and satisfactory experience and the financial resources to meet the obligations under the Contract. This experience must include on projects of similar size:
- Excavation and removal of asbestos containing material and debris (ACM).
  - Excavation and management of PCB contaminated material and debris, including compliance with the related requirements of the Toxic Substances Control Act (TSCA).
  - Excavation dewatering and water pumping and treatment system operation.
  - Equipment decontamination.
  - Handling, preparation, packaging, manifesting, and transportation of ACM, TSCA-contaminated materials and debris, and RCRA hazardous (metals) and non-hazardous contaminated material and debris.
  - Dewatering and water management, including handling and treatment of contaminated water from hazardous waste operations.
  - Confirmation and post-excavation sampling and analysis for ACM and PCB contaminated materials removal.
- B. For work to be deemed satisfactory, the work must have been performed with required oversight from USEPA, NYSDEC, or an equivalent environmental regulatory state agency (e.g., New York DOL, etc.).
- C. As identified in the Contract Documents, the Bidder is the person, partnership, corporation, joint venture or other combination thereof, who has submitted a Bid.
- D. In the case of a joint venture, the Bidder must submit a copy of the written joint venture agreement with the bid. Each member can only be part of one (1) joint venture. The agreement should define the relationship between the entities and responsibilities of and services to be performed by each member, identify the authorized representative for each member, designate a lead member, provide proof of insurance and include any other relevant information.
- E. Bids of a joint venture by Bidders signed by an agent or attorney-in-fact for the joint venture shall be accompanied by evidence of his or her authority to act on behalf of all members of the joint ventures. Joint ventures are limited to two (2) members and each member can only be a part of one (1) joint venture.

- F. A bid cannot be submitted by a Bidder, including a joint venture, where the Bidder or one of the members of the joint venture has less than three years of experience, but consists of principles and/or staff with more than three years of experience, unless the Bidder or member of a joint venture is a successor in interest to a pre-existing company which meets the required minimum of three years of experience.
- G. The Contract Documents include additional requirements for joint ventures.

### ***ARTICLE 5 - Other Available Documents***

The following items are available for contractor's use in preparing the Bid:

- Limited Asbestos Survey Report, August 2022
- Basis of Design Report, March 2024
- Summary of Waste Characterization Sampling Program, memorandum dated February 5, 2025.
- Site aerial photographs
- Environmental Site Database Records – Katzman Recycling Site, including:
  - Remedial Investigation Report, July 2018
  - Focused Feasibility Study Report, August 2018
- DECinfo Locator: <https://extapps.dec.ny.gov/data/DecDocs/558035/>

### ***ARTICLE 6 - Subcontracting***

The maximum subcontracting allowed for this contract is forty percent (40%) unless a higher percentage is approved by Department in writing.

### ***ARTICLE 7 - Type of Schedule***

Contractor shall provide a Critical Path Method (CPM) type of schedule as described in Section X, Spec 01 32 16 - Progress Schedule.

### ***ARTICLE 8 - Wage Rates***

The Department requires, for the work under this Contract, that the Contractor and its subcontractor pay at least the prevailing wage rate and pay or provide the prevailing supplements, including premium rates for overtime pay, as issued by the State Labor Department. The current wage rates are included within the Contract Documents, Section XIII – Wage Rates and Associated Contract Requirements.

The Contractor is responsible for any additional costs related to new determinations of the wage rates. The annual determination of the prevailing rates of wages and supplements are usually published on May 31<sup>st</sup> of each year and are in effect July 1<sup>st</sup> through June 30<sup>th</sup>. New determinations will supersede the original schedule or any prior issued annual determination. Any rate change from a previously issued determination

becomes effective July 1<sup>st</sup>, regardless of whether the new determination has been received by the Contractor.

Every contractor and subcontractor shall submit to the Engineer within thirty days after issuance of its first payroll, and every thirty days thereafter, a transcript of the original payroll records, subscribed and affirmed as true under penalty of perjury, as provided by Article 8, Section 220, of the NYS Labor Law. The Engineer shall receive and maintain such payroll records. The original payrolls and transcripts must be preserved for three (3) years from the date of completion of the project. The current prevailing wage rate schedule must be posted in a prominent and accessible place on the site of the public work project.

#### ***ARTICLE 9 – Section III, Article 5***

As identified in the Contract Documents, the Bidder is the person, partnership, corporation, joint venture or other combination thereof, who has submitted a Bid.

Bids of a joint venture by Bidders signed by an agent or attorney-in-fact for the joint venture shall be accompanied by evidence of his or her authority to act on behalf of all members of the joint ventures. Joint ventures are limited to two (2) members and each member can only be a part of one (1) joint venture.

A bid cannot be submitted by a Bidder, including a joint venture, where the Bidder or one of the members of the joint venture has less than three years of experience, but consists of principles and/or staff with more than three years of experience, unless the Bidder or member of a joint venture is a successor in interest to a pre-existing company which meets the required minimum of three years of experience.

#### ***ARTICLE 10 – Section III, Article 17***

The Department reminds Bidders of the requirements set forth in the identified Section and Article; the Bidder must have a minimum of three (3) years of satisfactory experience in construction of the work to be performed. This experience must include on projects of similar size:

1. Excavation and management of asbestos containing material and debris (ACM).
2. Excavation and management of PCB contaminated material and debris including compliance with the related requirements of the Toxic Substances Control Act (TSCA).
3. Excavation dewatering and water pumping and treatment system operation.
4. Equipment decontamination.
5. Handling, preparation, packaging, manifesting, and transportation of ACM, TSCA-contaminated materials and debris, and RCRA hazardous (metals) and non-hazardous contaminated material and debris.

6. Dewatering and water management, including handling and treatment of contaminated water from hazardous waste operations.
7. Confirmation and post-excavation sampling and analysis for ACM and PCB contaminated materials removal.

For work to be deemed satisfactory, the work must have been performed with required oversight from USEPA, NYSDEC, or an equivalent environmental regulatory state agency (e.g., New York DOL, etc.). Brownfield cleanup work qualifies for the experience requirement. The Bidder cannot meet the minimum experience requirements through the use of subcontractor(s).

#### **ARTICLE 11 – Bid Protest Guidelines**

The intent and purpose of these guidelines is to set forth the procedure to be utilized when an interested party challenges a contract bid award solicited by the Division of Environmental Remediation and routed to the Office of the State Comptroller (OSC) for approval pursuant to the provisions of Section 112 of the State Finance Law.

The protestor is responsible for complying with the restrictions on “contacts” under the Procurement Lobbying Law (State Finance Law, Section 139-j). All protests must be submitted to the Designated Department Contact listed in the Contract Documents.

1. The bid protest must be submitted within ten (10) Business days of the Department’s Notification of Intent to Award letter being sent to the apparent low bidder.
2. The bid protest must be submitted in writing and must contain specific factual and/or legal allegations setting forth the basis on which the protesting party challenges the contract award. The notice of protest must be filed by the signatory of the bid or by an attorney representing the bidder. Any filing deadlines may be waived by the Department at its own discretion.
3. The Designated Department Contact will promptly submit the notice of protest, a bid protest summary and relevant bid documents to the Division of Management and Budget Services and the Office of General Counsel (OGC).
4. Once the formal notice of protest is filed, the Department, at its sole discretion, may continue or suspend the contract award process until the protest is resolved and a final Department determination is made.
5. As set forth in Section III, Article 17, of the Contract Documents, the Department reserves the right to reject any and all bids, to waive any and all informalities or irregularities, to disregard all nonconforming, nonresponsive, or conditional Bids, or to re-advertise for bids.

## **SECTION V**

### ***Bid Forms and Acknowledgements***

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**SECTION V*****Bid Forms and Acknowledgements***

**Site Name: Katzman Recycling Site**  
**Site Number: 558035**

***Article 1 – Items Submitted With Bid******ARTICLE 1(a) - Contract Bid Form and Acknowledgment for Remedial Action at the Katzman Recycling Site.***

The Bidder hereby declares that either personally or through authorized representative(s), Bidder has carefully examined all Bidding Documents and has personally or through authorized representative(s) inspected the actual location of the work, together with the local sources of supply; and understands all terms and conditions of Bidding Documents. Bidder further understands that in signing this Bid, the right to plead any misunderstanding regarding the same is waived.

Pursuant to and in compliance with the Bidding Documents, the Bidder hereby offers to furnish all labor, materials, supplies, equipment and other facilities and appurtenances, necessary or proper for, or incidental to, the construction and completion of this Contract, as required by and in strict compliance with the applicable provisions of all Contract Documents, for the following unit and/or lump sum prices.

The undersigned shall meet the required submittal time periods listed in Article 5 - Required Bid Submittals of Section III - Bidding Information and Requirements.

The undersigned hereby designates the following office as the office to which such Notice of Intent to Award and Notice of Award may be emailed, mailed, or delivered:

|                        |  |
|------------------------|--|
| Attention:             |  |
| Company Name:          |  |
| Street Address:        |  |
| City, State, Zip (+4): |  |
| Email Address:         |  |
| Phone Number:          |  |



***Bid Form***  
***New York State Department of Environmental Conservation***  
***Katzman Recycling Site***  
***Contract No. D013322, Site No. 558035***

**LUMP SUM ITEMS**

| <b><i>Bid Item<br/>No.</i></b> | <b><i>Description</i></b>                                      | <b><i>Unit</i></b> | <b><i>Estimated<br/>Quantity</i></b> | <b><i>Unit or Lump Sum Price</i></b> |                       | <b><i>Total<br/>Amount (\$)</i></b> |
|--------------------------------|--|--------------------|--------------------------------------|--------------------------------------|-----------------------|-------------------------------------|
|                                |  |                    |                                      | <b><i>Words</i></b>                  | <b><i>Figures</i></b> |                                     |
| LS-1                           | Mobilization and Demobilization                                | LS                 | 1                                    |                                      |                       |                                     |
| LS-2                           | Removal and Disposal of Asbestos<br>Containing Soil and Debris | LS                 | 1                                    |                                      |                       |                                     |
| LS-3                           | Dewatering and Water Treatment                                 | LS                 | 1                                    |                                      |                       |                                     |
| LS-4                           | Monitoring Well Decommissioning                                | LS                 | 1                                    |                                      |                       |                                     |
| LS-5                           | Site Restoration   | LS                 | 1                                    |                                      |                       |                                     |

**UNIT PRICE ITEMS**

| <b><i>Bid Item<br/>No.</i></b> | <b><i>Description</i></b> | <b><i>Unit</i></b> | <b><i>Estimated<br/>Quantity</i></b> | <b><i>Unit or Lump Sum Price</i></b> |                       | <b><i>Total<br/>Amount (\$)</i></b> |
|--------------------------------|---------------------------|--------------------|--------------------------------------|--------------------------------------|-----------------------|-------------------------------------|
|                                |                           |                    |                                      | <b><i>Words</i></b>                  | <b><i>Figures</i></b> |                                     |
| UP-1                           | Site Services             | Day                | 270                                  |                                      |                       |                                     |

| <b>Bid Item No.</b>                                     | <b>Description</b>  | <b>Unit</b> | <b>Estimated Quantity</b> | <b>Unit or Lump Sum Price</b> |                | <b>Total Amount (\$)</b> |
|---|---|-------------|---------------------------|-------------------------------|----------------|--------------------------|
|   |   |             |                           | <b>Words</b>                  | <b>Figures</b> |                          |
| UP-2  | Health and Safety Services  | Day         | 205                       |                               |                |                          |
| UP-3  | Excavation and Management of Soil and Debris  | CY          | 19,600                    |                               |                |                          |
| UP-4  | Loading, Transportation, and Off-Site Disposal of TSCA Soil and Debris (Non-Hazardous for Metals)     | Ton         | 2,890                     |                               |                |                          |
| UP-5  | Loading, Transportation, and Off-Site Disposal of TSCA Soil and Debris (Hazardous for Metals)         | Ton         | 6,410                     |                               |                |                          |
| UP-6  | Loading, Transportation, and Off-Site Disposal of Non-TSCA Soil and Debris (Non-Hazardous for Metals) | Ton         | 13,170                    |                               |                |                          |
| UP-7  | Loading, Transportation, and Off-Site Disposal of Non-TSCA Soil and Debris (Hazardous for Metals)     | Ton         | 10,730                    |                               |                |                          |
| UP-8  | Winter Shutdown   | Day         | 98                        |                               |                |                          |
| UP-9  | Post-Excavation Sampling and Analysis   | Each        | 300                       |                               |                |                          |
| UP-10   | Furnish and Place Clean Fill and Topsoil  | CY          | 7,600                     |                               |                |                          |
| <b>Grand Total Bid:</b> \$ _____<br>(Please in figures) |   |             |                           |                               |                |                          |

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**Contractor Authorized Representative**


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**Contractor Name**


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**Date**



**ARTICLE 1(b) Bidder's/Proposer's Certification**

**Non-Collusive Bidding and Nondiscrimination in Employment in Northern Ireland MacBride Fair Employment Principles and State Ethics Law Principles and Procurement Lobbying Law**

**BY SUBMISSION OF THIS BID/PROPOSAL, AND BY SIGNING HEREUNDER THE BIDDER/ PROPOSER, AND EACH PERSON SIGNING ON BEHALF OF SUCH PARTY CERTIFIES, AND IN THE CASE OF A JOINT BID/PROPOSAL, EACH PARTY THERETO CERTIFIES AS TO ITS OWN ORGANIZATION, UNDER PENALTY OF PERJURY, THAT TO THE BEST OF HIS/HER KNOWLEDGE AND BELIEF:**

**A. Non Collusion, State Finance Law §139-d**

- 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 Bidder or with any 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 prior to opening, directly or indirectly, to any other Bidder or to any 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.

**B. MacBride Fair Employment Principles, State Finance Law §165(5)**

- 1) it or any individual or legal entity in which the Bidder/Proposer holds a ten-percent (10%) or greater ownership interest, or any individual or legal entity that holds a 10% or greater ownership in the Bidder/Proposer, either: (answer yes or no to one or both of the following, as applicable).

- 2) Has business operations in Northern Ireland:

Yes ☐ or No ☐ (check answer) If yes, complete #3

- 3) Shall take lawful steps in good faith to conduct any business operations that it has in Northern Ireland in accordance with the MacBride Fair Employment Principles relating to non-discrimination in employment and freedom of workplace opportunity, regarding such operations in Northern Ireland and shall permit independent monitoring of its compliance with such Principles.

Yes ☐ or No ☐ (check answer)

**C. State Ethics Law Provision**

By submittal of this bid, the undersigned hereby certifies, for and on behalf of the bidder, that he is familiar with the following provisions of the State Ethics Law provisions applicable to post employment restrictions affecting former state employees: POL §73(8)(a)(i) the two year ban, and §73(8)(a)(ii), the life time bar, and that submittal of this bid is not in violation of either provision, and that no violation will occur by entering into a contract or in performance of the contractual services, and further that the bidder recognizes that the Department may rely upon this certification.

Except as follows: (attach information if needed)

(Bidder/Proposer is to make full disclosure of any circumstances which could affect its ability to perform in complete compliance with the cited laws. Any questions as to the applicability of these provisions should be addressed to the New York State Joint Commission on Public Ethics, 540 Broadway, Albany, NY 12207 or by phone (518) 408-3976.

**D. Procurement Lobbying Affirmation**

The Undersigned affirms that it understands and agrees to comply with the procedures of the New York State Department of Environmental Conservation relative to permissible contacts as required by State Finance Law §139-j (3) and §139-j (6) (b).

\_\_\_\_\_  
Print Name, Title

\_\_\_\_\_  
Signature, Date

***ARTICLE 1(c) – Bid Security (Page to Attach)***

If Bid Security is a Bid Bond, use Bid Bond form and provide certified power of attorney.

**ARTICLE 1(d) - Bid Bond**

Know all men by these presents, that we, the undersigned \_\_\_\_\_, as Principal, and \_\_\_\_\_, as Surety, are hereby held and firmly bound unto New York State Department of Environmental Conservation in the penal sum of \_\_\_\_\_ for the payment of which, will and truly to be made, we hereby jointly and severally bind ourselves, our heirs, executors, administrators, successors and assigns. Signed this \_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_.

The condition of the above obligation is such that whereas the Principal has submitted to New York State Department of Environmental Conservation certain Bid, attached hereto and hereby made a part hereof to enter into a contract in writing, for the Remedial Action, Katzman Recycling Site, Contract No. D013322, Site No. 558035

**Now, Therefore**

- a) If said Bid shall be rejected, or in the alternate,
- b) If said Bid shall be accepted and the principal shall execute and deliver a contract in the Form of Contract attached hereto (properly completed in accordance with said Bid) and shall furnish a bond for the faithful performance of said contract, and for the payment of all persons performing labor or furnishing materials in connection therewith, and shall in all other respects perform the agreement created by the acceptance of said Bid.

Then this obligation shall be void, otherwise the same shall remain in force and effect; it being expressly understood and agreed that the liability of the Surety for any and all claims hereunder shall, in no event, exceed the penal amount of this obligation as herein stated.

The Surety, for value received, hereby stipulates and agrees that the obligation of said Surety and its bond shall be in no way impaired or affected by any extension of the time within which the Owner may accept such Bids; and said Surety does hereby waive notice of any such extension.

IN WITNESS WHEREOF, the Principal and the Surety have hereunto set their hands and seals, and such of them as are corporations have caused their corporate seals to be hereto affixed and these presents to be signed by their proper officers, the day and year first set forth above.

**Corporate Seal(s) – Principal & Surety**  
(If no seal, write "No Seal" and sign)

**By** \_\_\_\_\_  
Principal (Print Name and Title)

\_\_\_\_\_  
Principal (Signature and Date)

**By** \_\_\_\_\_  
Surety (Print Name and Title)

\_\_\_\_\_  
Surety (Signature and Date)





**ARTICLE 1(e) - Offerer Disclosure of Prior Non-Responsibility Determinations**  
**(Page 1 of 2)**

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

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

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

Name and Title of Person Submitting this Form:

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

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

Contract Procurement Number: D012180

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

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

Yes ☐ No ☐ (If yes, answer questions 2.– 4., if no, go to question 5.)

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

Yes ☐ No ☐

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

Yes ☐ No ☐

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

Governmental Entity: \_\_\_\_\_

Date of Finding of Non-responsibility: \_\_\_\_\_

Basis of Finding of Non-Responsibility: Provide details under separate cover, endorse, date and provide marked as Supplement to Article 1(e).

**ARTICLE 1(e) - Offerer Disclosure of Prior Non-Responsibility Determinations**  
**(Page 2 of 2)**

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

Yes ☐ No ☐ (If yes, provide details below.)

Governmental Entity: \_\_\_\_\_

Date of Termination or Withholding of Contract: \_\_\_\_\_

Basis of Termination or Withholding: Provide details under separate cover, endorse, date and provide marked as Supplement to Article 1(e).

**Offerer Certification:**

Offerer certifies that all information provided to the New York State Department of Environmental Conservation with respect to State Finance Law §139-k is complete, true and accurate.

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

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

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

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

**This form must be signed by an authorized executive or legal representative and returned with the bid/proposal.**

**ARTICLE 1(f) – Vendor Assurance of No Conflict of Interest or Detrimental Effect**  
**(Page 1 of 2)**

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

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

1. The fulfillment of obligations by the Firm, as proposed in the response, does not violate any existing contracts or agreements between the Firm and the State;
2. The fulfillment of obligations by the Firm, as proposed in the response, does not and will not create any conflict of interest, or perception thereof, with any current role or responsibility that the Firm has with regard to any existing contracts or agreements between the Firm and the State;
3. The fulfillment of obligations by the Firm, as proposed in the response, does not and will not compromise the Firm's ability to carry out its obligations under any existing contracts between the Firm and the State;
4. The fulfillment of any other contractual obligations that the Firm has with the State will not affect or influence its ability to perform under any contract with the State resulting from this Procurement;
5. During the negotiation and execution of any contract resulting from this Procurement, the Firm will not knowingly take any action or make any decision which creates a potential for conflict of interest or might cause a detrimental impact to the State as a whole including, but not limited to, any action or decision to divert resources from one State project to another;
6. In fulfilling obligations under each of its State contracts, including any contract which results from this Procurement, the Firm will act in accordance with the terms of each of its State contracts and will not knowingly take any action or make any decision which might cause a detrimental impact to the State as a whole including, but not limited to, any action or decision to divert resources from one State project to another;
7. No former officer or employee of the State who is now employed by the Firm, nor any former officer or employee of the Firm who is now employed by the State, has played a role with regard to the administration of this contract procurement in a manner that may violate section 73(8)(a) of the State Ethics Law; and

**ARTICLE 1(f) – Vendor Assurance of No Conflict of Interest or Detrimental Effect**  
**(Page 2 of 2)**

8. The Firm has not and shall not offer to any employee, member or director of the State any gift, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence said employee, member or director, or could reasonably be expected to influence said employee, member or director, in the performance of the official duty of said employee, member or director or was intended as a reward for any official action on the part of said employee, member or director.

Firms responding to this Procurement/Contract should note that the State recognizes that conflicts may occur in the future because a Firm may have existing or new relationships.

The State will review the nature of any such new relationship and reserves the right to terminate the contract for cause if, in its judgment, a real or potential conflict of interest cannot be cured.

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

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

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

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

**This form must be signed by an authorized executive or legal representative and returned with the bid/proposal.**

## **Article 2 – Forms Submitted by Apparent Low Bidder 5 Days After Notification**

### **ARTICLE 2(a) - Statement of Surety's Intent**

To: **New York State Department of Environmental Conservation**

We have reviewed the Bid of:

\_\_\_\_\_  
(Contractor)

Having its place of business at:

\_\_\_\_\_  
(Address)

For the Project:

\_\_\_\_\_  
Remedial Action, Katzman Recycling Site, Site Number : 558035

Bids for which will be received on \_\_\_\_\_ (Bid Opening Date) and wish to advise that should this Bid of Contractor be accepted and the Contract awarded to Contractor, it is our present intention to become surety on the Performance Bond and Labor and Material Payment Bond required by the Contract.

Any arrangement for the Bonds required by the Contract is a matter between Contractor and ourselves and we assume no liability to Department or third parties if for any reason we do not execute the requisite bonds.

We, the undersigned, are duly licensed to do business in the State of New York.

### **Attest, and Attach Power of Attorney:**

#### **Corporate Seal**

(If no seal, write "No Seal" and sign)

\_\_\_\_\_  
**Surety Name, Title**

\_\_\_\_\_  
**Surety's Authorized Signature(s), Date**

\_\_\_\_\_  
**Telephone Number and email address for Bonding Company**

\_\_\_\_\_  
**Telephone Number and email address for Bonding Broker**

***Article 2(b) - M/WBE-EEO Utilization Plan and Work Force Utilization***

Contractor must submit M/WBE-EEO Utilization Plan after being issued Notice of Intent to Award in accordance with Article 5c. of Section III. Quarterly reporting is required throughout the term of the contract and Contractors will receive quarterly reminders from the M/WBE-EEO compliance unit.

Contractors are invited to file the required forms online or may choose to complete and submit paper forms. Instructions are available at: <http://www.dec.ny.gov/about/48854.html>

If submitting paper forms, The M/WBE-EEO Utilization Plan and/or quarterly reports shall be sent directly to:

NYS Department of Environmental Conservation  
Division of Management and Budget Services  
Minority and Women's Business Programs Unit  
625 Broadway, 10<sup>th</sup> Floor  
Albany, New York 12233-5028

Contractors opting to file electronic forms can obtain the appropriate forms from the website. The Contractor will be able to amend the forms either online, through the quarterly report process, or by contacting the M/WBE-EEO compliance specialist.

***M/WBE Directory on the Internet***

Empire State Development has put the Minority and Women-Owned Business Directory on the Internet. The Internet address is <https://ny.newnycontracts.com/>. Support will be available from 9:00 a.m. to 5:00 p.m., Monday through Friday, except for NYS holidays. If assistance is needed, call (855)-ESD-4MWBE or (855)-373-4692.

**Article 2 (c) - Instructions for Completing the New York State Vendor Responsibility Questionnaire CCA-2**

**- Please Read Before Completing Questionnaire -**

Contractors must submit a Vendor Responsibility Questionnaire CCA-2 form after being announced the low bidder for any competitively bid contract of \$10,000 or more, or when proposed for subcontract work valued at \$10,000 or more. The Department may require additional information deemed necessary for its review.

Contractors are invited to file the required Vendor Responsibility Questionnaire online via the New York State VendRep System or may choose to complete and submit a paper questionnaire. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at: <https://www.osc.state.ny.us/state-vendors/vendrep/vendrep-system> or go directly to the VendRep System online at <https://onlineservices.osc.state.ny.us/Enrollment/login?0>. For direct VendRep System user assistance, the Office of the State Comptroller's Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at [helpdesk@osc.state.ny.us](mailto:helpdesk@osc.state.ny.us). Contractors opting to file a paper questionnaire can obtain the appropriate questionnaire from the VendRep website [www.osc.state.ny.us/vendrep](http://www.osc.state.ny.us/vendrep) or contact the Office of the State Comptroller's Help Desk.

The enrollment process in the VendRep System can take several days. Contractors are encouraged to enroll prior to submitting bids to ensure meeting the timeframes for certification.

Contractors electing to file the Vendor Responsibility Questionnaire online shall certify to the Department, via a letter, within the timeframe designated in the Instructions to Bidders, that the questionnaire has been updated. The Contractor will be able to supply any additional information requested by the Department, by updating the online questionnaire and notifying the Department via letter, that it has been recertified.

Throughout the contract term, the Contractor is required to notify the Department in writing of any changes in Contractor's vendor responsibility disclosure related to the Contractor commencing bankruptcy proceedings; filings against the Contractor for relief under bankruptcy; Contractor making general assessment for benefit of creditors; a Court appointing a party to take charge of the Contractor's property; Contractor's inability to pay debts; or the Contractor being found in violation of laws and regulations of any public body having jurisdiction.

If the Contractor elects to file a paper copy directly with the Department, a completed original CCA-2 Form must be submitted within the timeframe designated in the Instructions to Bidders. Submit completed questionnaires marked "**CONFIDENTIAL**" to:

NYS Department of Environmental Conservation  
Division of Environmental Remediation  
Brianna Scharf, Project Manager  
625 Broadway, 12<sup>th</sup> Floor  
Albany, New York 12233-7017

***Article 2 (d) – Authorizing Resolution***

The Contractor is required to submit an Authorizing Resolution stating that a certain individual has the authority to sign the Contract on behalf of the firm.



**ARTICLE 2(e) – Executive Order No. 177 Certification**

The New York State Human Rights Law, Article 15 of the Executive Law, prohibits discrimination and harassment based on age, race, creed, color, national origin, sex, pregnancy or pregnancy-related conditions, sexual orientation, gender identity, disability, marital status, familial status, domestic violence victim status, prior arrest or conviction record, military status or predisposing genetic characteristics.

The Human Rights Law may also require reasonable accommodation for persons with disabilities and pregnancy-related conditions. A reasonable accommodation is an adjustment to a job or work environment that enables a person with a disability to perform the essential functions of a job in a reasonable manner. The Human Rights Law may also require reasonable accommodation in employment on the basis of Sabbath observance or religious practices.

Generally, the Human Rights Law applies to:

- all employers of four or more people, employment agencies, labor organizations and apprenticeship training programs in all instances of discrimination or harassment;
- employers with fewer than four employees in all cases involving sexual harassment; and,
- any employer of domestic workers in cases involving sexual harassment or harassment based on gender, race, religion or national origin.

In accordance with Executive Order No. 177, the Bidder hereby certifies that it does not have institutional policies or practices that fail to address the harassment and discrimination of individuals on the basis of their age, race, creed, color, national origin, sex, sexual orientation, gender identity, disability, marital status, military status, or other protected status under the Human Rights Law. Executive Order No. 177 and this certification do not affect institutional policies or practices that are protected by existing law, including but not limited to the First Amendment of the United States Constitution, Article 1, Section 3 of the New York State Constitution, and Section 296(11) of the New York State Human Rights Law.

Contractor: \_\_\_\_\_

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

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

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

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

**ARTICLE 2(f) – Executive Order No. 16 Certification****Certification Under Executive Order No. 16 Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia**

Executive Order No. 16 provides that “all Affected State Entities are directed to refrain from entering into any new contract or renewing any existing contract with an entity conducting business operations in Russia.” The complete text of Executive Order No. 16 can be found on the NYS Office of General Services here:

[https://ogs.ny.gov/system/files/documents/2022/04/eo-16-russia-guidelines\\_0.pdf](https://ogs.ny.gov/system/files/documents/2022/04/eo-16-russia-guidelines_0.pdf).

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case the sanctions are lifted during a solicitation or even after award in the case of some solicitations.

As defined in Executive Order No. 16, an “entity conducting business operations in Russia” means an institution or company, wherever located, conducting any commercial activity in Russia or transacting business with the Russian Government or with commercial entities headquartered in Russia or with their principal place of business in Russia in the form of contracting, sales, purchasing, investment, or any business partnership.

Is Vendor an entity conducting business operations in Russia, as defined above? Please answer by checking one of the following boxes:

- ☐ 1. No, Vendor does not conduct business operations in Russia within the meaning of Executive Order No. 16.
- ☐ 2.a. Yes, Vendor conducts business operations in Russia within the meaning of Executive Order No. 16 but has taken steps to wind down business operations in Russia or is in the process of winding down business operations in Russia. (Please provide a detailed description of the wind down process and a schedule for completion.)
- ☐ 2.b. Yes, Vendor conducts business operations in Russia within the meaning of Executive Order No. 16 but only to the extent necessary to provide vital health and safety services within Russia or to comply with federal law, regulations, executive orders, or directives. (Please provide a detailed description of the services being provided or the relevant laws, regulations, etc.)
- ☐ 3. Yes, Vendor conducts business operations in Russia within the meaning of Executive Order No. 16.

The undersigned certifies under penalties of perjury that they are knowledgeable about the Vendor's business and operations and that the answer provided herein is true to the best of their knowledge and belief.

Vendor Name (legal entity): \_\_\_\_\_  
By (signature): \_\_\_\_\_  
Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Title: \_\_\_\_\_  
Date: \_\_\_\_\_

### ***Article 3 – Forms Submitted 14 Days from Date of Notice of Intent to Award Letter***

#### ***ARTICLE 3(a) - Instructions for Insurance***

Please refer to Contract Documents Section VIII, Article 4, and any Addenda if applicable, for the types and amounts of insurance required for this contract, as well as the necessary forms and endorsement requirements.

If you do not require assistance, please:

1. Request that your insurance provider note the Department's specific Contract Number D013322 in the Description of Operations box on the ACORD form.
2. List the following address on the Workers' Compensation and Disability Benefits Certificates as Entity Requesting Proof of Coverage and on the ACORD forms and endorsements as the Certificate Holder:

State of New York and the NYS Department of Environmental Conservation  
Division of Environmental Remediation, Remedial Bureau E  
Brianna Scharf, Project Manager  
625 Broadway, 12<sup>th</sup> Floor  
Albany, NY 12233-7017

3. Submit all required insurance certificates and applicable endorsements to the following address:

New York State Department of Environmental Conservation  
Division of Environmental Remediation, Remedial Bureau E  
Brianna Scharf, Project Manager  
625 Broadway, 12<sup>th</sup> Floor  
Albany, NY 12233-7017

**ARTICLE 3(b) - Instruction for Performance Bond and Labor and Material Payment Bond**

- 1) The performance bond and the labor and material payment bond are to be only submitted by the bidder who receives the Notice of Intent to Award letter from Department.
- 2) Use the forms that are included in the Contract Documents. **DO NOT RETYPE THE FORMS.**
- 3) Attach a **SEPARATE** certified power of attorney and surety financial statement to **EACH** bond (i.e., one set attached to performance bond and one set attached to labor and material payment bond)
- 4) Performance Bond and Labor and Materials Payment Bond must be secured by the surety and notarized within three (3) days of the date the Contractor signs the agreement.

**ARTICLE 3(c) - Performance Bond (page 1 of 3)**

**Date Bond Executed:** \_\_\_\_\_

**NYSDEC-DER Site Number:** 558035

**Date Contract Executed by Principal:** \_\_\_\_\_

**Principal:** (Name and Address)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Surety** (Name and Address - Indicate State of incorporation and location of principal office)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Full and Just Sum of Bond**

(Express in Words)

\_\_\_\_\_

(Express in Numbers)

\_\_\_\_\_

**Know all men by these presents,** that we, the **Principal** and **Surety**, above named, are held and firmly bound unto the New York State Department of Environmental Conservation for and on behalf of the People of the State of New York, hereinafter called the Department, in full and just sum of the amount stated above, good and lawful money of the United States of America, to the payment of which said sum, well and truly to be made, we bind ourselves, our heirs, executors and administrators, successors and assigns, jointly and severally, firmly by these presents.

**Whereas,** the **Principal** has entered into a certain written contract with the Department, covering the project and specification above;

**Now, Therefore,** the condition of this obligation is such, that if the **Principal** shall well, truly and faithfully comply with and perform all of the terms, covenants and conditions of said contract on their (his, its) part to be kept and performed, according to the true intent and meaning of said contract, and shall protect the Department and the People of the State of New York against, and pay any and all amounts, damages, costs and judgments which may or shall be recovered against the Department or the State of New York may be called upon to pay to any person or corporation by reason of any damages arising or growing out of the doing of said work, or the repair or maintenance thereof, or the manner of doing the same, or the neglect of the **Principal**, or their (its) agents or servants, or the improper performance of the work by the **Principal**, or their (its) agents or servants, or the infringement of any patent or patent rights by reason of the use of materials furnished or work done as aforesaid or otherwise, then this obligation shall be null and void, otherwise to remain in full force and virtue.

**ARTICLE 3(c) - Performance Bond (page 2 of 3)**

And the **Surety**, for value received, hereby stipulates and agrees, if requested to do so by the department to fully perform and complete the work mentioned and described in the contract and specifications, pursuant to the terms, conditions and covenants thereof, if for any cause, the **Principal** fails or neglects to so fully perform and complete the work; and the **Surety** further agrees to commence the work of completion within twenty days after notice thereof from the Department, and to complete the work with all due diligence.

And the **Surety**, for value received hereby stipulates and agrees that no change, extension, alteration or addition to the terms of this contract or specifications, accompanying the same, shall in any way affect its obligation on this bond, and it does hereby waive notice of any such change, extension, alteration or addition.

**In Testimony Whereof**, the **Principal**, and the authorized officers of the **Surety** have caused this instrument to be signed and sealed on the date shown above.

Signed, sealed and delivered in the presence  
of:

Corporate Seal of Principal (if a Corporation)

\_\_\_\_\_  
Principal Organization

By

\_\_\_\_\_  
Print Name, Title

\_\_\_\_\_  
Signature, Date

\_\_\_\_\_  
Surety

\_\_\_\_\_  
Business Address

By

\_\_\_\_\_  
Print Name, Title

Corporate Seal of Surety Company

\_\_\_\_\_  
Signature, Date

Attest

\_\_\_\_\_  
Print Name, Title

\_\_\_\_\_  
Signature, Date

**ARTICLE 3(c) - Performance Bond (page 3 of 3)**

**- ACKNOWLEDGMENT BY SURETY COMPANY -**

State of                                 )  
  s.s.:  
County of                                 )

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ before me personally came \_\_\_\_\_ to me known, who being by me duly sworn, did depose and say that he/she resides in \_\_\_\_\_(city, state), that he/she is the \_\_\_\_\_(title) of \_\_\_\_\_(firm), the corporation described in and which executed the within instrument; that he/she knows the seal of said corporation; that the seal affixed to said instrument is such corporate seal; that it was so affixed by the order of the Board of Directors of said corporation and that he/she signed his/her name thereto by like order; and that the liabilities of said company do not exceed its assets as ascertained in the manner provided by the laws of the State of New York.

(Seal)

\_\_\_\_\_  
**Notary Public**

**- ACKNOWLEDGMENT BY PRINCIPAL -**

State of                                 )  
  s.s.:  
County of                                 )

On the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me, the undersigned notary public, personally appeared \_\_\_\_\_, known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose names(s) is (are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies), and that by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of which the individual(s) acted, executed the instrument.

(Seal)

\_\_\_\_\_  
**Notary Public**



**ARTICLE 3(d) - Labor and Material Payment Bond (page 1 of 3)**

**Date Bond Executed:** \_\_\_\_\_

**NYSDEC-DER Site Number:** 558035

**Date Contract Executed By Principal:** \_\_\_\_\_

**Principal:** (Name and Address)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Surety** (Name and Address - Indicate State of incorporation and location of principal office)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Full and Just Sum of Bond**

\_\_\_\_\_  
(Express in Words)

\_\_\_\_\_  
(Express in Numbers)

**Know all men by these presents, That We,** the **Principal** and the **Surety** above named, are held and firmly bound unto the Department of Environmental Conservation for and on behalf of the People of the State of New York, in full and just sum of the amount stated above, good and lawful money of the United States of America, to the payment of which said sum, well and truly to be made, we bind ourselves, our heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents.

**Whereas,** the **Principal** has entered into a certain written contract with the Department of Environmental Conservation, covering the project and specification indicated above.

**Now, Therefore,** the condition of this obligation is such, that if the **Principal** shall promptly pay all moneys due to all persons furnishing labor and materials to him or his subcontractors in the prosecution of the work provided for in the contract, then this obligation shall be void, otherwise to remain in full force and effect;

Provided, however, that the Comptroller of the State of New York having required the **Principal** to furnish this bond in order to comply with the provisions of Section 137 of the State Finance Law, all rights and remedies on this bond shall inure solely to such persons and shall be determined in accordance with the provisions, conditions and limitations of said Section to the same extent as if they were copied at length herein; and

**ARTICLE 3(d) - Labor and Material Payment Bond (page 2 of 3)**

Further, provided, that the place of trial of any action on this bond shall be in the county in which the contract was to be performed, or if the contract was to be performed in more than one county, then in any such county, and not elsewhere.

***In Testimony Whereof***, the **Principal** and the authorized officers of the **Surety** have caused this instrument to be signed and sealed on the date shown above.

Signed, sealed and delivered in the presence  
of:

Corporate Seal of Principal (if a Corporation)

\_\_\_\_\_  
Principal Organization

By

\_\_\_\_\_  
Print Name, Title

\_\_\_\_\_  
Signature, Date

\_\_\_\_\_  
Surety

\_\_\_\_\_  
Business Address

By

\_\_\_\_\_  
Print Name, Title

Corporate Seal of Surety Company

\_\_\_\_\_  
Signature, Date

Attest

\_\_\_\_\_  
Print Name, Title

\_\_\_\_\_  
Signature, Date



**ARTICLE 3(e) – SDVOB Utilization Plan**

Contractor must submit a Service-Disabled Veteran-Owned Business (SDVOB) Utilization Plan after being issued a Notice of Intent to Award in accordance with Section III, Article 5.c. Quarterly reporting is required throughout the term of the contract.

For additional information regarding the SDVOB Utilization Plan and quarterly reporting including information on how to obtain the forms, the contractor should contact the Department's SDVOB lead at:

SDVOB Program Lead  
Bureau of Contract and Grant Development  
New York State Department of Environmental Conservation  
625 Broadway, 10<sup>th</sup> Floor  
Albany, NY 12233-1080

Phone: 518-402-9240  
Email: [sdvob@dec.ny.gov](mailto:sdvob@dec.ny.gov)

## **SECTION VI**

### ***Agreement***

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## SECTION VI

### ***Agreement***

This ***Agreement***, by and between the **New York State Department of Environmental Conservation** (hereinafter referred to as Department) having offices at 625 Broadway, Albany, New York 12233 and, \_\_\_\_\_ (Bidder name)

- ☐ a corporation organized and existing under the laws of the State of \_\_\_\_\_,
- ☐ a partnership, consisting of \_\_\_\_\_,
- ☐ an individual conducting business as \_\_\_\_\_,

hereinafter called "Contractor", the location of whose principal office is,

\_\_\_\_\_.

### **WITNESSETH**

***Whereas***, Department is empowered by law to obtain services; the performance of these services is essential to Department; and Department, after fully examining all of its internal capabilities and thoroughly investigating all possible alternative approaches, has determined that certain tasks can best be accomplished through a contract;

***Whereas***, Contractor hereby represents that it is capable of providing the services which are the subject matter of this Contract;

***Now Therefore***, Department **and** Contractor, in consideration of the mutual covenants hereinafter set forth agree as follows:

### ***ARTICLE 1 - Defined Terms***

Terms used in the Agreement which are defined in the Contract Documents have the intent and meanings assigned to them in the Contract Documents.

### ***ARTICLE 2 - Work***

As indicated or specified in the Contract Documents, Contractor shall complete in a timely and workmanlike manner, any and all obligations, duties and responsibilities, and provide any and all labor, materials, equipment, temporary facilities, and incidentals necessary to complete the construction generally identified and shown on the plans and Contract Documents entitled:

New York State Department of Environmental Conservation  
Division of Environmental Remediation  
Site Name: Katzman Recycling Site  
Contract No. D013322  
Date: February 2025

### ***ARTICLE 3 - Engineer***

TRC Engineers, Inc. shall assume all duties and responsibilities of and have the rights and authority assigned to Engineer in the Contract Documents in connection with completion of the Work in accordance with the Contract Documents.

### ***ARTICLE 4 - Contract Documents***

The Documents which comprise the entire Contract between Department and Contractor concerning the Work consist of the following:

- 4.1 Appendices A, B, C & D
- 4.2 Engineer's written clarifications and interpretations
- 4.3 Change Orders
- 4.4 Administrative Agreements
- 4.5 Field Orders
- 4.6 Proposed Change Orders signed by Department
- 4.7 Approved Shop Drawings
- 4.8 Addenda
- 4.9 Agreement (including all Appendices)
- 4.10 Measurement for Payment
- 4.11 Bid Forms and Attachments Exclusive of Bonds and Insurance Certificates
- 4.12 Drawings, Plans
- 4.13 Supplementary Specifications
- 4.14 Supplementary Conditions
- 4.15 Standard Specifications
- 4.16 General Conditions
- 4.17 Supplementary Bidding Information and Requirements
- 4.18 Bidding Information and Requirements
- 4.19 Terms and Definitions
- 4.20 Advertisement
- 4.21 Bonds and Insurance Certificates

In the event of a conflict between the documents set forth above, they shall be entitled to priority according to the order in which they are listed.

### ***ARTICLE 5 - Contractor's Representations***

In order to induce Department to enter into this Agreement, Contractor makes the following representations:

- 5.1 Contractor has familiarized itself with the nature and extent of the Contract Documents, Work, Site, locality, and all local conditions and applicable Laws that in any manner may affect cost, schedule, progress, performance or furnishing of the Work.
- 5.2 Contractor has studied carefully all reports of explorations and tests of subsurface conditions and drawings of physical conditions which are identified in Information to Bidders, as provided in the General Conditions, and accepts the determination set forth in said Section to the extent of the technical data contained in such reports and drawings upon which Contractor is entitled to reply.



- 5.3 Contractor has obtained and carefully studied all such examinations, investigations, explorations, tests, reports and studies which pertain to the subsurface or physical conditions at or contiguous to the Site or otherwise may affect the cost, schedule, progress, performance or furnishing of the Work as Contractor considers necessary for the performance or furnishing of the Work at the Contract Price, within the Contract Time and in accordance with the other terms and conditions of the Contract Documents, including specifically the provisions of Article 3 of the General Conditions; and no additional examinations, investigations, explorations, tests, reports, studies or similar information or data are or will be required by Contractor for such purposes.
- 5.4 Contractor has reviewed and checked all information and data shown or indicated on the Contract Documents with respect to existing Underground Facilities. No additional examinations, investigations, explorations, tests, reports, studies or similar information or data in respect of said Underground Facilities are or will be required by Contractor in order to perform and furnish the Work at the Contract Price, within the Contract Time and in accordance with the other terms and conditions of the Contract Documents, including specifically the provisions of Article 3 of the General Conditions.
- 5.5 Contractor has correlated (or assumes responsibility for correlating) the results of all such observations, examinations, investigations, explorations, tests, reports and studies with the terms and conditions of the Contract Documents.
- 5.6 Contractor has given Engineer written notice of all conflicts, errors or discrepancies that he (she) has discovered in the Contract Documents and any written resolution thereof is acceptable to Contractor.
- 5.7 General Responsibility: The Contractor shall at all times during the Contract term remain responsible. The Contractor agrees, if requested by the Commissioner or his or her designee, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity. Additional responsibilities required of the Contractor in order to perform and furnish the Work at the Contract Price, within the Contract Time and in accordance with the other terms and conditions of the Contract Documents, are specified within the provisions of Article 5 of the General Conditions.

#### **ARTICLE 6 - Contract Term**

The number of days within which, or alternatively, the dates by which, the Work, or any specified part thereof, is to be completed (the Contract Times) are set forth as follows:

- 6.1 The Work will be Substantially Completed within **two-hundred seventy (270) calendar days** from the Effective Date of the Agreement, plus twenty (20) calendar days.
- 6.2 Separable parts of the Work, if specified in an Attachment A to this Agreement, will be Substantially Completed within the number of days stated in Attachment A from the Effective Date of the Agreement, plus twenty (20) calendar days.
- 6.3 The Work will be completed and ready for final payment in accordance with the General Conditions within **three-hundred (300) calendar days** from the Effective Date of the Agreement, plus twenty (20) calendar days

- 6.4 Department and Contractor recognize that the Contract Time(s) specified in paragraphs 6.1, 6.2 and 6.3 above are of the essence of this Agreement, and that Department may suffer financial loss if the Work is not completed within the Contract Time(s) specified above, plus any extensions thereof allowed in accordance with the General Conditions, as amended or supplemented in the Supplementary Conditions.
- 6.5 Accordingly, Contractor agrees to forfeit and pay Department as liquidated damages, and not as a penalty, the amount of **three-thousand dollars (\$3,000.00)** for each day that expires after the Contract Time specified in paragraph 6.1 above for Substantial Completion until the Work is Substantially Complete. Contractor further agrees to pay Department as liquidated damages, and not as a penalty, each of the amounts set forth in Attachment A if applicable to this agreement for each day that expires after each of the contract times specified in paragraph 6.2 above for substantial completion until each of the separable parts of the work is substantially complete. After substantial completion of the work, if Contractor shall neglect, refuse or fail to complete the remaining work within the contract time or any proper extension thereof granted by Department, Contractor shall pay Department as liquidated damages, and not as a penalty, the amount of **one-thousand five-hundred dollars (\$1,500.00)** for each day that expires after the Contract Time specified in paragraph 6.3 above for completion and readiness for final payment. These liquidated damages are additive and represent a reasonable estimate, in lieu of any such proof, of Department's extra expenses for Inspection, engineering services, administrative costs, and Interim excess operating costs for each day that expires after the associated Contract Time.
- 6.6 In addition to the liquidated damage amounts set forth in paragraph 6.5 above, Contractor agrees to pay Department's additional actual damages arising out of the types of expenses itemized below for each day that expires after each of the Contract Times specified in paragraph 6.2 above for Completion of each of the designated parts of the Work until each of the designated parts of the Work achieves the specified completion. These actual damages are additive and shall equal Department's expenditures for costs other than those itemized in paragraph 6.5, including, but not limited to, delay damage settlements or awards related to other separate contracts, delay penalties or fines imposed by regulatory agencies, contract damage and loss of use, excess financing costs, and professional fees and related expenses incurred thereto.

#### ***ARTICLE 7 - Alterations and Omissions***

Department reserves the right, at any time during the progress of the work, to alter the plans or omit any portion of the work as it may deem reasonably necessary for the public interest; making allowances for additions and deductions with compensation made in accordance with the Contract Documents.

#### ***ARTICLE 8 - Determinations as to Variances***

In case of any ambiguity in the Contract Documents, the matter must be immediately submitted to the Representative of Department designated in the Contract Documents, who shall adjust the same, and his (her) decision in relation thereto shall be final and conclusive upon the parties.

#### ***ARTICLE 9 - Payment Procedures***

Contractor shall submit Applications for Payment on standard form in accordance with the General Conditions. Applications for Payment will be processed by Engineer as provided in the General Conditions, as amended or supplemented in the Supplementary Conditions and in accordance with Section 139-f of the State Finance Law.

- 9.1 **Progress Payments.** Contractor shall submit Applications for Payments to Engineer for review no more frequently than monthly in accordance with paragraph 13.2 of the General Conditions from the date when the Contract Time commences to run. Department shall make progress payments against the Contract Price on the basis of Contractor's Applications for Payment as recommended by Engineer as provided below. All progress payments will be calculated on the basis of the progress of the Work measured by the Schedule of Values established pursuant to paragraph 1.4.3 of the General Conditions. Progress payments will also be made for materials pertinent to the Contract in accordance with the General Conditions. Contractor shall provide complete and accurate billing invoices to the Department in order to receive payment. Billing invoices submitted to the Department must contain all information and supporting documentation required by the Contract, the Department, and the State Comptroller.

Payments for expenditures incurred under this contract will be rendered electronically to the **Recipient/Contractor/Vendor** unless payment by paper check is expressly authorized by the Commissioner of the Department (Commissioner), in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The **Recipient/Contractor/Vendor** shall comply with the **Office of the State Comptroller's (OSC's)** procedures to authorize electronic payments. Authorization forms are available at the **OSC's** website at [www.osc.state.ny.us/epay/index.htm](http://www.osc.state.ny.us/epay/index.htm), by e-mail at [epunit@osc.state.ny.us](mailto:epunit@osc.state.ny.us) or by telephone at (518) 474-4032. The **Recipient/Contractor/Vendor** acknowledges that it will not receive payment under this **Contract** if it does not comply with the **OSC's** electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

- 9.1.1 Prior to Substantial Completion of the Work, progress payments will be made less five percent (5%) the aggregate of payments (i.e., retainage) previously made and less an amount necessary to satisfy any claims, liens, or judgments against Contractor which have not been suitably discharged.
- 9.2 **Payment upon substantial completion.** When the work, or major portions thereof, as contemplated in the Contract Documents, is substantially completed, Contractor shall submit to Department, an Application for Payment in accordance with the General Conditions for the remaining amount of the contract balance or amount due for that major portion completed. Department will pay the remaining Contract balance, or amount due for that major portion completed, less two times the value of any remaining items to be completed and an amount necessary to satisfy any claims, liens, judgments against Contractor which have not been suitably discharged. Payment for remaining items will be made upon their completion.
- 9.3 **Final Payment.** Upon final completion of the physical Work and acceptance of the Work in accordance with the General Conditions, Department shall pay the remainder of the Contract Price as recommended by Engineer.

#### **ARTICLE 10 - No Estimate on Contractor's Noncompliance**

It is further agreed that so long as Contractor has not complied with any lawful or proper direction concerning the work or material given by Department, Contractor shall not be entitled to have any estimate made for the purpose of payment, nor shall any estimate be rendered on account of work done or material furnished until Contractor has fully and satisfactorily complied with such direction.

**ARTICLE 11 - Delays, Inefficiencies, and Interference**

Contractor agrees to make no claim for any consequential damages attributable to any delays, or act in the performance of this contract which are not directly occasioned by any act or omission to act by the State or any of its representatives. In the event Contractor completes the work prior to the contract completion date set forth in the proposal, Contractor hereby agrees to make no claim for extra costs due to delays, interferences or inefficiencies in the performance of the work.

- 1) Contractor further agrees that it has included in its bid prices for the various items of the Contract any additional costs for delays, inefficiencies, or interferences affecting the performance or scheduling of Contract work caused by, or attributable to, the following instances:
  - a. The work or the presence on the Site of any third party, including but not limited to that of other contractors or personnel employed by the State, or by other public bodies, by railroad, transportation or utility companies or corporations, or by private enterprises, or any delay in progressing such work by any third party.
  - b. The existence of any facility or appurtenance owned, operated, or maintained by any third party.
  - c. The act, or failure to act, of any other public or governmental body, including, but not limited to, approvals, permits, restrictions, regulations or ordinances.
  - d. Restraining orders, injunctions, or judgments issued by a court.
  - e. Any labor boycott, strike, picketing or similar situation.
  - f. Any shortages of supplies or materials required by the contract work.
  - g. Any situation which was, or should have been, within the contemplation of the parties at the time of entering into the contract.

**ARTICLE 12 - Postponement, Suspension or Termination**

- 12.1 Department shall have the right to postpone, suspend or terminate this Contract in whole or in part for the convenience of Department. If, after termination for cause of Contractor it is determined that no cause existed for termination of Contractor, such termination shall be deemed to have been made for the convenience of Department.
- 12.2 If this Contract is terminated by Department for convenience or cause, Department shall make payment on an equitable basis for all work performed in accordance with the Contract Documents prior to termination in accordance with paragraphs 12.3 and 12.4 below.
- 12.3 If this contract is terminated for cause, no payment shall be made for anticipated profit on unperformed work or services. Additionally, Department may adjust any payment due to Contractor at the time of termination to account for any additional costs to Department because of Contractor's default.

- 12.4 If this contract is terminated for convenience, payment shall be made for any services rendered and expenses incurred prior to the termination, in addition to termination settlement costs reasonably incurred by Contractor which had become firm prior to the termination.
- 12.5 Upon termination of this Contract under this Agreement, Department may take over the work or may award or negotiate a contract with another party to complete work required by these Contract Documents.
- 12.6 Termination for Non-Responsibility: Upon written notice to the Contractor, and a reasonable opportunity to be heard with appropriate Department officials or staff, the Contract may be terminated by the Commissioner, or his or her designee, at the Contractor's expense where the Contractor is determined by the Commissioner, or his or her designee, to be non-responsible. In such event, the Commissioner, or his or her designee, may complete the contractual requirements in any manner he or she may deem advisable and pursue available legal or equitable remedies for breach.
- 12.7 Suspension of Work (for Non-Responsibility): The Commissioner, or his or her designee, in his or her sole discretion, reserves the right to suspend any or all activities under this Contract, at any time, when he or she discovers information that calls into question the responsibility of the Contractor. In the event of such suspension, the Contractor will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Contractor must comply with the terms of the suspension order. Contract activity may resume at such time as the Commissioner, or his or her designee, issues a written notice authorizing a resumption of performance under the Contract.

### ***ARTICLE 13 – Completion of Physical Work and Final Acceptance***

The time within which Department may bring an action on the Contract against Contractor shall be computed from the date of completion of the physical Work. In accordance with Section 138(a) of the State Finance Law, Contractor shall notify Department in writing that the physical Work has been completed. The date of completion must be no more than thirty days prior to the date of the notice. This notice must be delivered personally, or, by either registered or certified mail, return receipt requested, to the exact address given below.

**New York State Department of Environmental Conservation  
Division of Environmental Remediation  
Michael J. Cruden, Director - Remedial Bureau E  
625 Broadway, 12<sup>th</sup> Floor  
Albany, New York 12233-7017**

If Department disagrees with the date set forth in the notice, it will so advise Contractor in writing within 30 days of receipt of the notice. This notice will be delivered by either registered or certified mail, return receipt requested, to Contractor's address as shown in this Agreement.

If Department accepts Contractor's date of completion of physical Work, Department's final acceptance of work shall be as of that date.

When, in the opinion of Department, Contractor has fully performed the physical Work under the Contract, Department shall notify Contractor in writing of final acceptance.

**ARTICLE 14 - Final Payment**

After the final acceptance of the work, Engineer shall prepare a final agreement of the work performed and the materials placed and shall compute the value of such work and materials under and according to the terms of the contract. This agreement shall be certified, as to its correctness, by Engineer and submitted for final approval to Department. The Representative of Department designated in the Contract Documents shall have the right to reject the whole or any portion of the final agreement, should the said certificate of Engineer be found or known to be inconsistent with the terms of the agreement or otherwise improperly given and upon failure of Contractor to provide requested documentation including but not limited to that regarding payment of wages, suppliers or subcontractors. All certificates upon which partial payments may have been made being merely estimates, shall be subject to correction in the final certificate or final agreement.

**ARTICLE 15 - Disposition of Documents and Data**

Upon final acceptance of work under this Contract or termination of this Contract pursuant to this Agreement, or upon written demand of Department, Contractor shall promptly deliver or otherwise make available to Department all data, drawings, reports, estimates, and such other information and materials as may have been accumulated by Contractor in performing this Contract.

All documents and data are to be submitted in electronic format to the Engineer and Department. The Engineer/Department will not approve a final report unless, and until, all documents and data generated in support of that report have been submitted in accordance with the electronic submission protocols. Information on the format of data submissions can be found at: <http://www.dec.ny.gov/chemical/62440.html>. Information on document submissions can be found at: <http://www.dec.ny.gov/regulations/2586.html>.

**ARTICLE 16 – Applicable Law; Jurisdiction; Service of Legal Process**

Contractor agrees:

- 16.1 That this Agreement is subject to and governed by all applicable federal and New York State law.
- 16.2 To procure all necessary licenses and permits.
- 16.3 To voluntarily and irrevocably submit to the jurisdiction of a New York State Court of competent jurisdiction, to resolve any dispute or controversy arising out of this Contract.
- 16.4 That the venue of any action at law or in equity commenced against Department arising out of a Project in one of Department's regions, shall be in the county in that Region where Department regional headquarters is located.
- 16.5 That the service of legal process or any notices in connection with a dispute or controversy arising out of this Contract, by United States registered mail, postage prepaid, addressed to the Designated representative of Department at the address stated in the Contract. Documents shall constitute good and valid service of process upon Engineer.
- 16.6 To waive any defense based on or alleging lack of jurisdiction, improper venue, or invalid service, if there is compliance with paragraphs 16.3 and 16.4 in this Article.

16.7 This Contract may be presented in court as conclusive evidence of the foregoing agreement.

**ARTICLE 17 - Sales and Use Tax Exemption**

Contractor represents that this project has been bid in such a manner that Department has full advantage of available exemptions from sales and compensating use taxes. Accordingly, Contractor agrees to make all payment requests in a manner which affords Department full advantage of such exemptions. Further, Contractor agrees to complete and to require all subcontractors and material men to complete a Contractor Exempt Purchase Certificate in the name of the New York State Department of Environmental Conservation, which shall be furnished to all persons, firms or corporations from whom they purchase materials, equipment or supplies which are tax exempt by reason of the fact that they will be sold to Department, or will be used as an integral component in the construction, rehabilitation, or improvement of any structure of building required by the Contract Documents.

Contractor agrees to maintain and keep, and to contractually require all subcontractors and material men to maintain and keep, records relating to the tax exemption of material, equipment and Supplies for a period of six years. The six- (6) year period shall commence to run as of the date of final payment.

**ARTICLE 18 - Effective Date**

This Contract and all Contract Documents shall take effect as of the date it is approved and filed by the state Comptroller.

**ARTICLE 19 – Vendor Responsibility**

The Department recommends that vendors file a required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at: [http://www.osc.state.ny.us/vendrep/vendor\\_index.htm](http://www.osc.state.ny.us/vendrep/vendor_index.htm) or go directly to the VendRep System online at <https://onlineservices.osc.state.ny.us/Enrollment/login?1>.

Vendors must provide their New York State Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at: [ciohelpdesk@osc.state.ny.us](mailto:ciohelpdesk@osc.state.ny.us). Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website [www.osc.state.ny.us/vendrep](http://www.osc.state.ny.us/vendrep) or may contact the Department of the Office of the State Comptroller's Help Desk for a copy of the paper form.

**ARTICLE 20 - Contract Price**

The maximum payment which Department shall pay to Contractor, and which Contractor agrees to accept as full payment for its work under this Agreement, is the total of:

**Bid**

\$ \_\_\_\_\_ (Express Sum in Words)

\$ \_\_\_\_\_ (Express Sum in Numbers)

Plus/Minus executed change order(s)

## SIGNATURE PAGE

**IN WITNESS WHEREOF**, this Contract has been duly executed by the parties hereto on the day and year appearing following their respective signatures.

**Agency Certification:** "In addition to the acceptance of this Contract, I also certify that original copies of this signature page will be attached to all other exact copies of this Contract."

|                      |                      |
|----------------------|----------------------|
| CONTRACTOR SIGNATURE | DEPARTMENT SIGNATURE |
| By:                  | By:                  |
| Print Name:          | Print Name:          |
| Title:               | Title:               |
| Dated:               | Dated:               |

**Contractor Acknowledgement**

State of \_\_\_\_\_ )  
 ) ss.:  
County of \_\_\_\_\_ )

On the \_\_\_\_\_ day of \_\_\_\_\_ in the year \_\_\_\_\_, before me, the undersigned, a Notary Public in and for said State, personally appeared \_\_\_\_\_, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is (are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies), and that by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of which the individual(s) acted, executed the instrument.

\_\_\_\_\_ Notary Public

|  |  |
|--|--|
| ATTORNEY GENERAL SIGNATURE   | COMPTROLLER SIGNATURE  |
| <div style="border: 1px solid black; height: 100px; width: 100%;"></div> | <div style="border: 1px solid black; height: 100px; width: 100%;"></div> |
| Approved as to Form:   | Approved:<br>Thomas P. DiNapoli<br>State Comptroller                     |
| Dated:   | Dated:   |



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## **SECTION VII**

### ***Appendices A, B, C, and D***

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## **SECTION VII**

### ***Appendices***

**A – Standard Clauses for New York State Contracts**

**B – Standard Clauses for all New York State Department of  
Environmental Conservation Contracts**

**C – Standard Clauses for Ethics in all NYSDEC Contracts**

**D – Participation Opportunities for New York State Certified  
Service-Disabled Veteran-Owned Businesses (SDVOB)**

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APPENDIX A

STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS

PLEASE RETAIN THIS DOCUMENT  
FOR FUTURE REFERENCE.

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## **STANDARD CLAUSES FOR NYS CONTRACTS**

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "the contract" or "this contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State, whether a contractor, licenser, 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 (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds \$50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$10,000, 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 is required when such contracts exceed \$85,000 (State Finance Law Section 163.6-a). However, such pre-approval shall not be required for any contract established as a centralized contract through the Office of General Services or for a purchase order or other transaction issued under such centralized contract.

**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 because of race, creed, color, sex (including gender identity or expression), national origin, sexual orientation, military status, age, disability, predisposing genetic characteristics, marital status or domestic violence victim status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

**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 (2NYCRR 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 Number(s). Every invoice or New York State Claim for Payment submitted to a New York State agency by a payee, for payment for the sale of goods or services or for transactions (e.g., leases, easements, licenses, etc.) related to real or personal property must include the payee's identification number. The number is any or all of the following: (i) the payee's Federal employer identification number, (ii) the payee's Federal social security number, and/or (iii) the payee's Vendor Identification Number assigned by the Statewide Financial System. Failure to include such number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or Claim for Payment, must give the reason or reasons why the payee does not have such number or numbers.

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

**12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN.**

In accordance with Section 312 of the Executive Law and 5 NYCRR 143, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00,

whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then the following shall apply and by signing this agreement the Contractor certifies and affirms that it is Contractor's equal employment opportunity policy that:

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

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

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

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

opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Department of Economic Development's Division of Minority and Women's Business Development pertaining hereto.

**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  
Albany, New York 12245  
Telephone: 518-292-5100  
Fax: 518-292-5884  
email: [opa@esd.ny.gov](mailto:opa@esd.ny.gov)

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

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

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

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

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

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

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

#### **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) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

**22. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT.** Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).

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

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

**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/Offerers pursuant to the New York State Iran Divestment Act of 2012" ("Prohibited Entities List") posted at:  
<http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>

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

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

limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default.

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



## APPENDIX B

### Standard Clauses for All New York State Department of Environmental Conservation Contracts

The parties to the attached contract, license, lease, grant, 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 to the contract, other than the New York State Department of Environmental Conservation (hereinafter "Department").

#### I. **Postponement, suspension, abandonment or termination by the Department:**

The Department shall have the right to postpone, suspend, abandon or terminate this contract, and such actions shall in no event be deemed a breach of contract. In the event of any termination, postponement, delay, suspension or abandonment, the Contractor shall immediately stop work, take steps to incur no additional obligations, and to limit further expenditures. Within 15 days of receipt of notice, the Contractor shall deliver to the Department all data, reports, plans, or other documentation related to the performance of this contract, including but not limited to source codes and specifications, guarantees, warranties, as-built plans and shop drawings. In any of these events, the Department shall make settlement with the Contractor upon an equitable basis as determined by the Department which shall fix the value of the work which was performed by the Contractor prior to the postponement, suspension, abandonment or termination of this contract. This clause shall not apply to this contract if the contract contains other provisions applicable to postponement, suspension or termination of the contract.

II. **Indemnification and Hold harmless** The Contractor agrees that it will indemnify and save harmless the Department and the State of New York from and against all losses from claims, demands, payments, suits, actions, recoveries and judgments of every nature and description brought or recovered against it by reason of any omission or tortious act of the Contractor, its agents, employees, suppliers or subcontractors in the performance of this contract. The Department and the State of New York may retain such monies from the amount due Contractor as may be necessary to satisfy any claim for damages, costs and the like, which is asserted against the Department and/or the State of New York.

#### III. **Conflict of Interest**

(a) Organizational Conflict of Interest. To the best of the Contractor's knowledge and belief, the Contractor warrants that there are no relevant facts or circumstances which could give rise to an organizational conflict of interest, as herein defined, or that the Contractor has disclosed all such relevant information to the Department.

(1) An organizational conflict of interest exists when the nature of the work to be performed under this contract may,

without some restriction on future activities, impair or appear to impair the Contractor's objectivity in performing the work for the Department.

(2) The Contractor agrees that if an actual, or potential organizational conflict of interest is discovered at any time after award, whether before or during performance, the Contractor will immediately make a full disclosure in writing to the Department. This disclosure shall include a description of actions which the Contractor has taken or proposes to take, after consultation with the Department, to avoid, mitigate, or minimize the actual or potential conflict.

(3) To the extent that the work under this contract requires access to personal, proprietary or confidential business or financial data of persons or other companies, and as long as such data remains proprietary or confidential, the Contractor shall protect such data from unauthorized use and disclosure and agrees not to use it to compete with such companies.

(b) Personal Conflict of Interest: The following provisions with regard to management or professional level employee personnel performing under this contract shall apply until the earlier of the termination date of the affected employee(s) or the duration of the contract.

(1) A personal conflict of interest is defined as a relationship of an employee, subcontractor employee, or consultant with an entity that may impair or appear to impair the objectivity of the employee, subcontractor employee, or consultant in performing the contract work. The Contractor agrees to notify the Department immediately of any actual or potential personal conflict of interest with regard to any such person working on or having access to information regarding this contract, as soon as Contractor becomes aware of such conflict. The Department will notify the Contractor of the appropriate action to be taken.

(2) The Contractor agrees to advise all management or professional level employees involved in the work of this contract, that they must report any personal conflicts of interest to the Contractor. The Contractor must then advise the Department which will advise the Contractor of the appropriate action to be taken.

(3) Unless waived by the Department, the Contractor shall certify annually that, to the best of the Contractor's knowledge and belief, all actual, apparent or potential conflicts of interest, both personal and organizational, as defined herein, have been reported to the Department. Such certification must be signed by a senior executive of the Contractor and submitted in accordance with instructions provided by the Department. Along with the annual certification, the Contractor shall also submit an update of any changes in any conflict of interest plan submitted with its proposal for this contract. The initial certification shall cover the one-year period from the date of contract award, and all subsequent certifications shall cover successive annual periods thereafter. The certification is to be submitted no later than 45 days after the close of the previous certification period covered.

(4) In performing this contract, the Contractor recognizes that its employees may have access to data, either provided by the Department or first generated during contract performance, of a sensitive nature which should not be released without Department approval. If this situation occurs, the Contractor agrees to obtain confidentiality agreements from all affected employees working on requirements under this contract including subcontractors and consultants. Such agreements shall contain provisions which stipulate that each employee agrees not to disclose, either in whole or in part, to any entity external to the Department, Department of Health or the New York State Department of Law, any information or data provided by the Department or first generated by the Contractor under this contract, any site-specific cost information, or any enforcement strategy without first obtaining the written permission of the Department. If a Contractor, through an employee or otherwise, is subpoenaed to testify or produce documents, which could result in such disclosure, the Contractor must provide immediate advance notification to the Department so that the Department can authorize such disclosure or have the opportunity to take action to prevent such disclosure. Such agreements shall be effective for the life of the contract and for a period of five (5) years after completion of the contract.

(c) Remedies - The Department may terminate this contract in whole or in part, if it deems such termination necessary to avoid an organizational or personal conflict of interest, or an unauthorized disclosure of information. If the Contractor fails to make required disclosures or misrepresents relevant information to the Department, the Department may terminate the contract, or pursue such other remedies as may be permitted by the terms of Clause I of this Appendix or other applicable provisions of this contract regarding termination.

(d) The Contractor will be ineligible to make a proposal or bid on a contract for which the Contractor has

developed the statement of work or the solicitation package

(e) The Contractor agrees to insert in each subcontract or consultant agreement placed hereunder (except for subcontracts or consultant agreements for well drilling, fence erecting, plumbing, utility hookups, security guard services, or electrical services) provisions which shall conform substantially to the language of this clause, including this paragraph (e), unless otherwise authorized by the Department.

**If this is a contract for work related to action at an inactive hazardous waste site, the following paragraph shall apply to those Contractors whose work requires the application of professional judgment: It does not apply to construction contracts.**

(f) Due to the scope and nature of this contract, the Contractor shall observe the following restrictions on future hazardous waste site contracting for the duration of the contract.

(1) The Contractor, during the life of the work assignment and for a period of three (3) years after the completion of the work assignment, agrees not to enter into a contract with or to represent any party with respect to any work relating to remedial activities or work pertaining to a site where the Contractor previously performed work for the Department under this contract without the prior written approval of the Department.

(2) The Contractor agrees in advance that if any bids/proposals are submitted for any work for a third party that would require written approval of the Department prior to entering into a contract because of the restrictions of this clause, then the bids/proposals are submitted at the Contractor's own risk, and no claim shall be made against the Department to recover bid/proposal costs as a direct cost whether the request for authorization to enter into the contract is denied or approved.

**IV. Requests for Payment** All requests for payment by the Contractor must be submitted on forms supplied and approved by the Department. Each payment request must contain such items of information and supporting documentation as are required by the Department, and shall be all-inclusive for the period of time covered by the payment request.

V. **Compliance with Federal requirements** To the extent that federal funds are provided to the Contractor or used in paying the Contractor under this contract, the Contractor agrees that it will comply with all applicable federal laws and regulations, including but not limited to those laws and regulations under which the Federal funds were authorized. The Contractor further agrees to insert in any subcontract hereunder, provisions which shall conform substantially to the language of this clause.

VI. **Independent Contractor** The Contractor shall have the status of an independent contractor. Accordingly, the Contractor agrees that it will conduct itself in a manner consistent with such status, and that it will neither hold itself out as, nor claim to be, an officer or employee of the Department by reason of this contract. It further agrees that it will not make any claim, demand or application to the Department for any right or privilege applicable to an officer or employee of the Department, including but not limited to worker's compensation coverage, unemployment insurance benefits, social security coverage, or retirement membership or credit.

VII. **Compliance with applicable laws**

(a) Prior to the commencement of any work under this contract, the Contractor is required to meet all legal requirements necessary in the performance of the contract. This includes but is not limited to compliance with all applicable federal, state and local laws and regulations promulgated thereunder. It is the Contractor's responsibility to obtain any necessary permits, or other authorizations. By signing this contract, the Contractor affirmatively represents that it has complied with said laws, unless it advises the Department otherwise, in writing. The Department signs this contract in reliance upon this representation.

(b) During the term of this contract, and any extensions thereof, the Contractor must remain in compliance with said laws. A failure to notify the Department of noncompliance of which the Contractor was or should have been aware, may be considered a material breach of this contract.

VIII. **Dispute Resolution** The parties agree to the following steps, or as many as are necessary to resolve disputes between the Department and the Contractor.

(a) The Contractor specifically agrees to submit, in the first instance, any dispute relating to this contract to the designated individual, who shall render a written decision and furnish a copy thereof to the Contractor.

(1) The Contractor must request such decision in writing no more than fifteen days after it knew or should have known of the facts which are the basis of the dispute.

(2) The decision of the designated individual shall be the final DEC determination, unless the Contractor files a written appeal of that decision with the designated appeal individual ("DAI") within twenty days of receipt of that decision.

(b) Upon receipt of the written appeal, the DAI, will review the record and decision. Following divisional procedures in effect at that time, the DAI will take one of the following actions, with written notice to the Contractor.

(1) Remand the matter to the program staff for further negotiation or information if it is determined that the matter is not ripe for review; or

(2) Determine that there is no need for further action, and that the determination of the designated individual is confirmed; or

(3) Make a determination on the record as it exists.

(c) The decision of the DAI shall be the final DEC decision unless the Contractor files a written appeal of that decision with the Chair of the Contract Review Committee ("CRC") within twenty days of receipt of that decision.

The designated individual to hear disputes is:

Michael J. Cruden, Director - Remedial Bureau E  
(Name and Title)

NYS Dept. of Env. Conservation - Env. Remediation  
625 Broadway, 12th Floor, Albany, NY 12233-7017  
(Address)

(518) 402-9813  
(Telephone)

The designated appeal individual to review decisions is:

Janet Brown, Assistant Division Director  
(Name and Title)

NYS Dept. of Env. Conservation - Env. Remediation  
625 Broadway, 12th Floor, Albany, NY 12233-7017  
(Address)

(518) 402-9706  
(Telephone)

The Chair of the Contract Review Committee is:  
Department of Environmental Conservation

Director, Division of Fiscal Management  
Contract Review Committee  
625 Broadway, 10<sup>th</sup> Floor  
Albany, NY 12233-5010  
Telephone: (518) 402-9228

(d) Upon receipt of the written appeal, the Chair of the CRC, in consultation with the members of the CRC and the Office of General Counsel, will take one of the following actions, or a combination thereof, with written notice to the Contractor.

(1) Remand the matter to program staff for additional fact finding, negotiation, or other appropriate action; or

(2) Adopt the decision of the DAI; or

(3) Consider the matter for review by the CRC in accordance with its procedures.

(e) Following a decision to proceed pursuant to (d) 3, above, the Chair of the CRC shall convene a proceeding in accordance with the CRC's established contract dispute resolution guidelines. The proceeding will provide the Contractor with an opportunity to be heard.

(f) Following a decision pursuant to (d) 2 or (d) 3, the CRC shall make a written recommendation to the Assistant Commissioner for Administration who shall render the final DEC determination.

(g) At any time during the dispute resolution process, and upon mutual agreement of the parties, the Office of Hearings and Mediation Services (OHMS) may be requested to provide mediation services or other appropriate means to assist in resolving the dispute. Any findings or recommendations made by the OHMS will not be binding on either party.

(h) Final DEC determinations shall be subject to review only pursuant to Article 78 of the Civil Practice Law and Rules.

(i) Pending final determination of a dispute hereunder, the Contractor shall proceed diligently with the performance of the Contract in accordance with the decision of the designated individual. Nothing in this Contract shall be construed as making final the decision of any administrative officer upon a question of law.

(j) Notwithstanding the foregoing, at the option of the Contractor, the following shall be subject to review by the CRC: Disputes arising under Article 15-A of the Executive Law (Minority and Women Owned Business participation), the Department's determination with respect to the adequacy of the Contractor's Utilization Plan, or the Contractor's showing of good faith efforts to comply therewith. A request for a review before the CRC should be made, in writing, within twenty days of receipt of the Department's determination.

(k) The CRC will promptly convene a review in accordance with Article 15-A of the Executive Law and the regulations promulgated thereunder.

## **IX. Labor Law Provisions**

(a) When applicable, the Contractor shall post, in a location designated by the Department, a copy of the New York State Department of Labor schedules of prevailing wages and supplements for this project, a copy of all re-determinations of such schedules for the project, the Workers' Compensation Law Section 51 notice, all other notices required by law to be posted at the site, the Department of Labor notice that this project is a public work project on which each worker is entitled to receive the prevailing wages and supplements for their occupation, and all other notices which the Department directs the Contractor to post. The Contractor shall provide a surface for such notices which is satisfactory to the Department. The Contractor shall maintain such notices in a legible manner and shall replace any notice or schedule which is damaged, defaced, illegible or removed for any reason. Contractor shall post such notices before commencing any work on the site and shall maintain such notices until all work on the site is complete.

(b) When appropriate, contractor shall distribute to each worker for this Contract a notice, in a form provided by the Department, that this project is a public work project on which each worker is entitled to receive the prevailing wage and supplements for the occupation at which he or she is working. Worker includes employees of Contractor and all Subcontractors and all employees of suppliers entering the site. Such notice shall be distributed to each worker before they start performing any work of this contract. At the time of distribution, Contractor shall have each worker sign a statement, in a form provided by the Department, certifying that the worker has received the notice required by this section, which signed statement shall be maintained with the payroll records required by the following paragraph (c).

(c) Contractor shall maintain on the site the original certified payrolls or certified transcripts thereof which Contractor and all of its Subcontractors are required to maintain pursuant to the New York Labor Law Section 220. Contractor shall maintain with the payrolls or transcripts thereof, the statements signed by each worker pursuant to paragraph (b).

(d) Within thirty days of issuance of the first payroll, and every thirty days thereafter, the Contractor and every subcontractor must submit a transcript of the original payroll to the Department, which transcript must be subscribed and affirmed as true under penalty of perjury.



X. **Offset** In accordance with State Law, the Department has the authority to administratively offset any monies due it from the Contractor, from payments due to the Contractor under this contract. The Department may also (a) assess interest or late payment charges, and collection fees, if applicable; (b) charge a fee for any dishonored check; (c) refuse to renew certain licenses and permits.

XI. **Tax Exemption** Pursuant to Tax Law Section 1116, the State is exempt from sales and use taxes. A standard state voucher is sufficient evidence thereof. For federal excise taxes, New York's registration Number 14740026K covers tax-free transactions under the Internal Revenue Code.

XII. **Litigation Support** In the event that the Department becomes involved in litigation related to the subject matter of this contract, the Contractor agrees to provide background support and other litigation support, including but not limited to depositions, appearances, and testimony. Compensation will be negotiated and based on rates established in the contract, or as may otherwise be provided in the contract.

XIII **Equipment** Any equipment purchased with funds provided under this contract, shall remain the property of the Department, unless otherwise provided in the contract. The Contractor shall be liable for all costs for maintaining the property in good, usable condition. It shall be returned to the Department upon completion of the contract, in such condition, unless the Department elects to sell the equipment to the Contractor, upon mutually agreeable terms.

XIV. **Inventions or Discoveries** Any invention or discovery first made in performance of this Contract shall be the property of the Department, unless otherwise provided in the contract. The Contractor agrees to provide the Department with any and all materials related to this property. At the Department's option, the Contractor may be granted a non-exclusive license.

XV. **Patent and Copyright Protection**

If any patented or copyrighted material is involved in or results from the performance of this Contract, this Article shall apply.

(a) The Contractor shall, at its expense, defend any suit instituted against the Department and indemnify the Department against any award of damages and costs made against the Department by a final judgment of a court of last resort based on the claim that any of the products, services or consumable supplies furnished by the Contractor under this Contract infringes any patent, copyright or other proprietary right; provided the Department gives the Contractor:

- (1) prompt written notice of any action, claim or threat of infringement suit, or other suit, and
- (2) the opportunity to take over, settle or defend such action at the Contractor's sole expense, and
- (3) all available information, assistance and authority necessary to the action, at the Contractor's sole expense.
- (4) The Contractor shall control the defense of any such suit, including appeals, and all negotiations to effect settlement, but shall keep the Department fully informed concerning the progress of the litigation.

(b) If the use of any item(s) or parts thereof is held to infringe a patent or copyright and its use is enjoined, or Contractor believes it will be enjoined, the Contractor shall have the right, at its election and expense to take action in the following order of precedence:

- (1) procure for the Department the right to continue using the same item or parts thereof;
- (2) modify the same so that it becomes non-infringing and of at least the same quality and performance;
- (3) replace the item(s) or parts thereof with noninfringing items of at least the same quality and performance;
- (4) if none of the above remedies are available, discontinue its use and eliminate any future charges or royalties pertaining thereto. The Contractor will buy back the infringing product(s) at the State's book value, or in the event of a lease, the parties shall terminate the lease. If discontinuation or elimination results in the Contractor not being able to perform the Contract, the Contract shall be terminated.

(c) In the event that an action at law or in equity is commenced against the Department arising out of a claim that the Department's use of any item or material pursuant to or resulting from this Contract infringes any patent, copyright or proprietary right, and such action is forwarded by the Department to the Contractor for defense and indemnification pursuant to this Article, the Department shall copy all pleadings and documents forwarded to the Contractor together with the forwarding correspondence and a copy of this Contract to the Office of the Attorney General of the State of New York. If upon receipt of such request for defense, or at any time thereafter, the Contractor is of the opinion that the allegations in such action, in whole or in part, are not covered by the indemnification set forth in this Article, the Contractor shall immediately notify the Department and the Office of the Attorney General of the State of New York in writing and shall specify to what

extent the Contractor believes it is and is not obligated to defend and indemnify under the terms and conditions of this Contract. The Contractor shall in such event protect the interests of the Department and State of New York and secure a continuance to permit the State of New York to appear and defend its interests in cooperation with Contractor as is appropriate, including any jurisdictional defenses which the Department and State shall have.

(d) The Contractor shall, however, have no liability to the Department under this Article if any infringement is based upon or arises out of: (1) compliance with designs, plans, or specifications furnished by or on behalf of the Department as to the items; (2) alterations of the items by the Department; (3) failure of the Department to use updated items provided by the Contractor for avoiding infringement; (4) use of items in combination with apparatus or devices not delivered by the Contractor; (5) use of items in a manner for which the same were neither designed nor contemplated; or (6) a patent or copyright in which the Department or any affiliate or subsidiary of the Department has any direct or indirect interest by license or otherwise.

(e) The foregoing states the Contractor's entire liability for, or resulting from, patent or copyright infringement or claim thereof.

**XVI. Force Majeure** The term Force Majeure shall include acts of God, work stoppages due to labor disputes or strikes, fires, explosions, epidemics, riots, war rebellion, sabotage or the like. If a failure of or delay in performance by either party results from the occurrence of a Force Majeure event, the delay shall be excused and the time for performance extended by a period equivalent to the time lost because of the Force majeure event, if and to the extent that:

(a) The delay or failure was beyond the control of the party affected and not due to its fault or negligence; and

(b) The delay or failure was not extended because of the affected party's failure to use all reasonable diligence to overcome the obstacle or to resume performance immediately after such obstacle was overcome; and

(c) The affected party provides notice within (5) days of the onset of the event, that it is invoking the protection of this provision.

**XVII. Freedom of Information Requests** The Contractor agrees to provide the Department with any records which must be released in order to comply with a request pursuant to the Freedom of Information Law. The Department will provide the contractor with an opportunity to identify material which may be protected from release

and to support its position.

**XVIII. Precedence** In the event of a conflict between the terms of this Appendix B and the terms of the Contract (including any and all attachments thereto and amendments thereof, but not including Appendix A), the terms of this Appendix B shall control. In the event of a conflict between the terms of this Appendix B, and the terms of Appendix A, the terms of Appendix A shall control.

## **XIX. Article 15-Requirements**

### **PARTICIPATION BY MINORITY GROUP MEMBERS AND WOMEN WITH RESPECT TO STATE CONTRACTS: REQUIREMENTS AND PROCEDURES**

#### **(a) General Provisions**

(1)The Department is required to implement the provisions of New York State Executive Law Article 15-A and 5 NYCRR Parts 142-144 ("MWBE Regulations") for all State contracts as defined therein, with a value (1) in excess of \$25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of \$100,000 for real property renovations and construction.

(2)The Contractor to the subject contract (the "Contractor" and the "Contract," respectively) agrees, in addition to any other nondiscrimination provision of the Contract and at no additional cost to the New York State Department (the "Department", to fully comply and cooperate with the Department in the implementation of New York State Executive Law Article 15-A. These requirements include equal employment opportunities for minority group members and women ("EEO") and contracting opportunities for certified minority and women-owned business enterprises ("MWBEs"). Contractor's demonstration of "good faith efforts" pursuant to 5 NYCRR §142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the "Human Rights Law") or other applicable federal, state or local laws.

(3)Failure to comply with all of the requirements herein may result in a finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the withholding of funds or such other actions, liquidated damages pursuant to Section VII of this Article or enforcement proceedings as allowed by the Contract.

**(b) Contract Goals**

(1) For purposes of this procurement, the Department hereby establishes an overall goal of 30% for Minority and Women-Owned Business Enterprises (“MWBE”) participation, (based on the current availability of qualified MBEs and WBEs).

(2) For purposes of providing meaningful participation by MWBEs on the Contract and achieving the Contract Goals established in Section II-A hereof, Contractor should reference the directory of New York State Certified MWBEs found at the following internet address;

<https://ny.newnycontracts.com>

Additionally, the Contractor is encouraged to contact the Division of Minority and Woman Business Development ((518) 292-5250; (212) 803-2414; or (716) 846-8200) to discuss additional methods of maximizing participation by MWBEs on the Contract.

(3) Where MWBE goals have been established herein, pursuant to 5 NYCRR §142.8, Contractor must document “good faith efforts” to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract. In accordance with Section 316-a of Article 15-A and 5 NYCRR §142.13, the Contractor acknowledges that if Contractor is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in the Contract, such a finding constitutes a breach of contract and the Contractor shall be liable to the Department for liquidated or other appropriate damages, as set forth herein.

**(c) Equal Employment Opportunity (EEO)**

(1) Contractor agrees to be bound by the provisions of Article 15-A and the MWBE Regulations promulgated by the Division of Minority and Women's Business Development of the Department of Economic Development (the “Division”). If any of these terms or provisions conflict with applicable law or regulations, such laws and regulations shall supersede these requirements. Contractor shall comply with the following provisions of Article 15-A:

(i) Contractor and Subcontractors shall undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, EEO shall apply in the

areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation.

(ii) The Contractor shall submit an EEO policy statement to the Department within seventy two (72) hours after the date of the notice by Department to award the Contract to the Contractor.

(iii) If Contractor or Subcontractor does not have an existing EEO policy statement, the Department may provide the Contractor or Subcontractor a model statement. This statement can be found at the link provided in Section 8.

(iv) The Contractor’s EEO policy statement shall include the following language:

- a. The Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force.
- b. The Contractor shall state in all solicitations or advertisements for employees that, in the performance of the contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.
- c. The Contractor shall request each employer Department, 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 employer Department, labor union, or representative will not discriminate on the basis of race, creed, color, national origin, sex age, disability or marital status and that such union or representative will affirmatively cooperate in the

implementation of the Contractor's obligations herein.

- d. The Contractor will include the provisions of Subdivisions (a) through (c) of this Subsection 4 and Paragraph "E" of this Section III, which provides for relevant provisions of the Human Rights Law, in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with the Contract.
- e. **EEO Contract Goals** for the purposes of this procurement, the Department hereby establishes a goal of 0% Minority Labor Force Participation, 0% Female Labor Force Participation.

#### (2) Staffing Plan Form

To ensure compliance with this Section, the Contractor shall submit a staffing plan to document the composition of the proposed workforce to be utilized in the performance of the Contract by the specified categories listed, including ethnic background, gender, and Federal occupational categories. Contractors shall complete the Staffing plan form and submit it as part of their bid or proposal or within a reasonable time, but no later than the time of award of the contract.

#### (3) Workforce Employment Utilization Report Form ("Workforce Report")

- (i) Once a contract has been awarded and during the term of Contract, Contractor is responsible for updating and providing notice to the Department of any changes to the previously submitted Staffing Plan. This information is to be submitted on a quarterly basis during the term of the Contract to report the actual workforce utilized in the performance of the Contract by the specified categories listed including ethnic background, gender, and Federal occupational categories. The Workforce Report must be submitted to report this information.
- (ii) Separate forms shall be completed by Contractor and any subcontractor performing work on the Contract.

- (iii) In limited instances, Contractor may not be able to separate out the workforce utilized in the performance of the Contract from Contractor's and/or subcontractor's total workforce. When a separation can be made, Contractor shall submit the Workforce Report and indicate that the information provided related to the actual workforce utilized on the Contract. When the workforce to be utilized on the contract cannot be separated out from Contractor's and/or subcontractor's total workforce, Contractor shall submit the Workforce Report and indicate that the information provided is Contractor's total workforce during the subject time frame, not limited to work specifically under the Contract.

- (2) Contractor shall comply with the provisions of the Human Rights Law, all other State and Federal statutory and constitutional non-discrimination provisions. Contractor and subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

#### (d) MWBE Utilization Plan

- (1) The Contractor represents and warrants that Contractor has submitted an MWBE Utilization Plan either prior to, or at the time of, the execution of the contract.
- (2) Contractor agrees to use such MWBE Utilization Plan for the performance of MWBEs on the Contract pursuant to the prescribed MWBE goals set forth in Section III-A of this Appendix.
- (3) Contractor further agrees that a failure to submit and/or use such MWBE Utilization Plan shall constitute a material breach of the terms of the Contract. Upon the occurrence of such a material breach, Department shall be entitled to any remedy provided herein, including but not limited to, a finding of Contractor non-responsiveness.

#### (e) Waivers

- (1) For Waiver Requests Contractor should use Waiver Request Form.

(2) If the Contractor, after making good faith efforts, is unable to comply with MWBE goals, the Contractor may submit a Request for Waiver form documenting good faith efforts by the Contractor to meet such goals. If the documentation included with the waiver request is complete, the Department shall evaluate the request and issue a written notice of acceptance or denial within twenty (20) days of receipt.

(4) If the Department, upon review of the MWBE Utilization Plan and updated Quarterly MWBE Contractor Compliance Reports determines that Contractor is failing or refusing to comply with the Contract goals and no waiver has been issued in regards to such non-compliance, the Department may issue a notice of deficiency to the Contractor. The Contractor must respond to the notice of deficiency within seven (7) business days of receipt. Such response may include a request for partial or total waiver of MWBE Contract Goals.

#### **(f) Quarterly MWBE Contractor Compliance Report**

Contractor is required to submit a Quarterly MWBE Contractor Compliance Report Form to the Department by the 10<sup>th</sup> day following each end of quarter over the term of the Contract documenting the progress made towards achievement of the MWBE goals of the Contract.

#### **(g) Liquidated Damages - MWBE Participation**

(1) Where Department determines that Contractor is not in compliance with the requirements of the Contract and Contractor refuses to comply with such requirements, or if Contractor is found to have willfully and intentionally failed to comply with the MWBE participation goals, Contractor shall be obligated to pay to the Department liquidated damages.

(2) Such liquidated damages shall be calculated as an amount equaling the difference between:

- (i) All sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and
- (ii) All sums actually paid to MWBEs for work performed or materials supplied under the Contract.

(3) In the event a determination has been made which requires the payment of liquidated damages and such identified sums have not been withheld by the Department, Contractor shall pay such liquidated damages to the Department within sixty (60) days after they are assessed by the Department unless prior to the expiration of such sixtieth day, the Contractor has filed a complaint with the

Director of the Division of Minority and Woman Business Development pursuant to Subdivision 8 of Section 313 of the Executive Law in which event the liquidated damages shall be payable if Director renders a decision in favor of the Department.

#### **(h) Forms**

The following forms referenced in Article XVIII 3-A-3, 3B, 3C and 5A can be found at  
<http://www.dec.ny.gov/about/48854.html>

## **Appendix C**

### **Standard Clauses for Ethics in all NYSDEC Contracts**

The parties to the attached contract, license, lease, grant, 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 "Offeror" herein refers to any party submitting an application, bid, proposal, or other documents in response to this procurement. The word "Contractor" herein refers to any party to the contract, other than the New York State Department of Environmental Conservation (hereinafter "Department").

#### **I. Conflict of Interest**

##### **A. Procurement Phase:**

1. An Offeror will disclose any existing or contemplated relationship with any other person or entity, including relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the Offeror or former officers and employees of the Agencies and their Affiliates, in connection with the Offeror rendering services enumerated in this procurement. If a conflict does or might exist, the Offeror will describe how the Offeror would eliminate or prevent it. This description will include, but not be limited to what procedures will be followed to detect, notify the Agencies of, and resolve any such conflicts.
2. The Offeror must disclose whether it, or any of its members, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Joint Commission on Public Ethics or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included in the Offeror's response indicating how any matter before the Commission was resolved or whether it remains unresolved.
3. The Offeror/Contractor has provided a form (Vendor Assurance of No Conflict of Interest or Detrimental Effect attached hereto as **Attachment 4**), signed by an authorized executive or legal representative attesting that the Offeror's/Contractor's performance of the services does not and will not create a conflict of interest with, nor position the Offeror/Contractor to breach any other contract currently in force with the State of New York, that the Offeror/Contractor will not act in any manner that is detrimental to any State project on which the Offeror/Contractor is rendering services.

##### **B. Contract Phase:**

1. The Contractor hereby reaffirms the attestations made in its proposal and covenants and represents that there is and shall be no actual or potential conflict of interest that could prevent the Contractor's satisfactory or ethical performance of duties required to be performed pursuant to the terms of this contract. The Contractor shall have a duty to notify the Department immediately of any actual or potential conflicts of interest.



2. In conjunction with any subcontract under this contract, the Contractor shall obtain and deliver to the Department, prior to entering into a subcontract, a Vendor Assurance of No Conflict of Interest or Detrimental Effect form, signed by an authorized executive or legal representative of the subcontractor. The Contractor shall also require in any subcontracting agreement that the subcontractor, in conjunction with any further subcontracting agreement, obtain and deliver to the Department a signed and completed Vendor Assurance of No Conflict of Interest or Detrimental Effect form for each of its subcontractors prior to entering into a subcontract.
3. The Department and the Contractor recognize that conflicts may occur in the future because the Contractor may have existing or establish new relationships. The Department will review the nature of any relationships and reserves the right to terminate this contract for any reason, or for cause, if, in the judgment of the Department, a real or potential conflict of interest cannot be cured.
4. In performing this contract, the Contractor recognizes that its employees may have access to data, either provided by the Department or first generated during contract performance, of a sensitive nature which should not be released without prior Department approval. If this situation occurs, the Contractor agrees to obtain confidentiality agreements from all affected employees working on requirements under this contract including subcontractors and consultants. Such agreements shall contain provisions which stipulate that each employee agrees not to disclose, either in whole or in part, to any entity external to the Department, Department of Health or the New York State Department of Law, any information or data provided by the Department or first generated by the Contractor under this contract, any site-specific cost information, or any enforcement strategy without first obtaining the written permission of the Department. If a Contractor, through an employee or otherwise, is subpoenaed to testify or produce documents, which could result in such disclosure, the Contractor must provide immediate advance notification to the Department so that the Department can authorize such disclosure or have the opportunity to take action to prevent such disclosure. Such agreements shall be effective for the life of the contract and for a period of five (5) years after completion of the contract.
5. The Department may terminate this contract in whole or in part, if it deems such termination necessary to avoid a conflict of interest, or an unauthorized disclosure of information. If the Contractor fails to make required disclosures or misrepresents relevant information to the Department, the Department may terminate the contract, or pursue such other remedies as may be allowed by law or other applicable provisions of this contract regarding termination.
6. The Contractor will be ineligible to make a proposal or bid on a contract for which the Contractor has developed the statement of work or the solicitation package.
7. ***If this is a contract for work related to action at an inactive hazardous waste site, the following paragraph shall apply to those Contractors whose work requires the application of professional judgment: It does not apply to construction contracts.***

Due to the scope and nature of this contract, the Contractor shall observe the following restrictions on future hazardous waste site contracting for the duration of the contract.

- a. The Contractor, during the life of the work assignment and for a period of three (3) years after the completion of the work assignment, agrees not to enter into a contract with or to

represent any party with respect to any work relating to remedial activities or work pertaining to a site where the Contractor previously performed work for the Department under this contract without the prior written approval of the Department.

- b. The Contractor agrees in advance that if any bids/proposals are submitted for any work for a third party that would require written approval of the Department prior to entering into a contract because of the restrictions of this clause, then the bids/proposals are submitted at the Contractor's own risk, and no claim shall be made against the Department to recover bid/proposal costs as a direct cost whether the request for authorization to enter into the contract is denied or approved.

## **II. PUBLIC OFFICERS LAW**

Contractors, consultants, vendors, and subcontractors may hire former State Agency or Authority employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of the State Agency or Authority may neither appear nor practice before the State Agency or Authority, nor receive compensation for services rendered on a matter before the State Agency or Authority, for a period of two years following their separation from State Agency or Authority service. In addition, former State Agency or Authority employees are subject to a "lifetime bar" from appearing before the State Agency or Authority or receiving compensation for services regarding any transaction in which they personally participated or which was under their active consideration during their tenure with the State Agency or Authority.

## **III. ETHICS REQUIREMENTS**

The Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements").

The Contractor certifies that all of its employees and those of its subcontractors who are former employees of the State and who are assigned to perform services under this contract shall be assigned in accordance with all Ethics Requirements. During the Term, no person who is employed by the Contractor or its subcontractors and who is disqualified from providing services under this contract pursuant to any Ethics Requirements may share in any net revenues of the Contractor or its subcontractors derived from this Contract. The Contractor shall identify and provide the State with notice of those employees of the Contractor and its Subcontractors who are former employees of the State that will be assigned to perform services under this Contract, and make sure that such employees comply with all applicable laws and prohibitions.

The State may request that the Contractor provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. The State shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed hereunder would be in conflict with any of the Ethics Requirements. The State



shall have the right to terminate this Contract at any time if any work performed hereunder is in conflict with any of the Ethics Requirements.

#### **IV. SUBCONTRACTING**

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

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

The Contractor retains ultimate responsibility for all services performed under the contract.

All subcontracts shall be in writing and shall contain provisions, which are functionally identical to, and consistent with, the provisions of this contract including, but not limited to, the body of this contract, Appendix A – Standard Clauses for New York State Contracts, Appendix B – Standard Clauses for All New York State Department of Environmental Conservation Contracts, Appendix C - Standard Clauses for Ethics in all New York State Department of Environmental Conservation Contracts, and the Solicitation Document.

Unless waived in writing by the Department, all subcontracts between the Contractor and subcontractors shall expressly name the State, through the Department, as the sole intended third party beneficiary of such subcontract. The Department reserves the right to review and approve or reject any subcontract, as well as any amendment to said subcontract(s), and this right shall not make the Department or the State a party to any subcontract or create any right, claim, or interest in the subcontractor or proposed subcontractor against the Department.

The Department reserves the right, at any time during the term of the contract, to verify that the written subcontract between the Contractor and subcontractors is in compliance with all of the provisions of this Section and any subcontract provisions contained in this contract. The Contractor shall give the Department immediate notice in writing of the initiation of any legal action or suit which relates in any way to a subcontract with a subcontractor or which may affect the performance of the Contractor's duties under the contract. Any subcontract shall not relieve the Contractor in any way of any responsibility, duty and/or obligation of the contract.

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

## APPENDIX D

### Participation Opportunities for New York State Certified Service-Disabled Veteran Owned Businesses (SDVOB)

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FOR FUTURE REFERENCE

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## Appendix E

### PARTICIPATION OPPORTUNITIES FOR NEW YORK STATE CERTIFIED SERVICE-DISABLED VETERAN-OWNED BUSINESSES

Article 17-B of the New York State Executive Law provides for more meaningful participation in public procurement by certified Service-Disabled Veteran-Owned Businesses (“SDVOB”), thereby further integrating such businesses into New York State’s economy. the Department recognizes the need to promote the employment of service-disabled veterans and to ensure that certified service-disabled veteran-owned businesses have opportunities for maximum feasible participation in the performance of Department contracts.

In recognition of the service and sacrifices made by service-disabled veterans and in recognition of their economic activity in doing business in New York State, Bidders are expected to consider SDVOBs in the fulfillment of the requirements of the Contract. Such participation may be as subcontractors or suppliers, as protégés, or in other partnering or supporting roles.

The following link includes additional information regarding the responsibilities associates with the Department’s SDVOB program: <http://www.dec.ny.gov/about/108183.html>

#### **I. Contract Goals**

- A. The Department hereby establishes an overall goal of **6%** for SDVOB participation, based on the current availability of qualified SDVOBs. For purposes of providing meaningful participation by SDVOBs, the Bidder/Contractor should contact the Department’s SDVOB lead with questions regarding compliance with SDVOB participation goals at:

**Mark Krisanda**

Contract Management Specialist/SDVOB Program Lead  
Bureau of Contract and Grant Development

**New York State Department of Environmental Conservation**

625 Broadway – 10<sup>th</sup> Floor, Albany, NY 12233-1080

Phone #: (518) 402-9240

[sdvob@dec.ny.gov](mailto:sdvob@dec.ny.gov)

or reference the directory of New York State Certified SDVOBs found at: [https://ogs.ny.gov/veterans/Docs/CertifiedNYS\\_SDVOB.pdf](https://ogs.ny.gov/veterans/Docs/CertifiedNYS_SDVOB.pdf). Additionally, following Contract execution, Contractor is encouraged to contact the Office of General Services’ Division of Service-Disabled Veterans’ Business Development at 518-474-2015 or [VeteransDevelopment@ogs.ny.gov](mailto:VeteransDevelopment@ogs.ny.gov) to discuss additional methods of maximizing participation by SDVOBs on the Contract.

- B. Contractor must document “good faith efforts” to provide meaningful participation by SDVOBs as subcontractors or suppliers in the performance of the Contract (see clause IV below).

## **II. SDVOB Utilization Plan**

- A. Pursuant to 9 NYCRR § 252.2(i), Contractors are required to submit a completed SDVOB Utilization Plan on Form SDVOB 100 prior to contract execution.
- B. The Utilization Plan shall list the SDVOBs that the Bidder intends to use in the performance of the Contract, a description of the work that the Bidder intends the SDVOB to perform to meet the goals on the Contract, the estimated dollar amounts to be paid to an SDVOB, or, if not known, an estimate of the percentage of Contract work the SDVOB will perform. By signing the Utilization Plan, the Bidder acknowledges that making false representations or providing information that shows a lack of good faith as part of, or in conjunction with, the submission of a Utilization Plan is prohibited by law and may result in penalties including, but not limited to, termination of a contract for cause, loss of eligibility to submit future bids, and/or withholding of payments. Any modifications or changes to the agreed participation by SDVOBs after the Contract award and during the term of the Contract must be reported on a revised SDVOB Utilization Plan and submitted to the Department.
- C. The Department will review the submitted SDVOB Utilization Plan and advise the Bidder/Contractor of the Department's acceptance or issue a notice of deficiency within 20 days of receipt.
- D. If a notice of deficiency is issued, Bidder/Contractor agrees that it shall respond to the notice of deficiency, within seven (7) business days of receipt, by submitting to the Department, a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by the Department to be inadequate, the Department shall notify the Bidder/Contractor and direct the Bidder/Contractor to submit, within five business days of notification by the Department, a request for a partial or total waiver of SDVOB participation goals on SDVOB 200. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.
- E. The Department may disqualify a Bidder's bid or proposal as being non-responsive under the following circumstances:
  - (a) If a Bidder fails to submit an SDVOB Utilization Plan;
  - (b) If a Bidder fails to submit a written remedy to a notice of deficiency;
  - (c) If a Bidder fails to submit a request for waiver; or
  - (d) If the Department determines that the Bidder has failed to document good faith efforts.
- F. If awarded a Contract, Contractor certifies that it will follow the submitted SDVOB Utilization Plan for the performance of SDVOBs on the Contract pursuant to the prescribed SDVOB contract goals set forth above.

- G. Contractor further agrees that a failure to use SDVOBs as agreed in the Utilization Plan shall constitute a material breach of the terms of the Contract. Upon the occurrence of such a material breach, the Department shall be entitled to any remedy provided herein, including but not limited to, a finding of Contractor non-responsibility.

### **III. Request for Waiver**

- A. **Prior to submission of a request for a partial or total waiver, Bidder/Contractor shall speak to the Department's Designated Contacts for guidance.**
- B. Pursuant to 9 NYCRR § 252.2(m), a Bidder/Contractor that is able to document good faith efforts to meet the goal requirements, as set forth in clause IV below, may submit a request for a partial or total waiver on Form SDVOB 200, accompanied by supporting documentation. A Bidder may submit the request for waiver at the same time it submits its SDVOB Utilization Plan. If a request for waiver is submitted with the SDVOB Utilization Plan and is not accepted by the Department at that time, the provisions of clauses II (C), (D) & (E) will apply. If the documentation included with the Bidder's/Contractor's waiver request is complete, the Department shall evaluate the request and issue a written notice of acceptance or denial within 20 days of receipt.
- C. Contractor shall attempt to utilize, in good faith, the SDVOBs identified within its SDVOB Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract award may be made at any time during the term of the Contract to the Department, but must be made no later than prior to the submission of a request for final payment on the Contract.
- D. If the Department, upon review of the SDVOB Utilization Plan and Monthly SDVOB Compliance Report (SDVOB 101) determines that Contractor is failing or refusing to comply with the contract goals and no waiver has been issued in regards to such non-compliance, the Department may issue a notice of deficiency to the Contractor. The Contractor must respond to the notice of deficiency within seven business days of receipt. Such response may include a request for partial or total waiver of SDVOB contract goals.

Waiver requests should be sent to:

Mark Krisanda  
Contract Management Specialist/SDVOB Program Lead  
Bureau of Contract and Grant Development  
New York State Department of Environmental Conservation  
625 Broadway – 10<sup>th</sup> Floor, Albany, NY 12233-1080  
Phone #: (518) 402-9240  
[sdvob@dec.ny.gov](mailto:sdvob@dec.ny.gov)

#### **IV. Required Good Faith Efforts**

Pursuant to 9 NYCRR § 252.2(n), Contractors must document their good faith efforts toward utilizing SDVOBs on the Contract. Evidence of required good faith efforts shall include, but not be limited to, the following:

- (1) Copies of solicitations to SDVOBs and any responses thereto.
- (2) Explanation of the specific reasons each SDVOB that responded to Bidders / Contractors' solicitation was not selected.
- (3) Information describing the specific steps undertaken to reasonably structure the Contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified SDVOBs.
- (4) Other information deemed relevant to the waiver request.

#### **V. Quarterly SDVOB Contractor Compliance Report**

Pursuant to 9 NYCRR § 252.2(q), the Contractor is required to report quarterly SDVOB Contractor Compliance to the Department during the term of the Contract for the preceding month's activity, documenting progress made towards achieving the Contract SDVOB goals. This information must be submitted using form SDVOB 101 distributed by the Department's SDVOB program and should be completed by the Contractor and submitted to the Department, by the 20th day of October, January, April, and July during the term of the Contract, for that quarter's activity to:

Mark Krisanda  
Contract Management Specialist/SDVOB Program Lead  
Bureau of Contract and Grant Development  
New York State Department of Environmental Conservation  
625 Broadway – 10<sup>th</sup> Floor, Albany, NY 12233-1080  
Phone #: (518) 402-9240  
[sdvob@dec.ny.gov](mailto:sdvob@dec.ny.gov)

#### **VI. Breach of Contract and Damages**

Pursuant to 9 NYCRR § 252.2(s), any Contractor found to have willfully and intentionally failed to comply with the SDVOB participation goals set forth in the Contract, shall be found to have breached the contract and Contractor shall pay damages as set forth therein.

## **SECTION VIII**

### ***General Conditions***



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## **SECTION VIII**

### ***General Conditions***

#### ***ARTICLE 1 - Preliminary Matters***

##### ***Copies of Documents:***

- 1.1 Department shall furnish to Contractor without charge up to five (5) copies of the Contract Documents. Additional copies of the Contract Documents will be furnished, upon request, at the cost of reproduction.

##### ***Preconstruction Conference:***

- 1.2 No later than twenty (20) calendar days after the Effective Date of the Agreement, but before Contractor starts the Work, a conference will be held on a date and at a location set by Department to:
- 1.2.1 Review, item by item, the requirements of this Article;
  - 1.2.2 Review the qualifications of Contractor's resident superintendent and the qualifications of any Subcontractors and Suppliers of Contractor;
  - 1.2.3 Discuss Contractor's plans for complying with the requirements of Article 5 – *Contractor's Responsibilities* of the General Conditions;
  - 1.2.4 Formalize procedures for processing of Administrative Agreements, Payment Applications, Shop Drawings and other submittals, Change Orders and Proposed Change Orders, and Contractor requests for clarifications and interpretation of Contract Documents;
  - 1.2.5 Establish a working understanding among the parties as to the Work; and
  - 1.2.6 Discuss any conflicts, errors or discrepancies that Contractor has discovered by review of the Contract Documents.

##### ***Commencement of Contract Time and Start of Work at Site:***

- 1.3 Before starting, Contractor shall carefully study and compare the Contract Documents and check and verify pertinent figures shown thereon and all applicable field measurements. Contractor shall immediately report in writing to Engineer any conflict, error or discrepancy which Contractor may discover and shall obtain a written interpretation or clarification from Engineer before proceeding with any Work affected thereby.
- 1.4 Before a Contractor may commence Work on the site but no later than ten (10) calendar days after Notice of Award, Contractor shall submit to Engineer for review and acceptance:

- 1.4.1 An interim progress schedule indicating Contractor's anticipated schedule for the Work for the first three (3) months in detail and for the remainder of the Work in summary form. If Contractor doesn't intend to perform Work on the date when Contract Time commences, Contractor must notify Department as soon as possible in writing when work will commence so inspection services can be scheduled to minimize cost to the Department. The interim progress schedule shall include the information specified in paragraphs 1.4.2 and 1.4.3.
- 1.4.2 An interim schedule of Shop Drawing, material, soil characteristic, sample collection and analytical test result submissions covering the various stages of Work detailed in the first three (3) months of the interim Progress Schedule; and
- 1.4.3 An interim schedule of values on the form provided by Engineer covering the various stages of Work detailed in the first three (3) months of the interim Progress Schedule. Such prices will include an appropriate amount of overhead and profit applicable to each item of Work which will be confirmed in writing by Contractor at the time of submission.
- 1.5 Contractor shall start to perform the Work on the date specified in the Notice to Proceed in a manner consistent with the Contract Documents. No Work shall be done prior to the date specified in the Notice to Proceed unless written permission to do so is given by the Department to the Contractor.

### ***Finalizing Interim Schedules:***

- 1.6 Contractor shall submit a proposed progress schedule to finalize the interim schedules submitted in accordance with paragraph 1.4 and the requirements of the Progress Schedule Section of the Standard Specification no later than twenty (20) days after starting work at the site. The progress schedule shall be acceptable to Engineer and Department as providing an orderly progression of the Work to completion within the Contract Time, but such acceptance will not relieve Contractor from full responsibility for the progress or scheduling of the Work. The schedule of Shop Drawing, material, soil characteristic, sample collection, and analytical test results submissions shall be acceptable to Engineer and Department as providing a workable arrangement for processing the submissions. The schedule of values shall be acceptable to Engineer and Department as to form and substance. The first Application for Payment shall not be processed unless Contractor has submitted acceptable schedules.

## ***ARTICLE 2 - Contract Documents: Intent, Amending, Reuse***

### ***Intent:***

- 2.1 The Contract Documents comprise the entire agreement between Department and Contractor concerning the Work. The Contract Documents are complementary; what is called for by one is as binding as if called for by all.
- 2.2 The Contract Documents describe a functionally complete Project (or part thereof) to be constructed in accordance with the Contract Documents. Any work, materials or equipment that may be necessary to satisfactorily complete the contract must be supplied whether or not specifically called for. When words which have a well-known technical or trade meaning are used to describe Work, materials or equipment, such words shall be interpreted in accordance with that meaning. Reference to standard specifications, manuals or codes of any technical society,

organization or association, or to the Laws of any governmental authority, whether such reference be specific or by implication, shall mean the latest standard specification, manual, code or Laws in effect at the time of opening of Bids (or, on the Effective Date of the Agreement if there were no Bids), even though reference may be specifically made to an earlier standard. If there is any conflict or discrepancy between standard specifications, manuals, or codes of any technical society, organization or association, or between Laws, the Engineer shall determine which shall apply and shall be binding on Contractor. Contractor has a duty to comply with the latest standard specification, manual, code, or Laws in effect at the time of opening of bids, without any increase in Contract Price or extension in Contract Time. Clarifications and interpretations of the Contract Documents shall be issued by Engineer as provided in paragraph 8.4. However, no provision of any referenced standard specification, manual or code (whether or not specifically incorporated by reference in the Contract Documents) shall be effective to change the duties and responsibilities of Department, Contractor or Engineer or any of their consultants, agents or employees from those set forth in the Contract Documents. If there is any conflict or discrepancy between the provisions of the Contract Documents and any such referenced standard specification, manual, or code of any technical society, organization or association, the provisions of the Contract Documents will take precedence.

- 2.3 If during the performance of the Work, Contractor finds a conflict, error or discrepancy in the Contract Documents, Contractor shall so report to Engineer in writing at once and before proceeding with the Work affected thereby, and shall obtain a written interpretation or clarification.

Engineer will promptly investigate the matter and respond to Contractor. Until such interpretation or clarification is obtained from Engineer, any Work done by Contractor after the discovery of such a conflict, error or discrepancy, which is directly or indirectly affected by same, will be at Contractor's own risk and Contractor shall bear all cost arising therefrom. In resolving such conflicts, errors or discrepancies, the Contract Documents shall be given preference in the following order:

- 2.3.1 First, in accordance with the order of preference stated in the conflicting parts of the Contract Documents as provided by Article 4 of the Agreement;
- 2.3.2 In all cases, figured dimensions shall govern over scaled dimensions, but Work not dimensioned shall be as directed, and Work not particularly shown, identified, sized, or located shall be the same as similar parts that are shown or specified. Detail Drawings shall govern over general Drawings, larger scale Drawings take precedence over smaller scale Drawings, Change Order or Proposed Change Order Drawings govern over Contract Drawings, and approved Shop Drawings govern over Contract Drawings. Specifications shall govern as to products, execution and workmanship, and Drawings shall govern as to locations, dimensions, or quantities to be furnished. Further, in all cases where specifications, notes or details in two or more Specifications, or in two or more Drawings, conflict, the requirement calling for the larger quantities, or higher quality product or workmanship shall prevail and be binding on Contractor, unless otherwise directed by Engineer.

### ***Amending and Supplementing Contract Documents:***

- 2.4 The Contract Documents may be amended to provide for additions, deletions and revisions in the Work or to modify the terms and conditions thereof in one or more of the following ways as defined in Section 2, "Terms and Definitions."

- 2.4.1 An Administrative Agreement,
- 2.4.2 A Change Order (pursuant to Article 9), or
- 2.4.3 A Proposed Change Order signed by Department (pursuant to Article 9).

Contract Price and Contract Time may only be changed by a Change Order.

- 2.5 In addition, the requirements of the Contract Documents may be supplemented, and minor variations and deviations in the Work may be authorized, not involving an adjustment in Contract Price or Contract Time, in one or more of the following ways:

- 2.5.1 A Field Order (pursuant to Article 8.4),
- 2.5.2 Engineer's approval of a Shop Drawing or sample (pursuant to Article 5.23 thru 5.29),  
or
- 2.5.3 Engineer's written interpretation or clarification (pursuant to Article 8.3).

### ***Reuse of Documents:***

- 2.6 Neither Contractor nor any Subcontractor or Supplier or other person or organization shall have or acquire any title to or ownership rights in any of the Drawings, specifications or other documents (or copies of any thereof) prepared by or bearing the seal of Engineer or Design Engineer; and they shall not reuse any of them on extensions of the Project or any other project without the written consent of Engineer, Design Engineer, and Department.

## ***ARTICLE 3 - Availability of Lands; Physical Conditions; Reference Points***

### ***Availability of Lands:***

- 3.1 As indicated in the Contract Documents, Department shall make available the lands upon which the Work is to be performed, rights-of-way and easements for access thereto, and such other lands as are designated for the use of Contractor. Easements or other authority for permanent structures or permanent changes in existing facilities will be obtained and paid for by Department, unless otherwise provided in the Contract Documents. If Contractor believes that any delay in Department's furnishing of these lands or easements entitles Contractor to an extension of the Contract Time, Contractor may make a request therefore as provided in Article 10 of the General Conditions. If Department and Contractor are unable to agree concerning such an extension, a claim may be made as provided in Articles 9, 10 and 11 of the General Conditions.
- 3.2 Any lands and easements for access not furnished by Department which Contractor deems necessary for the Work, including but not limited to requirements for temporary construction facilities, access and egress, or for storage of materials, shall be provided by Contractor at no increase in Contract Price nor extension in Contract Time. Contractor shall obtain all necessary permits and written approvals from the appropriate jurisdictional agencies and property owner(s) for use of premises not furnished by Department as described above, and for the use of all off-site areas needed for the Work including but not limited to off-site borrow pits, and waste and disposal areas. If permits and approvals do not specify the required treatment, if any, of said areas during and at the completion of the Work, the Progress Schedule must describe such

treatment. Copies of all permits and approvals applicable to said areas shall be filed with the Engineer before utilization of any said areas. Contractor shall have sole responsibility for any property damage or personal injuries occasioned by an act or omission of Contractor in respect to all lands, and easements obtained pursuant to this paragraph.

- 3.3 Engineering survey horizontal and vertical control reference points for construction which are specified in the Contract Documents or which in Engineer's judgment are necessary to enable Contractor to proceed with the Work, will be provided by Department. Contractor shall be responsible for laying out the Work using such reference points, shall protect and preserve the established reference points; and shall make no changes or relocations without the prior written approval of Engineer. Contractor shall notify Engineer in writing whenever any reference point is lost or destroyed or requires relocation because of necessary changes in grades or locations; and shall be responsible for the accurate replacement or relocation of such reference points by a New York State licensed surveyor at Contractor's expense.

### ***Physical Conditions and Existing Structures:***

- 3.4 **Explorations and Reports:** Reference is made to the Supplementary Bidding Information and Requirements for identification of those reports of explorations and tests of conditions at the site that have been utilized by the Design Engineer in preparation of the Contract Documents; and for identification of those drawings of physical conditions in or relating to existing surface structures (except Underground Facilities referred to in paragraphs 3.5 and 3.6) which are at or contiguous to the site that have been utilized by Design Engineer in preparation of the Contract Documents. Contractor may rely upon the accuracy of the technical data contained in such reports, as to the location where and at the point in time when data was obtained, but not upon non-technical data, interpretations or opinions contained therein or for the completeness thereof for Contractor's purposes. Except as indicated in the Bidding Information and Requirements Section and, in paragraphs 3.9 and 3.10, Contractor shall have full responsibility with respect to subsurface conditions which Contractor could reasonably expect or foresee by reason of the technical data and Contractor's inspection of the site, and with respect to physical conditions in or relating to such surface structures.

### ***Physical Conditions - Underground Facilities Shown or Indicated:***

- 3.5 The information and data shown or indicated in the Contract Documents with respect to existing Underground Facilities at or contiguous to the site is based on information and data furnished to the Design Engineer by the owners of such Underground Facilities or by others. Unless it is otherwise expressly provided in the Supplementary Conditions:
- 3.5.1 Department shall not be responsible for the accuracy or completeness of any such information or data; and,
  - 3.5.2 Contractor shall have responsibility: a) for reviewing and checking all such information and data; b) for locating all Underground Facilities shown or indicated in the Contract Documents as to depth and alignment in advance of installations, backfilling or other work required by the Contract Documents; c) for coordination of the Work with the owners of such Underground Facilities during construction, d) for the safety and protection thereof, and e) for repairing any damage thereto resulting from the Work. The cost of and the time required to perform the responsibilities outlined in this paragraph will be considered as having been included in the Contract Price and in Contractor's

schedule for the performance of the Work within the prescribed Contract Time(s) and Contractor shall not be entitled to additional payment therefor.

- 3.5.3 Contractor shall excavate and uncover all Underground Facilities to be crossed or paralleled by the proposed Work a sufficient time in advance to permit change in line and grade of the existing Underground Facility or the proposed Work if the location of the existing Underground Facility should interfere with the Work. Further, a reasonable interval of time, up to thirty (30) days, will be allowed to Engineer and Department in order to resolve issues relating to Underground Facilities shown or indicated which are determined to interfere with the Work. This interval of time will be considered as having been included in the Contract Price and in Contractor's schedule for the performance of the Work within the Contract Time unless otherwise agreed to in writing by Department. If more than thirty (30) days is consumed in resolving such issues, no claim will be allowed unless: 1) Contractor has given the notice required in paragraph 3.7 of the General Conditions, and 2) within fifteen (15) days thereafter, Contractor has submitted to Department a written Proposed Change Order claim in accordance with the requirement of Article 9, 10 and 11 of the General Conditions and the Standard Specifications.
- 3.5.4 Where it is necessary for the Work to be close to or between other underground facilities or structures for short distances, Contractor shall shore, block, and protect the other underground facilities or structures to the satisfaction of the utility agency, state agency, municipality or private owner having ownership or jurisdiction over said underground facilities on structures.
- 3.5.5 Access to various municipal structures shall not be obstructed by Contractor to prevent use of hydrants, valves, manholes, fire alarms, etc. Contractor is to make no connections to existing water mains, or operate valves on existing mains, or otherwise interfere with the operation of the existing water distribution system, without first giving written notice to the owners of such municipal structures and securing their written approval, and satisfactory fulfillment of applicable permits, fees, or requirements of the proposed action.

***Underground Facilities Not Shown or Indicated:***

- 3.6 If an Underground Facility is uncovered or revealed at or contiguous to the site which was not shown or indicated in the Contract Documents and which Contractor could not reasonably have been expected to be aware of, Contractor shall promptly after learning thereof and before performing any Work affected thereby (except in an emergency as permitted by paragraph 5.23), identify the owner of such Underground Facility and give written notice of such uncovering to that owner and to Engineer and Department. Engineer and Department will promptly review the situation to determine the extent to which the Contract Documents should be modified to reflect and document the consequences of the existence of the Underground Facility, and take prompt action to amend the Contract Documents to the extent necessary. During such time, Contractor shall be responsible for the safety and protection of such Underground Facility as provided in paragraph 5.20.
- 3.6.1 Contractor shall schedule excavation and uncovering Work to begin a sufficient time in advance to allow Engineer's review and the possible amendment to the Contract Documents if unanticipated Underground Facilities are discovered as described in paragraph 3.6. Further, up to thirty (30) days, will be allowed to Engineer and

Department to resolve issues and problems related to a report of newly discovered Underground Facilities, not shown or indicated. This interval of time will be considered as having been included in the Contract Price and in Contractor's schedule for the performance of the Work within the Contract Time and Contractor shall not be entitled to any additional payment therefor.

- 3.6.2 No claim by Contractor under paragraph 3.6 of the General Conditions will be allowed unless more than thirty (30) days has elapsed and 1) Contractor has given the notice required in paragraph 3.7 of the General Conditions, and 2) within fifteen (15) days thereafter, Contractor has submitted to Department a written Proposed Change Order claim in accordance with the requirements of Articles 8, 9, 10 and 11 of the General Conditions, and the Standard Specifications.

### ***Report of Differing Site Conditions:***

- 3.7 If Contractor believes that any subsurface or physical condition uncovered or revealed at the site renders materially inaccurate any information in the Contract Documents or technical data on which Contractor was entitled to rely as provided in paragraph 3.4, Contractor shall, immediately after becoming aware thereof and before performing any Work in connection therewith (except in an emergency as permitted by paragraph 5.23), notify Department and Engineer in writing about the inaccuracy or difference to allow Department and Engineer to make any necessary changes to minimize the cost of the Work.
- 3.8 Engineer's and Department's Review: Engineer and Department will promptly review the pertinent conditions, determine the necessity of obtaining additional explorations or tests with respect thereto, and notify Contractor in writing of findings and conclusions. Immediately thereafter, Department shall perform or cause to be performed any necessary or appropriate additional investigations and tests with respect to the newly discovered conditions and furnish copies to Contractor.
- 3.9 Possible Document Change: If Engineer concludes that there is a material error in the Contract Documents or that because of newly discovered conditions a change in the Contract Documents is required, a Proposed Change Order or a Change Order will be issued as provided in Article 9 to reflect and document the consequences of the inaccuracy or difference, provided Department has not exercised its right to suspend or terminate under Article 14 of Section 8, "General Conditions", Appendix B, or Article 12 of Section 6 "Agreement."
- 3.10 Possible Contract Adjustment: An increase or decrease in the cost of, or the time required to perform any part of the Work, whether or not affected by such differing conditions, and a corresponding adjustment in Contract Price or Contract Time in accordance with Articles 9, 10 and 11 of the General Conditions, or any combination thereof, may be allowable to the extent that they are attributable to any such inaccuracy or difference which Contractor could not reasonably have been expected to anticipate or be aware of. If Department and Contractor are unable to agree as to the adjustment in Contract Price or Contract Time, or if Engineer concludes that there is not a material error in the Contract Documents, or that the uncovered or revealed condition could reasonably have been anticipated by Contractor, and Contractor disagrees, a claim may be made therefor as provided in Articles 9, 10 and 11 of the General Conditions.
- 3.11 No claim by Contractor under paragraph 3.10 of the General Conditions will be allowed unless: 1) Contractor has given the written notice required in paragraph 3.7 of the General Conditions, and 2) within fifteen (15) days thereafter, Contractor has submitted to Department a written



Proposed Change Order substantiating in detail Contractor's proposed adjustments in accordance with the requirements of Articles 9, 10 and 11 of the General Conditions, and the Standard Specifications.

- 3.12 Responsibilities and Allowances: Contractor shall schedule excavation and uncovering of Work to begin a sufficient time in advance to allow Engineer's review as described in paragraph 3.8, and Department's issuance of a Change Order or a Proposed Change Order as described in paragraph 3.9 in connection with a report of differing conditions. Further, a reasonable interval of time, not less than thirty (30) days will be allowed to Engineer and Department for those functions required to resolve any report of differing conditions. This interval of time will be considered as having been included in the Contract Price and in Contractor's schedule for the performance of the Work within the Contract Time. If more than thirty (30) days is used, no claim will be allowed unless (1) Contractor has given the written notice required in paragraph 3.7 of the General Conditions, and (2) within fifteen (15) days thereafter, Contractor has submitted to Department a written Proposed Change Order claim in accordance with the requirements of Articles 8, 9, 10 and 11 of the General Conditions, and the Standard Specifications.

#### **ARTICLE 4 - Bonds and Insurance**

##### **Performance and Other Bonds:**

- 4.1 Contractor shall furnish performance, labor and material payment Bonds, each in an amount at least equal to the Contract Price as security for the faithful performance and payment of all Contractor's obligations under the Contract Documents. These Bonds shall remain in effect until at least one year after the date when final payment is made, unless otherwise provided by Law or by the Contract Documents. Contractor shall also furnish such other Bonds as are required by the Supplementary Conditions. All Bonds shall: a) be in the form prescribed by the Contract Documents; and b) be executed by such sureties as are named in the current list of "Companies Holding Certificates of Authority as Acceptable Sureties on Federal Bonds and As Acceptable Reinsuring Companies" as published by the U.S. Treasury Department. Also the surety shall be licensed to do business in New York State. All Bonds signed by an agent must be accompanied by an original or a certified true copy of the agent's power of attorney. Contractor's failure to submit and keep in effect a Bond or form of financial security acceptable to Department in the manner required by this paragraph shall be cause for termination. Contractor shall give written notice to Department and reference the site number and project name, if the surety on any Bond furnished by Contractor is declared bankrupt, becomes insolvent, its right to do business is involuntarily terminated by any state or federal agency, it ceases to meet the requirements of paragraph 4.1, Contractor, if required by Department, shall within fourteen days substitute another Bond or Surety, in an acceptable form of financial security. The top of all bonds shall have "NYSDEC-DER Site No. 558035."

If the provision of any bond requires that the surety be notified of any change in the Work, it shall be Contractor's responsibility to so notify the surety. Contractor shall furnish Department any modified bond.

**Insurance - All Types:**

- 4.2 The Contractor shall procure, at its sole cost and expense, all insurance required herein. During the term of the contract and any renewal or extensions thereof, the Contractor shall maintain in force, at its sole cost and expense, policies of insurance as required herein. All insurance required herein shall be written by companies that have an A.M. Best Company rating of "A-," Class "VII" or better. In addition, companies writing insurance intended to comply with the requirements herein should be licensed or authorized by the New York State Department of Financial Services to issue insurance in the State of New York. The Department may, in its sole discretion, accept policies of insurance written by a non-authorized carrier or carriers when certificates and/or other policy documentation are accompanied by a completed Excess Lines Association of New York (ELANY) affidavit or other documents demonstrating the company's strong financial rating. If, during the term of a policy, the carrier's A.M. Best rating falls below "A-," Class "VII," the insurance must be replaced, on or before the renewal date of the policy, with insurance that meets the requirements above.

The Contractor shall furnish to the Department a certificate or certificates with the appropriate endorsements showing that it has complied with this Article. The insurance documentation shall provide that:

- a. Liability and protective liability insurance policies shall provide primary and non-contributory coverage to the NYS Department of Environmental Conservation for any claims arising from the Contractor's Work under this contract, or as a result of the Contractor's activities. Insurance policies will not be accepted that:
  - remove or restrict blanket contractual liability located in the "insured contract" definition (as stated in Section V, Number 9, Item f in the ISO CGL policy) so as to limit coverage against claims that arise out of work; or
  - remove or modify the "insured contract" exception to the employers liability exclusion; or
  - do not cover the additional insured for claims involving injury to employees of the named insured or subcontractors.

**The Contractor shall provide fully-completed ACORD 855 New York Construction Certificate of Liability Insurance Addendum along with specified General Liability certificate and accompanying endorsements.**

- b. The State of New York, NYS Department of Environmental Conservation, its officers, agents and employees, Division of Environmental Remediation, Remedial Bureau E, 625 Broadway, Albany, NY 12233-7017, shall be listed as Certificate Holder on all liability insurance certificate(s), as additional insureds on endorsement(s) and on additional supporting documentation.
- c. All applicable insurance policies pertaining to this Article shall include a waiver of subrogation in favor of the State of New York, the Department of Environmental Conservation, their officers, agents, and employees as additional insureds.
- d. Said additional insured and waiver of subrogation coverage shall be in the form of an endorsement, or specified by the policy as blanket coverage as per written contract.

- e. Policies shall not be changed or canceled until thirty (30) days prior written notice has been given to the Department; as evidenced by an endorsement, or declarations page.
- f. Insurance documentation shall disclose any deductible, self-insured retention, aggregate limit or any exclusion to the policy that materially changes the coverage required by the Contract.
- g. Endorsements in writing must be added to and made part of the insurance contract for the purpose of changing the original terms to reflect the revisions and additions as described. A copy of these endorsements must be provided to the Department.
- h. Applicable insurance policy number(s) referenced on the ACORD form must be referenced in the supporting documentation requested by the Department and supplied by the insurance company (e.g. endorsement page, declarations page, etc.).
- i. Worker's Compensation and Disability Benefits certificates shall name the New York State Department of Environmental Conservation, Division of Environmental Remediation, Remedial Bureau E, 625 Broadway, Albany, NY 12233-7017, as entity requesting proof of coverage.
- j. This Contract shall be void and of no effect unless the Contractor procures the required insurance policies and maintains them until acceptance or completion of the work, whichever event is later. If at any time during the term of this contract the coverage provisions and limits of the policies required herein do not meet the provisions and limits set forth in the Contract or proof thereof is not provided to the Department, the Contractor shall immediately cease Work on the Project. The Contractor shall not resume Work on the Project until authorized to do so by the Department. Any delay, time lost, or additional cost incurred as a result of the Contractor not having insurance required by the Contract or not providing proof of same in a form acceptable to the Department, shall not give rise to a delay claim or any other claim against the Department. Should the Contractor fail to provide or maintain any insurance required by this contract, or proof thereof is not provided to the Department, the Department may withhold further contract payments, treat such failure as a breach or default of this contract, and/or, after providing written notice to the Contractor, require the Surety "if any" to secure appropriate coverage and/or purchase insurance complying with the Contract and charge back such purchase to the Contractor.
- k. Should the Contractor engage a subcontractor, the Contractor shall endeavor to impose the insurance requirements of this document on the subcontractor, as applicable. The Contractor shall determine the required insurance types and limits, commensurate with the work of the subcontractor and maintain the certificate or certificates and endorsements for all subcontractors hired as part of the Contractor's records.

**The following types and amounts of insurance are required for this Contract:**

**4.2.1 Workers' Compensation:**

For work to be performed in New York State, the Contractor shall provide and maintain full New York State coverage during the life of this contract for the benefit of such employees as are required to be covered by the New York State Workers' Compensation Law.

If the agreement involves work on or near a shoreline, a U.S. Longshore and Harbor Workers' Compensation Act and/or Jones Act policy as applicable must be provided. Any waiver of this requirement must be approved by the Department and will only be granted in unique or unusual circumstances.

Evidence of Workers' Compensation and Employers Liability coverage must be provided on one of the following forms specified by the Chairman of the New York State Workers' Compensation Board:

| FORM #              | FORM TITLE   |
|---------------------|--|
| C-105.2             | Certificate of Workers' Compensation Insurance (September 2007, or most current version) |
| U-26.3              | State Insurance Fund Version of the C-105.2 form   |
| SI-12/<br>GSI-105.2 | Certificate of Workers' Compensation Self-Insurance                                      |
| CE-200              | Certificate of Attestation of Exemption (when Contractor meets the requirements.)        |

All forms are valid for one year from the date the form is signed/stamped, or until policy expiration, whichever is earlier.

***Please note that ACORD forms are NOT acceptable proof of New York State Workers' Compensation Insurance coverage.***

Additional information can be obtained at the Workers' Compensation website:

<http://www.wcb.ny.gov/content/main/Employers/Employers.jsp>

#### 4.2.2 Disability Benefits:

For work to be performed in New York State, 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 New York State Disability Benefits Law. Any waiver of this requirement must be approved by the Department of Environmental Conservation and will only be granted in unique or unusual circumstances.

Evidence of Disability Benefits coverage must be provided on one of the following forms specified by the Chairman of the New York State Workers' Compensation Board:

| FORM #   | FORM TITLE   |
|----------|--|
| DB-120.1 | Certificate of Insurance Coverage under the New York State Disability Benefits Law |
| DB-155   | Certificate of Disability Self-Insurance   |
| CE-200   | Certificate of Attestation of Exemption (when Contractor meets the requirements.)  |

All forms are valid for one year from the date the form is signed/stamped, or until policy expiration, whichever is earlier.

***Please note that ACORD forms are NOT acceptable proof of New York State Disability Benefits Insurance coverage.***

Additional information can be obtained at the Workers' Compensation website:

<http://www.wcb.ny.gov/content/main/Employers/Employers.jsp>

#### 4.2.3 Commercial General Liability Insurance:

Contractor shall provide and maintain Commercial General Liability Insurance (CGL) covering the liability of the Contractor for bodily injury, property damage, and personal/advertising injury arising from all work and operations under this contract. The limits under such policy shall not be less than the following:

- Each Occurrence limit – \$2,000,000
- General Aggregate – \$5,000,000
- Products/Completed Operations – \$5,000,000
- Personal & Advertising Injury - \$1,000,000
- Damage to Rented Premises - \$50,000
- Medical Expense - \$5,000

Coverage shall include, but not be limited to, the following:

- Premises liability;
- Independent contractors;
- Blanket contractual liability, including tort liability of another assumed in a contract;
- Defense and/or indemnification obligations, including obligations assumed under this contract
- Cross liability for additional insureds;
- Products/completed operations for a term of no less than 3 years, commencing upon acceptance of the work, as required by the contract;
- Explosion, collapse, and underground hazards;
- Contractor means and methods
- Liability resulting from Section 240 or Section 241 of the New York State Labor Law.

The following ISO forms must be endorsed to the policy:

CG 20 10 11 85 or an equivalent – Additional Insured-Owner, Lessees or Contractors

CG 25 03 11 85 or an equivalent – Designated Construction Project(s) general aggregate limit (only required for construction contracts).

Limits may be provided through a combination of primary and umbrella/excess liability policies. The CGL aggregate shall be endorsed to apply on a per project basis for construction contracts.

If the activity involves construction or demolition within 50 feet of stations, yards, tracks, or other railroad property, the exclusion of coverage for work done within 50 feet of railroad property must be deleted. Endorsement CG 24 17 or equivalent will be required to reflect the deletion of the Railroad 50 foot exclusion.

#### 4.2.4 Business Automobile Liability:

Contractor shall provide and maintain Business Automobile Liability insurance covering liability arising out of the use of any registered motor vehicle in connection with the contract, including owned, leased, hired and non-owned vehicles. Such policy shall have a combined single limit for Bodily Injury and Property Damage of at least \$1,000,000.

If the Contractor does not own, lease or hire any registered motor vehicles or will not be using any vehicles in the performance of the contracted services, proof of Business Automobile Liability Insurance shall not be required for this Contract. However, Contractor is required to execute Business

#### Automobile Liability Insurance Attestation.

The Contractor shall assume full responsibility and liability that owners and operators of any registered motor vehicles to conduct work under this contract carry the same Business Automobile Liability Insurance of the kinds and amounts listed above. NYS Department of Environmental Conservation reserves the right to request proof of the same.

#### 4.2.5 Environmental Liability:

Contractor shall procure, or otherwise obtain through an approved subcontractor, and maintain in full force and effect throughout the term of the contract, and for two years after completion hereof, pollution legal liability insurance with limits of not less than \$5,000,000 providing **primary** coverage for bodily injury and property damage, including loss of use of damaged property or of property that has not been physically injured. Such policy shall provide coverage for actual, alleged or threatened emission, discharge, dispersal, seepage, release or escape of pollutants, including any loss, cost or expense incurred as a result of any cleanup of pollutants or in the investigation, settlement or defense of any claim, suit, or proceedings against the Department of Environmental Conservation arising from the Contractor's work.

This requirement applies to mold as well if excluded in the commercial general liability policy.

If vehicles are to be used for transporting hazardous materials, the Contractor shall also provide pollution liability broadened coverage for covered autos (endorsement CA 01 12 03 06) as well as proof of MCS 90.

#### 4.2.6 Professional Liability:

The Contractor shall procure and maintain during and for a period of three (3) years after completion of this contract, Professional Liability Insurance in the amount of \$2,000,000 issued to and covering damage for liability imposed on the Contractor by this contract or law arising out of any negligent act, error, or omission in the rendering of or failure to render professional services required by this contract. The professional liability insurance may be issued on a claims-made policy form, in which case the Contractor shall purchase at its sole expense, extended Discovery Clause coverage of up to three (3) years after work is completed if coverage is cancelled or not renewed. The Contractor shall provide coverage for its negligent act, error or omission in rendering or failing to render professional services required by this contract arising out of specifications, installation, modification, abatement, replacement or approval of products, materials or processes containing pollutants, and the failure to advise of or detect the existence or the proportions of pollutants.

Should any subcontractor(s) or supplier(s) retained by the Contractor provide professional services requiring design (i.e. the signature, stamp or certification of a licensed professional), the Contractor shall collect Professional Liability Insurance from the subcontractor(s) or supplier(s) and retain said insurance as part of the contract documents.

A Waiver of Subrogation in favor of the State of New York, the Department of Environmental Conservation, their officers, agents, and employees as Certificate Holder shall apply.

#### 4.2.7 Contractor's Equipment:

The Contractor shall secure, pay for, and maintain Property Insurance necessary for protection against the loss of owned, borrowed or rented capital equipment and tools, including any tools owned

by employees, and any tools or equipment, staging towers, and forms owned, borrowed or rented by the Contractor. The requirement to secure and maintain such insurance is solely for the benefit of the Contractor. Failure of the Contractor to secure such insurance or to maintain adequate levels of coverage shall not render the Department or their agents and employees responsible for any losses; and the Department, their agents and employees shall have no such Liability.

#### **4.2.8 Builders' Risk:**

The Department shall, except as otherwise specified, at all times during the period of construction and until physical completion and acceptance, procure and maintain, at the cost and expense of the Department, "All Risk" Builder's Risk Insurance. The Contractors and Subcontractors will be covered for their work. Losses up to and including \$2,500 shall be borne by the Contractor. Reimbursement of loss, if any, is to be made payable to the Department. The Department shall, at the Owner's sole discretion, have power to adjust and to settle with the insurer any loss or claim under said insurance. Coverage shall include sub-limits for property in transit and for property in storage on and off the job site.

#### **4.2.9 Owners and Contractors Protective Liability:**

The Contractor shall obtain a separate Owners/Contractors Protective Liability (OCP) Policy as follows:

- For work related to street, road, highway, and/or bridge work
  - Form CG 00 09, Owners and Contractors Protective Liability Coverage form – Coverage for Operations of the Designated Contractor; AND
  - Form CG 00 14, Special Protective and Highway Liability Policy – New York Department of Transportation
- For projects not related to street, road, highway, and/or bridge work
  - Form CG 00 09, Owners and Contractors Protective Liability Coverage form – Coverage for Operations of the Designated Contractor ONLY

The policy shall be written on a project basis for the benefit of the People of the State of New York, the Department, its officers, agents, and employees, with respect to all operations under this contract by the Contractor or its subcontractors, including in such coverage any omissions and supervisory acts of the Department, its officers, agents, and employees.

The State of New York and the NYS Department of Environmental Conservation, Division of Environmental Remediation, Remedial Bureau E, 625 Broadway, Albany, NY 12233-7017 shall be the Named Insured in the OCP Policy, which shall be promptly furnished to the Department. OCP policy limits shall be no less than \$1,000,000 (Each Occurrence) / \$2,000,000 (General Aggregate).

#### **4.2.10 Railroad Protective Liability:**

Contractor shall provide and maintain a Railroad Protective Liability (RRP) Policy in the amounts required by the respective Railroad. The policy must name the Railroad as the Named Insured and the definition of "physical damage to property" must be amended to mean direct and accidental loss of or damage to "all property of any Named Insured and all property in any Named Insured's care, custody or control".

Evidence of Railroad Protective Liability Insurance must be provided on the Certificate of Insurance, and a detailed Binder pending issuance of the policy, or on an ISO-RIMA or equivalent form approved by the Railroad, and meet any other requirements as specified by the Railroad and/or the Department of Environmental Conservation.

**4.2.11 Marine Protection & Indemnity:**

Not required.

**4.2.12 Umbrella and Excess Liability:**

When the limits of the herein above required Liability insurance policies procured are insufficient to meet the limits specified, the Contractor shall procure and maintain Commercial Umbrella and/or Excess Liability policies with limits in excess of the primary; provided, however, that the total amount of insurance coverage is at least equal to the requirements set forth above. Such policies shall follow the same form as the primary.

**4.2.13 Unmanned Aircraft Systems ("UAS") Liability:**

UAS Liability will be required whenever the contracted work includes operation of an Unmanned Aircraft System (UAS), also known as a Drone. The Contractor and/or its subcontractor shall provide an Aviation Liability Insurance policy covering the liability of the operator for bodily injury, property damage, and Personal injury arising from all operation in the amount of \$1,000,000 per occurrence.

***ARTICLE 5 - Contractor's Responsibilities***

***Supervision and Superintendence:***

- 5.1 Contractor shall supervise and direct the Work required by the contract competently and efficiently, devoting such attention thereto and applying such skills and expertise as may be necessary to perform the Work in accordance with the Contract Documents. Contractor shall be responsible for the means, methods, techniques, sequences and procedures of construction; except that Contractor shall not be responsible for the negligence of others in the design or selection of a specific means, method, technique, sequence or procedure of construction which is indicated in and required by the Contract Documents. Contractor shall be responsible to see that the finished Work conforms with the Contract Documents.
- 5.2 Contractor shall keep on the Site of the Work at all times during its progress, a competent and reliable resident superintendent, who shall not be replaced without written approval of Department. The superintendent will be Contractor's representative at the site and shall have authority to act on behalf of Contractor. All communications given to the superintendent shall be as binding as if given to Contractor.
  - 5.2.1 Department may require immediate replacement of the superintendent upon written notice for cause.
  - 5.2.2 The superintendent and similar authorized representatives of any Subcontractors as requested by Department or Engineer shall attend all meetings pertaining to the Work.



- 5.2.3 Whenever the superintendent is not present for performance of a particular part of the Work and Engineer is not able to give to Contractor, through the superintendent, information relative to an interpretation of the Contract Documents, or relative to disapproval or rejection of materials or the performance of such work, Engineer may so inform the worker in charge of such Work. Information so given shall be binding as if given to superintendent.
- 5.2.4 Contractor shall issue all communications to Department through Engineer except as provided by Contract Documents. All written correspondence to Engineer shall be copied to Department.

***Labor, Working Hours, Materials and Equipment:***

- 5.3 Contractor shall provide competent, suitably qualified personnel to survey and lay out the Work and perform construction as required by the Contract Documents. Contractor shall, at all times, employ labor and equipment which shall be sufficient to prosecute the several classes of work to full completion in the manner and time specified. All workers must have sufficient skill, experience and Health and Safety training required to perform properly the work assigned them. All workers engaged on special or skilled work shall have had sufficient experience in such work to perform properly and satisfactorily including operation of any equipment involved. Any person employed by Contractor or Subcontractor whom the Engineer or Department may determine incompetent or unfit to perform the work shall be at once discharged or reassigned and not again be employed on Work in connection with this Contract. The Contractor may request review by Department regarding the discharge of such employee(s). Contractor shall at all times maintain good discipline and order at the site. Except in connection with the safety or protection of persons or the Work or property at the site or adjacent thereto, and except as otherwise indicated in the Contract Documents, all Work at the site shall be performed during normal working hours as defined in paragraph 5.3.1 below, and Contractor shall not permit overtime Work or the performance of Work during hours other than normal Working hours without: a) prior written notice to Engineer; b) Department's written consent; and c) written approval from the New York State Department of Labor as required by law.
  - 5.3.1 Normal working hours shall be defined as a normal working schedule which a) does not exceed eight hours per working day, occurring between the hours set forth at the pre-construction conference, or if none are set forth, beginning no earlier than 7:00 a.m. and ending at no later than 5:00 p.m.; and b) does not exceed 40 hours per week, excluding overtime Work, Work on Saturdays, Sundays, and Federal- or New York State-observed holidays. Work during other than normal working hours may be scheduled by Contractor by first obtaining written permission from Department and as provided in Section 5.3. Department shall be entitled to recover extra costs incurred in providing inspection related to Work done during other than normal working hours in accordance with paragraph 5.3.5 below.
  - 5.3.2 If Contractor, for convenience, voluntarily chooses to schedule Work during hours other than normal working hours at no increase in Contract Price, Contractor shall submit details of such proposed schedule with the interim Progress Schedule described in paragraph 1.6 of the General Conditions. Any Progress Schedule calling for Work outside of normal working hours shall be reviewed for acceptance by Engineer and Department and must be in accordance with the requirements of the New York State Labor Law and Articles 1.6 and 5.3 of the General Conditions.

- 5.3.3 If at any time subsequent to the submission and approval of the Progress Schedule pursuant to the General Conditions and the Standard Specifications, an event or delay not meeting the requirements for extensions in Contract Time set forth in Articles 9, 10 and 11 of the General Conditions occurs, and requires Contractor to schedule Work during hours other than normal working hours for Contractor's convenience and at no increase in Contract Price, Contractor shall submit, at least ten (10) working days in advance of the acceleration period, a proposed revised accelerated schedule for review by Engineer and Department. If Department accepts the revised accelerated Progress Schedule, Department will so notify Contractor in writing.
- 5.3.4 If the accelerated Progress Schedule pursuant to paragraph 5.3.2 or 5.3.3 is accepted by Department, Contractor shall reimburse Department for all extra costs incurred in providing inspection during hours other than normal working hours in accordance with paragraph 5.3.5 below. Acceptance by Department of the accelerated Progress Schedule shall not justify an increase in Contract Price; any increase in Contractor's cost to perform the Work, or any part thereof, whether or not affected by Contractor's initiated acceleration proposal, shall remain the responsibility of Contractor.
- 5.3.5 Contractor shall reimburse Department for the extra costs incurred in providing inspection during hours other than normal working hours when Department considers that the additional hours are due to Contractor's inefficiencies or delays. Reimbursement may include but may not be limited to costs for Engineer, Resident Project Representatives, administrative expenses and other related costs. Reimbursement for Engineer's charges shall be in amounts equal to Engineer's charges to Department for inspection during hours other than normal working hours under the terms of Engineer's agreement with Department. In the event Contractor fails to pay such costs within 30 days after receipt of an invoice from Department, a Change Order or Proposed Change Order may be issued incorporating the unpaid amounts, and Department shall be entitled to an appropriate decrease in Contract Price.
- 5.3.6 Department may direct Contractor to accelerate if the progress of Work indicates Contractor may not be able to complete the contract within the contract terms. Contractor shall be responsible for all increased costs due to the acceleration.
- 5.4 Unless otherwise specified in the Contract Documents, Contractor shall furnish and assume full responsibility for all materials, equipment, labor, transportation, construction equipment and machinery, tools, appliances, fuel, power, light, heat, telephone, water, sanitary facilities, storage areas, temporary facilities and all other facilities and incidentals necessary for the furnishing, performance, testing, start-up and completion of the Work.
- 5.4.1 All water for testing, flushing and construction shall be furnished by Contractor. If water is available from Department and Department agrees to its use, Contractor shall connect to Department's water system at a point approved by Department. Department will charge Contractor for water used in performing the above functions in accordance with Department's established rate schedule. There shall be installed at each and every connection to any water supply: (a) a meter accepted by Department or Owner of water supply, and (b) a backflow preventer device accepted by the New York State Department of Health.

- 5.4.2 In the event that Contractor wishes to utilize water from a source other than the Department's facilities as a substitute source of test water, Contractor shall submit sufficient information in accordance with paragraph 5.7.2 of the General Conditions to allow Engineer to evaluate the substitution. Additionally, such information shall include a description of the necessary equipment and temporary facilities needed to implement the substitute and an estimate of the costs savings anticipated. In the event that the substitution is accepted by Engineer pursuant to the requirements of paragraph 5.7.3 of the General Conditions and allowed by Department, and the supply of water is inadequate in quantity or quality, Contractor shall be responsible for obtaining other sources of test water at no increase in Contract Price or extension in Contract Time.
- 5.4.3 Contractor shall light the parts of the Work performed during working hours in the manner required by law and as required by Engineer or Department.
- 5.5 Except as otherwise provided in the Contract Documents, all materials shall be of good quality, good condition and new, and all equipment shall be new, or should be in good working order and of good quality. As required by Engineer, Contractor shall furnish satisfactory evidence (including reports of required tests) as to the kind and quality of materials and equipment. All materials and equipment shall be applied, installed, connected, erected, used, cleaned and conditioned in accordance with the instructions of the applicable Supplier except as otherwise provided in the Contract Documents.
  - 5.5.1 Contractor shall provide to Department for Department's benefit through Engineer all manufacturers' warranties for materials, and products incorporated into the Work, or required by the Contract Documents to be furnished by Contractor.
  - 5.5.2 Contractor shall obtain from manufacturers of all materials and products complete information as to any special condition, or restriction to be applied in the use of these items. Should the manner or method of installation, specified performance or test results as set forth in the Specifications be contrary to the manufacturer's recommendations for installation and use of the product, the Contractor shall notify Engineer of same for appropriate action. Lack of such notification shall constitute a certification and guarantee by Contractor that Specification requirements will be met by such materials and products to be incorporated.
  - 5.5.3 Contractor shall submit data on all products to be incorporated into the Work required by the Contract Documents, including but not limited to complete maintenance instructions (including preventive maintenance and operating requirement data) and parts lists in sufficient detail to facilitate ordering replacements, in accordance with the procedures set forth in the Special Supplementary Conditions, the Standard Specifications or the Supplementary Specifications.

***Adjusting Progress Schedule:***

- 5.6 Contractor shall report on the status of and any revisions to the Progress Schedule to Engineer and Department by delivering Progress Schedule status and update submittals to Engineer in accordance with the Specifications and Article 1.6 of the General Conditions. If Contractor does not adequately update the Schedule, Department may reject Contractor's requests for payment, provided that Department gives Contractor ten (10) days written notice of its intention to do so.

***"Or-Equal" or Substitute Items:***

- 5.7.1 Whenever materials or equipment are specified or described in the Contract Documents by using the name of a proprietary item or the name of a particular Supplier, the naming of the item is intended to establish the type, function, quality, performance and design criteria required. Unless the name is followed by words indicating that no "or equal" or substitution is permitted, materials or equipment of other Suppliers may be accepted by Engineer if sufficient information is submitted by Contractor to allow Engineer to determine that the material or equipment proposed is equivalent or equal to that named. The procedure for review by Engineer will include the following as supplemented in the Contract Documents. Requests for review of "or equal" or substitute items of material and equipment will not be accepted by Engineer from anyone other than Contractor. If Contractor wishes to furnish or use an "or equal" or substitute item of material or equipment, Contractor shall make written application to Engineer for acceptance thereof, certifying that the proposed "or equal" or substitute shall perform the functions and achieve the results called for by the general design, be similar and of equal substance and quality to that specified and be suited to the same use as that specified.
- 5.7.1.1 The application shall state that the evaluation and acceptance by Engineer of the proposed "or equal" or substitute shall not prejudice completion of the Work, or any part thereof, within the Contract Time, or contract times (including Contractor's achievement of Substantial Completion on time), whether or not acceptance of the "or equal" or substitute for use in the Work would require a change in the Work, or any part thereof, or would require the Department or others having a contract with Department for Work on the Project to adapt the Contract Documents to the proposed "or equal" or substitute; and whether or not incorporation or use of the "or equal" or substitute in connection with the Work is subject to payment of any license fee or royalty. All variations of the proposed "or equal" or substitute from that specified shall be identified in the application and available maintenance, repair and replacement services shall be indicated. The application shall also contain an itemized estimate of all increases or decreases in the following costs: 1) the cost of, or the time required to perform any part of the Work, and the corresponding adjustments in Contract Price and Contract Time, resulting directly or indirectly from evaluation and acceptance of the proposed substitute, including, but not as a way of limitation, costs and delays associated with redesign, or claims of other contractors affected by the resulting "or equal" or substitute, and 2) increases or decreases in operating, maintenance, repair, replacement or spare part costs, all of which shall be considered by Engineer in evaluating the proposed "or equal" or substitute. In rendering a decision, Department and Engineer shall at a minimum, have access to any available Total Float in the approved Progress Schedule. Engineer may require Contractor to furnish at Contractor's expense additional data about the proposed "or equal" or substitute.
- 5.7.2 If a specific means, method, technique, sequence or procedure of construction is indicated in or required by the Contract Documents, Contractor may furnish or utilize a substitute only if first approved by Engineer. Contractor shall submit in writing sufficient information to allow Engineer to determine that the substitute proposed is equivalent to that indicated or required by the Contract Documents. The procedures for review by

Engineer established by paragraph 5.7.1, and as may be supplemented in the Contract Documents, will apply to reviews under this paragraph.

- 5.7.3 Engineer shall be allowed a reasonable time as determined by Department within which to evaluate each proposed "or equal" or substitute. Engineer and Department shall be the sole judge of acceptability and no "or equal" or substitute shall be ordered, installed or utilized without Engineer's prior written acceptance which will be evidenced by either a Change Order or an approved Shop Drawing. Department may require Contractor to furnish at Contractor's expense a special performance guarantee or other financial security with respect to any substitute. Engineer will keep record of the time required by Engineer and Engineer's consultants in evaluating "or equals" or substitutions proposed by Contractor and in making changes in the Contract Documents occasioned thereby. Whether or not Engineer accepts an "or equal" or proposed substitute, Department shall be entitled to an offset against any payment due Contractor for the charges of Engineer and Engineer's consultants for evaluating each proposed "or equal" or substitute after the second submittal on such item. In the event that substitute materials or equipment are accepted and are less costly than the originally specified materials or equipment, then the net difference in cost shall benefit Department, and an appropriate Change Order or Proposed Change Order shall be executed to reflect the difference in cost. If Engineer or Department determine that the deduction proposed by Contractor does not reflect the net difference in cost, then this shall be adequate justification to reject the proposed substitute. Additional construction and/or engineering costs identified after Department's acceptance of the proposal and resulting from installation of an "or equal" or substitute shall be borne by Contractor.

### ***Subcontractors, Suppliers and Others:***

- 5.8.1 Contractor shall not employ nor award Work to Subcontractors in excess of the amount specified in Article 6 of the Supplementary Bidding Information and Requirements Section. Such percentage may be increased by an Administrative Agreement if, during performance of the Work, Contractor requests an increase and Department at its sole discretion determines that the increase would be to Department's advantage. Contractor shall submit to Department a statement stating the character and amount of the work to be subcontracted and the party to whom it is proposed to subcontract the work. Contractor shall not employ any Subcontractor, Supplier or other person or organization whether initially or as a substitute, unless first approved by Department.
- 5.8.2 Wherever Work to be performed by Contractor or by a Subcontractor is dependent upon Work of other Subcontractor(s) or the work of separate contractor(s), then Contractor shall require such Subcontractor(s) whose Work is so dependent to:
- 5.8.2.1 Provide necessary notices of delay, data or other requirement(s) for performance of dependent Work or work of separate contractor(s),
  - 5.8.2.2 Supply and/or install items to be built into dependent Work or work of separate contractor(s),
  - 5.8.2.3 Make provisions for dependent Work or work of separate contractor(s),
  - 5.8.2.4 Examine previously placed dependent Work or work of separate contractor(s),

- 5.8.2.5 Check and verify dimensions of previously placed dependent Work or work of separate contractor(s),
- 5.8.2.6 Notify Engineer in writing immediately upon determining previously placed dependent Work or work of separate contractor(s), the dimensions of which are unsatisfactory or will prevent a satisfactory installation of Work,
- 5.8.2.7 Not proceed with Work until the unsatisfactory dependent conditions which prevent satisfactory installation of Work have been corrected.

Installation of Work by Contractor or by a Subcontractor in any given area shall constitute acceptance by Contractor or by such Subcontractor of all previously placed dependent Work or work of separate contractor(s) and after such acceptance Contractor shall not make any claims for additional costs based on alleged deficiencies in such Work.

- 5.8.3 Whenever other Contractor(s) will perform portion(s) of the work that depend on the Contractor's portion of the Work; Contractor shall provide all of the notices and information listed in 5.8.2 to such other Contractor(s) in a timely manner.

- 5.9 Contractor shall be responsible and liable to Department and Engineer for Contractor's acts and omissions and all acts and omissions of the Subcontractors, Suppliers and other persons and organizations performing or furnishing any of the Work under a contract with any level of Subcontractor or Supplier. Nothing in the Contract Documents shall create any contractual relationship between Department or Engineer and any such Subcontractor, Supplier or other person or organization. Department or Engineer may furnish to any Subcontractor or Supplier, to the extent practicable, evidence of the payments made to Contractor on account of specific Work done.
- 5.10 The various sections, divisions and subdivisions of the Standard and Supplementary Specifications and the identifications of any Drawings shall not control Contractor in dividing the Work among Subcontractors or Suppliers or delineating the Work to be performed by any specific trade. The Standard Specifications, Supplementary Specifications, and Drawings are complementary to each other and are to be read as a whole. Anything mentioned or shown in a division of such Specifications, or Drawings, or in a specific trade Drawing shall be effective as if shown in all divisions of such Specifications and in all Drawings. In addition to the requirements of paragraphs 5.24 through 5.30 of the General Conditions, shop drawings of a specific trade shall be compared to and coordinated with those from other trades by Contractor before submission to Engineer.
- 5.11 All Work performed for Contractor by a Subcontractor will be pursuant to an appropriate agreement between Contractor and the Subcontractor which specifically binds the Subcontractor to the applicable terms and conditions of the Contract Documents for the benefit of Department.

### ***Patent Fees and Royalties:***

- 5.12 Contractor shall pay all license fees and royalties and assume all costs incident to the use in the performance of the Work or the incorporation in the Work of any invention, design, process, product, device or intellectual processes which is the subject of patent rights or copyrights held by others, both when a particular invention, design, process, product or device is specified in the Contract Documents for use in the performance of the Work and otherwise. It is the intent of the

parties that whenever Contractor is required or desires to use any design, device, material or process covered by letters, patent, trademark or copyright, the right for such use shall be provided for by suitable legal agreements with the patentee or owner, and a copy of this agreement shall be filed with Engineer. However, whether or not such agreement is made or filed as noted, Contractor and Contractor's surety in all cases shall indemnify and hold harmless Department and Engineer and their employees as provided in Appendix B.

***Permits:***

- 5.13 Unless otherwise provided in the Contract Documents, Contractor shall obtain and pay for any permits or licenses required for performance of Work. Contractor shall pay all governmental charges and inspection fees necessary for the prosecution of the Work, which are applicable at the time of opening of Bids, or if there are no Bids on the Effective Date of the Agreement. Contractor shall pay all charges for connections or disconnections required by the Work to Underground Facilities or utilities owned by third parties.

***Laws and Regulations:***

- 5.14.1 Contractor shall comply with all Laws applicable to performance of the Work. Except where otherwise expressly required by applicable Laws or Contract Documents, neither Department nor Engineer shall be responsible for monitoring Contractor's compliance with any Laws.
- 5.14.2 If Contractor observes that the Contract Documents are at variance with any applicable Laws, Contractor shall immediately give Engineer prompt written notice thereof, and any necessary changes will be authorized by one of the methods set forth in paragraph 2.4 and 2.5 of the General Conditions. If Contractor performs any Work knowing or having reason to know that it is contrary to such Laws, and without such notice to Engineer, Contractor shall bear all costs arising therefrom; however, it shall not be Contractor's primary responsibility to make certain that the Specifications and Drawings are in accordance with such Laws.

***Taxes:***

- 5.15 Contractor shall pay all sales, consumer, use and other similar taxes required to be paid by Contractor in accordance with the Laws of the State of New York which are applicable during the performance of the Work. Materials, supplies and equipment incorporated into the Work or sold to New York State are exempt from New York State sales tax.

***Use of Premises:***

- 5.16 Contractor shall confine the use and storage of construction equipment, the storage of materials and equipment and the operations of workers to the Project site and land and areas identified in and permitted by the Contract Documents and other land and areas permitted by applicable Laws, rights-of-way, permits and easements, and shall not unreasonably encumber the premises with construction equipment or other materials or equipment. Unless otherwise provided in the Contract Documents, use of Department's facilities at or contiguous to the site by Contractor for storage of materials or equipment shall not be permitted. Contractor shall assume full responsibility for any damage to any such land or area, or to the owner or occupant thereof or of any land or areas contiguous thereto, resulting from the acts or omissions of Contractor. Should

any claim be made against Department or Engineer by any such owner or occupant because of the performance of the Work, Contractor shall promptly attempt to settle with such other party by agreement or otherwise resolve the Claim. Contractor shall indemnify and hold Department harmless in accordance with the provisions of Appendix B.

- 5.16.1 Temporary buildings (e.g., storage sheds, trailers, shops, offices) and utilities may be erected by Contractor only with the approval of Engineer and shall be built without additional expense to Department. Such temporary buildings and utilities shall remain the property of Contractor and shall be decontaminated as necessary and removed by Contractor at his expense upon completion of the Work; the buildings and utilities may be abandoned and remain at the site with the written consent of Department.
- 5.16.2 When materials are transported for performance of the Work, vehicles shall not be loaded beyond the loading capacity recommended by the manufacturer of the vehicle or prescribed by Federal, State, or local law or regulation. When it is necessary to cross curbs, sidewalks or work which is completed or underway on site, Contractor shall protect them from damage, and shall repair any damage caused.
- 5.16.3 Notwithstanding the designation of site boundaries or the indication of temporary fences or barricades, the provisions of the Contract Documents governing certain phases or portions of the Work may require that certain operations be carried out beyond the site boundaries. Trenching, utility Work, site development, landscaping, other Work, if required beyond such designated limits, shall be scheduled in such a manner as to cause or occasion a minimum of inconvenience or disturbance to or interference with the normal operation of Department, abutting owners and the public. Contractor shall obtain Department's prior approval and all necessary approvals from others, including but not limited to public authorities and utility companies for such operations, and shall conduct such operations expeditiously and restore the affected area to its original condition immediately upon completion of such operations, unless otherwise specified in the Contract Documents.
- 5.16.4 All existing walks, roadways, paved or landscaped areas on which temporary driveways or walks are rerouted shall be restored to their original condition, immediately upon completion of the phases or portions of the Work for which such features were disturbed unless otherwise specified in the Contract Documents.
- 5.16.5 Pumping, draining and control of surface and ground water will be carried out so as to avoid endangering the Work or any adjacent facility or property, or interrupting, restricting or otherwise infringing or interfering with the use thereof, or exceeding the limits allowed by Contract Documents, or applicable Law.
- 5.17 During the progress of the Work, Contractor shall keep the Site free from accumulations of waste materials, rubbish and other debris resulting from the Work. At the completion of the Work Contractor shall remove all waste materials, rubbish and debris from and about the premises as well as all tools, appliances, construction equipment and machinery, and surplus materials, and shall leave the Site clean and ready for Department. Contractor shall restore all pavement, sidewalks, driveways, fences, shrubs, lawns, trees and any other public or private property damaged as a result of the Work under this Contract. All such replacement shall be done in accordance with the applicable specifications and no separate or extra payment will be made unless specifically provided for in the Payment Items. In all cases, said replacement shall be at least equal to the original conditions.



- 5.18 Contractor shall not load nor permit any part of any structure to be loaded in any manner that will endanger the structure, nor shall Contractor subject any part of the Work or adjacent property to stresses or pressures that will endanger it.

***As-Built Documents:***

- 5.19 Contractor shall maintain in a safe place at the Site one (1) as-built document which shall consist of all Drawings, Specifications, Addenda, written amendments, Change Orders, Proposed Change Orders, field test records, construction photographs, Field Orders and written interpretations and clarifications (issued pursuant to paragraph 8.3) in good order and annotated to show all changes made during construction. Contractor will be required to review with Engineer the status of all as-built documents in connection with Engineer's evaluation of an Application for Payment. Pursuant to paragraph 13.2.1 of the General Conditions, failure to maintain a current file of such as-built documents up-to-date may be just cause to recommend withholding of payments for Work performed. These as-built documents together with all approved samples and a copy of all approved Shop Drawings shall be available to Engineer for reference at the Site. Upon completion of the Work, these as-built documents, samples and Shop Drawings shall be delivered to Engineer for Department. Failure by Contractor to produce acceptable as-built documents of the above listed items shall be cause for reduction of Contract Price in an amount equal to Department's cost of generating or producing the as-built documents.

***Health, Safety and Protection:***

- 5.20 Contractor shall be responsible for initiating, maintaining and supervising all health and safety precautions and programs in connection with the Work which include but are not limited by the Contract Documents and Contractor's Health and Safety Plan. Contractor shall take all necessary precautions for the health and safety of, and shall provide the necessary protection to prevent damage, injury or loss to all employees and other persons and organizations who may be affected thereby. Contractor shall comply with all applicable Laws of any public body having jurisdiction for the health and safety of persons or property in order to protect them from damage, injury or loss; and shall erect and maintain all necessary safeguards for such health, safety and protection. Contractor shall notify owners of Underground Facilities and utility owners when performance of the Work may affect them, and shall cooperate with them in the protection, removal, relocation and replacement of their property. In addition to any requirements imposed by Laws, Contractor shall shore up, brace, underpin, and protect as may be necessary, all foundations and other parts of all existing structures adjacent to and adjoining the site which are in any way affected by the excavations or other operations connected with performance of the Work under the Contract.
- 5.21 All damage, injury or loss to any property referred to in the above paragraph caused, directly or indirectly, in whole or in part, by Contractor, any Subcontractor, Supplier or any other person or organization directly or indirectly employed by any of them to perform or furnish any of the Work or caused by anyone for whose acts any of them may be liable, shall be remedied by Contractor; provided that Contractor shall not be responsible for damage or loss attributable to defects in the Drawings or Specifications or to the acts or omissions of Department or Engineer or anyone employed by either of them or anyone for whose acts either of them may be liable, and to the extent not attributable, directly or indirectly, in whole or in part, to the fault or negligence of Contractor. Contractor's duties and responsibilities for the safety and protection of the Work shall continue until such time as all the Work is completed and Engineer has issued a written notice to Department and Contractor in accordance with paragraph 13.11 that the Work is acceptable,

except as otherwise expressly provided in connection with Substantial Completion. Department has the right to suspend Work or terminate this contract for cause for Contractor's failure to comply with any health and safety plan required by the Contract Documents or Law.

- 5.22 Contractor shall designate a responsible representative at the site whose duty shall be the prevention of accidents. This person shall be Contractor's superintendent unless otherwise designated in writing by Contractor to Department.

### ***Emergencies:***

- 5.23 In emergencies affecting or threatening to affect the safety or protection of persons or the Work or property at the site or adjacent thereto when prompt action is required and there is no reasonable opportunity for prior consultation with Engineer or Department, then Contractor, without special instruction or authorization from Engineer or Department, is obligated to act to prevent or mitigate threatened damage, injury or loss. Contractor shall give Engineer prompt telephonic or electronic notice followed by written notice thereof, including any significant changes in the Work or variations from the Contract Documents which Contractor believes have been caused thereby. If Engineer determines that a change in the Contract Documents is required because of the action taken in response to an emergency, an Administrative Agreement, Field Order, Proposed Change Order or Change Order shall be issued to document the consequences of the changes or variations. Contractor shall give Engineer and Department name and number of contact for emergencies during non-Work hours.

### ***Shop Drawings and Samples:***

- 5.24 After checking and verifying all field measurements and after complying with applicable procedures specified in the Contract Documents, Contractor shall submit to Engineer for review and approval in accordance with the accepted schedule of Shop Drawing submissions (see paragraph 1.4, hereof) six (6) physical copies and one electronic copy of all Drawings plus additional copies as required by Contractor, unless otherwise specified in the Contract Documents. All such Shop Drawings shall bear a stamp or other specific written indication that Contractor has satisfied the requirements of the Contract Documents with respect to the review of the submissions including but not limited to paragraph 5.26 below. All submissions shall be identified as Engineer may require. The data shown on the Shop Drawings shall be complete with respect to quantities, dimensions, specified performance and design criteria, materials and similar data to enable Engineer to review the information as required.
- 5.25 Contractor shall also submit to Engineer for review and approval with such promptness as to cause no delay in Work, all samples required by the Contract Documents. Contractor shall check all samples, shall identify them clearly as to material, Supplier, pertinent data such as catalog numbers and the use for which intended, and shall submit with them a written certification that Contractor has satisfied the requirements of the Contract Documents with respect to the review of such submissions including but not limited to subparagraph 5.26 below.
- 5.26 Before submission of each Shop Drawing or sample, Contractor shall certify that all quantities, dimensions, specified performance criteria, installation requirements, materials, catalog numbers and similar data with respect thereto have been reviewed or that each Shop Drawing or sample has been coordinated with other Shop Drawings and samples and with the requirements of the Work and the Contract Documents.

- 5.27 At the time of each such submission, Contractor shall give Engineer specific written notice of each variation that the Shop Drawings or samples may have from the requirements of the Contract Documents, and, in addition, shall cause a specific notation of each such variation to be made on each Shop Drawing submitted to Engineer for review and approval.
- 5.28 Engineer will review and approve or disapprove Shop Drawings and samples in 14 days. However, Engineer's review and approval of Shop Drawings will be only for conformance with the design concept of the Project and for compliance with the information given in the Contract Documents and shall not extend to the accuracy of other matters that may be contained in the submittals, including but not limited to such matters as dimensions, quantities, performance of equipment and systems proposed by Contractor, Contractor's means, methods, techniques, sequences or procedures of construction (except where a specific means, method, technique, sequences, and procedures of construction is indicated in or required by the Contract Documents) or to safety precautions or program incident thereto, the correctness of which shall remain the sole responsibility of Contractor. The review and approval of a separate item as such will not indicate approval of the assembly in which the item functions.
- 5.28.1 When reviewed by Engineer, each submittal of Shop Drawings and samples will be returned to Contractor as either "Approved", "Approved as Noted", "Resubmit with Revisions", or "Disapproved." Submittals stamped as "Approved" or "Approved as Noted" will indicate Engineer's approval thereof, subject to the provisions of paragraph 5.28.
- 5.28.2 Contractor shall revise and correct Shop Drawings and samples and resubmit them to Engineer for Engineer's second review and return pursuant to paragraph 5.29. Contractor shall direct specific attention in writing to revisions other than the corrections called for by Engineer on previous submittals.
- 5.28.3 Costs associated with Engineer's review and return of a Shop Drawing or sample submission other than ones submitted pursuant to paragraph 5.7 of this Section shall be borne by Contractor after the Engineer's second (2<sup>nd</sup>) review. Department's charges to Contractor for additional reviews will be equal to Engineer's charges to Department under the terms of Engineer's agreement with Department. In the event Contractor fails to pay such costs within 30 days after receipt of an invoice from Department, funds will be withheld from payment requests and at the completion of the Work, a Change Order or proposed Change Order will be issued incorporating the unpaid amount, and Department will be entitled to an appropriate decrease in Contract Price.
- 5.28.4 After the Engineer's second (2<sup>nd</sup>) review, delays associated with Contractor's resubmittal and Engineer's review and return of a particular Shop Drawing or sample submission shall be the responsibility of Contractor. Such delays shall not justify an increase in Contract Price nor an extension in Contract Time.
- 5.29 Engineer's review and approval of Shop Drawings or samples shall not relieve Contractor from responsibility for any variation from the requirements of the Contract Documents unless Contractor has in writing called Engineer's attention to each such variation at the time of submission as required by paragraph 5.27 and Engineer has given written approval of each such variation by a specific written notation thereof incorporated in or accompanying the Shop Drawing or sample approval; nor will any approval by Engineer relieve Contractor from responsibility for errors or omissions in the Shop Drawings or from responsibility for complying with paragraph 5.26.

- 5.30 Where a Shop Drawing or sample is required by the Specifications, any related Work performed prior to Engineer's review and approval of the pertinent submission will be the sole expense and responsibility of Contractor.

***Continuing the Work:***

- 5.31 Contractor shall carry on the Work and adhere to the Progress Schedule during all Claims or Disputes with Department. No work shall be delayed or postponed pending resolution of any Claims or Disputes, except as permitted by Article 14 of the General Conditions or as Contractor and Department may otherwise agree in writing.

***Weather Protection:***

- 5.32 Contractor shall be responsible for initiating, maintaining and supervising all weather protection precautions and programs in connection with the Work. Additional weather protection provisions, if applicable, are set forth in the Supplementary Conditions, Standard Specifications or Supplementary Specifications.

***Cutting and Patching of Work:***

- 5.33 Contractor shall be responsible for all cutting of masonry and other materials, and all fitting, drilling or patching which may be necessary to complete the Work or to make its several parts fit together properly, whether or not such Work is expressly specified in the Contract Documents.
- 5.34 Contractor shall not damage or endanger any portion of the Work or the work performed by Department or by any separate contractors by cutting, patching or otherwise altering any work, or by excavation. Contractor shall not cut or otherwise alter work performed by Department or any separate contractors except with the written consent of Department and of such separate contractor. Contractor shall not unreasonably withhold from Department or any separate contractor consent to cutting or otherwise altering the Work.

***Quality Control:***

- 5.35 Reference is made to the Supplementary Conditions, Standard Specifications and Supplementary Specifications for the identification of Contractor's quality control system requirements under the Contract.

***Project Meetings:***

- 5.36 Contractor, along with appropriate Subcontractors, suppliers and manufacturers, shall attend weekly, or at an interval agreed to by the Department, project meetings at the site or as requested by Department or Engineer, for the purpose of discussing and resolving matters concerning the various elements of the Work.

***Notification of Emergency Services:***

- 5.37 Contractor shall notify all local Police, Fire Department and Ambulance Services at least twenty-four (24) hours in advance of construction across or adjacent to existing roadways in order that such services might be aware of any disrupted access.

***Conflicts between Contract Documents and Site:***

- 5.38 Contractor shall notify Engineer and Department immediately upon discovering any conflicts, ambiguities, error or inconsistencies in the Contract Documents, between the Contract Documents and the actual Site Conditions, or between the Contract Documents and work being done by others. Failure to promptly notify the Engineer and Department may invalidate Contractor's request for an increase in Contract Price and/or Time.

***ARTICLE 6 - Other Work***

***Related Work at Site:***

- 6.1 Department may perform other work related to the Project at the site by Department's own forces, have other work performed by utility owners, or enter into other contracts for such other work.
- 6.2 Contractor shall afford each utility owner and other contractor who is a party to a direct contract with Department (or Department, if Department is performing the additional work with Department's employees) proper and safe access to the site and a reasonable opportunity for the introduction and storage of materials and equipment and the execution of such work, and shall properly connect the Work with theirs. Contractor shall do all the Work that may be required to make its several parts come together properly and integrate with other work. Contractor shall only alter the work of others with the written consent of Engineer and notice to the other contractors whose work will be affected, and shall not endanger any work of others by altering their work. The duties and responsibilities of Contractor under this paragraph are for the benefit of such utility owners and other contractors.
- 6.3 If any part of Contractor's Work depends for proper execution or results upon the work of any such other contractor, utility owner or Department, Contractor shall inspect and promptly report to Engineer in writing any delays, defects or deficiencies in such work that render it unavailable or unsuitable for such proper execution and results. Contractor's failure to report shall constitute an acceptance of the other work as fit and proper for integration with Contractor's Work except for latent or non-apparent defects and deficiencies in the other work.

***ARTICLE 7 - Department's Responsibilities***

- 7.1 Department may issue communications to Contractor through Engineer.
- 7.2 In case of termination of the employment of Engineer, Department shall appoint an engineer whose status under the Contract Documents shall be the same as the former Engineer.
- 7.3 Department shall promptly furnish the data as required under the Contract Documents and shall make payments to Contractor promptly after they are due as provided in Article 13.
- 7.4 Department is represented by the Project Field Representative, the Project Manager and the Designated Representative whose duties and authority are set forth in the Contract Documents. Department is also represented by Engineer.

- 7.5 Department will not be responsible for Contractor's means, methods, techniques, sequences or procedures of construction, or the safety precautions and programs incident thereto, unless the Contract Documents specifically impose such a duty on Department. Department will not be responsible for Contractor's failure to perform or furnish the Work in accordance with the Contract Documents.
- 7.6 Department will not be responsible for the acts or omissions of Contractor or of any Subcontractor, any Supplier, or of any other person or organization performing or furnishing any of the Work.

## ***ARTICLE 8 - Engineer's Duties and Responsibilities***

### ***Project Representation:***

- 8.1 The duties and responsibilities and the limitations of authority of Engineer during construction are set forth in the Contract Documents. Engineer's Resident Engineer will assist Engineer in inspecting the performance of the Work. The duties, and authorities of any Resident Engineer and Resident Project Representatives are set forth in the Contract Documents. Secondly Department is represented as set forth in article 7.4 of the General Conditions.

### ***Visits to Site:***

- 8.2 Engineer shall make any on-site inspections necessary to check the quality or quantity of the Work and to determine if the Work is proceeding in accordance with the Contract Documents. Engineer's duty to visit the site shall in no way be construed to relieve Contractor of its duty to perform the Work in conformance with the Contract Documents.

### ***Clarifications and Interpretations:***

- 8.3 Engineer or Department shall issue with reasonable promptness written clarifications or interpretations of the requirements of the Contract Documents (in the form of Drawings or otherwise) as Engineer or Department may determine necessary, which shall be consistent with or reasonably inferable from the overall intent of the Contract Documents.

### ***Authorized Variations in Work:***

- 8.4 Engineer may authorize minor variations in the Work from the requirements of the Contract Documents which do not involve an adjustment in the Contract Price or the Contract Time and are consistent with the overall intent of the Contract Documents. These may be accomplished by a Field Order and will be binding on Contractor who shall perform the Work involved promptly. If Contractor believes that a Field Order justifies an increase in Contract Price or an extension in Contract Time, Contractor shall be required to deliver a written notice thereof to Engineer in accordance with the provisions of Article 9 of the General Conditions. If Department and Contractor are unable to agree as to amount and extent thereof, a claim may be made pursuant to Articles 10 and 11 of the General Conditions.

### ***Rejecting Defective Work:***

- 8.5 Engineer, based on its inspections, reports of its Resident Engineer, other information available to it and its professional experience and training, or the direction of Department, may disapprove or reject Work at any time during the construction of the Work, which Engineer believes to be Defective Work. Engineer shall also have authority to require special inspection or testing of the Work as provided in paragraphs 12.4 through 12.10 of the General Conditions, whether or not the Work is fabricated, installed, or completed. When Contractor has been notified by Engineer of disapproval or rejection of Defective Work, Contractor shall take immediate action to correct same at no additional cost.

***Shop Drawings, Change Orders and Payments:***

- 8.6 Engineer's responsibilities regarding Shop Drawings and samples, are set forth in paragraphs 5.24 through 5.30 of the General Conditions. If Contractor believes that Engineer's approval of a Shop Drawing or sample justifies an increase in Contract Price or an extension in Contract Time, Contractor shall be required to deliver a written notice thereof to Engineer in accordance with the provisions of Article 9 of the General Conditions. If Department and Contractor are unable to agree as to amount and extent thereof, a claim may be made pursuant to Articles 10 and 11 of the General Conditions.
- 8.7 Engineer's duties regarding Change Orders are set forth in Articles 9, 10 and 11 of the General Conditions.
- 8.8 Engineer's duties regarding Applications for Payment, etc., are set forth in Article 13 of the General Conditions.

***Determinations for Unit Prices:***

- 8.9 Engineer will review and make preliminary determinations on the actual quantities and classifications of acceptable Unit Price Work performed by Contractor. Engineer will review such preliminary determinations with Contractor, before rendering a written decision thereon by recommendation of an Application for Payment or otherwise. Department shall review and approve Engineer's determinations. Department's decisions thereon shall be final unless within ten (10) days after the date of any such decision, Contractor delivers to Department and to Engineer written notice of disagreement with Engineer's Determination including written documentation supporting such position.

***Engineer's Determinations and Claims:***

- 8.10 Engineer shall interpret the Contract Documents and determine the acceptability of the Work thereunder subject to Department's right to modify or overrule Engineer's determination after consultation with Engineer and Contractor. Claims or other matters relating to the acceptability of the Work or the interpretation of the requirements of the Contract Documents pertaining to the performance and furnishing of the Work, or in respect to changes in the Contract Price or Contract Time will be referred to Engineer in writing with a request for a formal determination in accordance with this paragraph. Engineer shall render such determination in writing within a reasonable time. Written notice of Contractor's disagreement with Engineer's Determination constituting a Claim shall be delivered by Contractor to Engineer and Department within ten days after receipt. Written documentation supporting such position shall be submitted to Department within thirty (30) days of Engineer's Determination, unless the Department allows an extension of time to submit additional information.

8.10.1 A written demand or written assertion by Contractor seeking the payment of money is not a Claim under this Article until certified as required below. Contractor shall submit with the claim a certification executed by Contractor's Authorized Representative specified in the Contract Documents that:

8.10.1.1 The Claim is made in good faith,

8.10.1.2 Supporting Cost and Pricing Data are current, accurate, and complete to the best of the Contractor's knowledge and belief, and

8.10.1.3 The amount of the Claim accurately reflects the adjustments in Contract Price or Contract Time for which Contractor believes Department is liable.

8.10.2 Contractor agrees that all unresolved claims shall be subject to the Dispute Resolution procedures as provided in Article VIII of Appendix B to the Agreement.

8.10.3 Contractor shall proceed diligently with performance of Work under this Contract, and comply with any decision of Engineer or Department pending final resolution of any request for relief, Claim, appeal, or action arising under the Contract.

***Limitations on Engineer's Responsibilities:***

8.11 Whenever in the Contract Documents the terms "as ordered," "as directed," "as required," "as allowed," "as approved," or terms of like effect or import are used, or the adjectives "unreasonable," "unsuitable," "acceptable," "proper," or "satisfactory," or adjectives of like effect or import are used to describe a requirement, direction, review or judgment of Engineer as to the Work, it is intended that such requirement, direction, review or judgment will be solely to evaluate the Work for compliance with the Contract Documents unless there is a specific statement indicating otherwise. The use of any such term or adjective shall not be effective to assign to Engineer any duty or authority to supervise or direct the furnishing or performance of the Work or any duty or authority to undertake responsibility contrary to the provisions of paragraph 8.12 or 8.13.

8.12 Engineer will not be responsible and Contractor remains responsible for Contractor's means, methods, techniques, sequences and procedures of construction, and the safety precautions and programs incident thereto, unless Contract Documents specifically impose such a duty on Engineer. Engineer will not be responsible for Contractor's failure to perform or furnish the Work in accordance with the Contract Documents.

8.13 Engineer will not be responsible for the acts or omissions of Contractor or of any Subcontractor, any Supplier, or of any other person or organization performing or furnishing any of the Work.



**ARTICLE 9 - Changes in the Work**

- 9.1 Department may, at any time or from time to time and without notice to any surety, order additions, deletions or revisions in the Work or other requirements, which the performance of, or compliance with, is established in the provisions of the Contract Documents. These changes will be initiated by Proposed Change Orders, in Administrative Orders and authorized by Change Orders. Upon receipt of an Administrative Order, or Proposed Change Order, the Contractor shall proceed with the Work involved. All such Work involved shall be performed in accordance with the applicable conditions of the Contract Documents. If an Administrative Order or Proposed Change Order causes an increase or decrease in the Contract Price or an extension or shortening of the Contract Time, an equitable adjustment will be made in a duly executed Change Order. The value of any work covered by a Proposed Change Order or a Change Order for an increase or decrease in the Contract Price or the Contract Time, hereafter called the "Work involved", shall be determined by one of the following methods:
- 9.2 Department may order minor changes in the Work which do not involve an adjustment in the Contract Price or in the Contract Time and are consistent with the overall intent and purpose of the Contract Documents. Such minor changes will be authorized by a Field Order which shall be binding on Department and Contractor who shall perform such changes promptly. If Contractor believes that a Field Order justifies an increase in the Contract Price or the Contract Time, Contractor shall make written notification in accordance with Article 8.10 of the General Conditions within three (3) days and provide documentation within 15 days in a Proposed Change Order to Engineer.
- 9.3 Additional work performed without authorization of a Proposed Change Order will not entitle Contractor to an increase in the Contract Price or an extension in the Contract Time, except in the case of emergency work as provided in paragraph 5.23 of the General Conditions and except in the case of uncovering Work as provided in paragraph 12.9 and 12.10 of the General Conditions.
- 9.4 When changes in the Work, involving adjustments to the Contract Price or Contract Time are contemplated by Department, pursuant to paragraph 9.1, Contractor may be requested to submit a cost proposal prior to being authorized to proceed with the change. If Department and Contractor are unable to agree and Department orders the change, or if Department pursuant to Engineer's review and decision concludes that the written direction, instruction, interpretation or clarification, approval, decision or determination does not require an increase in Contract Price or extension in Contract Time, Contractor will be required to carry on with the Work involved and adhere to the Progress Schedule. Contractor proposals substantiating the amount and extent of any proposed adjustment in Contract Price or Contract Time shall become due within three (3) days of receipt (or issuance) of a Proposed Change Order initiated by Department (or Contractor), and shall be submitted in accordance with Articles 8, 9, 10 and 11 of the General Conditions. Any delays in the submittal of Contractor proposals relative to adjustments in Contract Price or Contract Time will not justify a delay or constitute basis for an increase in Contract Price or an extension in Contract Time. Unless Contractor gives written notice of intent to appeal Department's determination or to file a claim in accordance with Article 8 of the General Conditions, within said thirty (30) days of the issuance of a Proposed Change Order or the rejection of a Proposed Change Order, Department's determination shall be final and binding upon Contractor.
- 9.5 Upon receipt of a cost proposal from Contractor, pursuant to paragraph 9.4 above, and if Department agrees with the increase or decrease in the Contract Price or Contract Time,

Department shall authorize the change in the Work by issuing a Proposed Change Order and shall begin preparation of a Change Order covering the Work involved.

9.5.1 A Change Order shall also be any other written order, including direction, instruction, interpretation, determination, or decision embodied in a Field Order, or in a response to a request for clarification or interpretation of the requirements of the Contract Documents, or in an approval of a Shop Drawing or sample, or in a decision relating to a report or differing or unforeseen conditions or the acceptability of Work or Administrative Order which causes any change, provided that Contractor gives Engineer and Department a dated written notice identifying the written order and stating circumstances and other information required in this Article and in Articles 8, 10 and 11 of the General Conditions indicating that Contractor considers the written order a Proposed Change Order.

9.5.2 Contractor quotations substantiating the amount or extent of any proposed adjustment in Contract Price or Contract Time shall cover all known amounts or extents to which Contractor is entitled as a result of the proposed change. Pursuant to this requirement of the Contract Documents, Contractor acknowledges and agrees to the following waivers when executing Change Orders or Proposed Change Orders authorized in accordance with paragraph 9.4 of the General Conditions:

9.5.2.1 Contractor acknowledges and agrees that the adjustments in Contract Price and Contract Time stipulated in this Change Order represent full compensation for all increases or decreases in the cost of, or the time required to perform the entire Work under the Contract, arising directly or indirectly from this Change Order, including this and all previous Change Orders. Acceptance of this waiver constitutes an agreement between Department and Contractor that the Change Order represents an all-inclusive, mutually agreed upon adjustment to the Contract for all direct, indirect and consequential costs and delays, and that Contractor shall waive all rights to file a claim on this Proposed Change Order after it is properly executed.

9.5.2.2 Acceptance by Contractor is evidence of mutual accord and satisfaction for those adjustments in Contract Price and Contract Time stipulated in this Proposed Change Order, that Contractor shall submit detailed supporting data within fifteen (15) days in accordance with Articles 10 and 11 of the General Conditions to allow negotiation of outstanding issues, and that the changes ordered and documented by this Proposed Change Order will be incorporated into a future Change Order subsequent to agreement on all outstanding issues.

9.6 If the provision of any bond requires that the surety be notified of any change in the Work, it shall be Contractor's responsibility to so notify the surety and the amount of each applicable bond shall be adjusted accordingly. Contractor shall furnish proof to Department of such adjustment.

9.7 No claim by Contractor for an adjustment under this Article of the General Conditions shall be allowed if asserted after the date of final payment under this Contract.

## **ARTICLE 10 - Change of Contract Price or Time**

- 10.1 The Contract Price constitutes the total compensation, subject to authorized adjustments, payable to Contractor for performing the Work. All duties, responsibilities and obligations assigned to or undertaken by Contractor shall be at its own expense without any change in the Contract Price or the Contract Time.
- 10.2 The Contract Price and the Contract Time may only be changed by a duly executed Change Order.
- 10.3 The value of the Work involved shall be determined by one of the following methods:
  - 10.3.1 Where the Work involved is covered by unit prices contained in the Contract Documents, those unit prices shall be used to determine the cost of the Work involved.
  - 10.3.2 Where the Work involved is not covered by unit prices contained in the Contract Documents, by application of mutually agreed upon unit prices to the quantities of the items of Work involved.
  - 10.3.3 By mutual acceptance of a lump sum.
  - 10.3.4 On the basis of the cost of the Work involved as provided in paragraph 10.4 of this Article plus a Contractor's fee for overhead and profit as provided in paragraph 10.7 of this Article.
  - 10.3.5 Where the Department and Contractor cannot agree on any of the methods described above, and Department directs Contractor to proceed with the Work involved as provided in Article 10 of the General Conditions.
- 10.4 The Cost of the Work involved shall include the following items and shall not include any of the costs disallowed under this Article 10 of the General Conditions:
  - 10.4.1 Payroll costs of employees in the direct employ of the Contractor in the performance of the Work involved in job classifications agreed upon by Department and Contractor. Payroll costs shall include, but shall not be limited to, salaries and wages plus the cost of fringe benefits which shall include social security contributions, unemployment, excise and payroll taxes, workers or workmen's compensation, health and retirement benefits, and sick leave applicable thereto. Such employees may include foremen at the site but shall not include employees in the job classifications itemized in paragraphs 10.6.1. The costs of performing the Work involved during other than normal working hours, as defined in paragraph 5.3.1, shall be included in the above to the extent authorized by Department and as required by Law.
  - 10.4.2 Cost of all materials and equipment furnished and incorporated into the Work involved, including costs of transportation and storage thereof, and suppliers' field services connected therewith. All cash discounts shall accrue to Contractor unless Department deposits funds with Contractor with which to make payments, in which case, the cash discounts shall accrue to Department. All trade discounts, rebates and refunds, and all returns from sale of surplus materials and equipment shall accrue to Department, and Contractor shall make provisions so that they may be obtained.

- 10.4.3 Payments made by Contractor to subcontractors who perform a part of the Work involved. If required by Department, Contractor shall obtain competitive bids from prospective subcontractors acceptable to Contractor and shall deliver such bids to Department who will then determine which bids will be accepted. If a subcontract provides that the subcontractor is to be paid on the basis of cost plus a fee, the subcontractor's cost shall be determined in the same manner as Contractor's cost of the Work involved. All subcontracts shall be subject to the provisions of the Contract Documents, insofar as applicable.
- 10.4.4 Costs of special consultants, including but not limited to engineers, architects, testing laboratories, surveyors, attorneys and accountants, employed for services specifically related to the Work involved to the extent authorized in writing by Department.
- 10.4.5 Costs of Contractor owned equipment - Contractor shall be reimbursed for his ownership and operating costs for self-owned equipment employed on the Work involved. The rates of reimbursement shall be as listed on EquipmentWatch.com, its successor or equivalent, in effect on the date of issuance of the applicable Change Order or Proposed Change Order, or prior to performing the Work in a claim for an increase or decrease in the Contract Price and applied in the following manner.
- 10.4.5.1 Ownership costs - The equipment rates for ownership costs include depreciation on the original purchase, insurance, applicable taxes, interest on investment, storage, repairs, mobilization to and demobilization from the site of the Work involved, and profit reimbursement will be made for the hours on the Work involved. In no event shall the equipment rate billed to Department be at rates exceeding those described below.
- 10.4.5.2 Less than eight (8) hours of actual use or necessary for availability as approved by Engineer: The daily rate or the product of the hours of actual use multiplied by the hourly rate, whichever is less.
- 10.4.5.3 Between eight (8) hours and 40 hours of actual use: The weekly rate or the product of the hours of actual use used divided by eight (8) and multiplied by the daily rate, whichever is less.
- 10.4.5.4 Between 40 hours and 176 hours of actual use: The monthly rate or the product of the hours of actual use divided by 40 multiplied by the weekly rate, whichever is less.
- 10.4.5.5 Over 176 hours of actual use: The product of the hours of actual use divided by 176 multiplied by the monthly rate.
- 10.4.5.6 Operating costs including fuel, lubricants, other operating expendables, and preventive and field maintenance. Operating costs do not include the operator's wages. Contractor shall be reimbursed the product of the hours of actual use multiplied by the estimated operating cost per hour.
- 10.4.5.7 The geographic area adjustment factor and the Rate adjustment tables for federal aid projects shall be applied to the equipment ownership rates.

- 10.4.5.8 The rates used shall be those in effect at the time the Work involved is to be done as listed in the then current EquipmentWatch.com, is successor or equivalent.
  - 10.4.5.9 In the event that a rate is not established in EquipmentWatch.com, its successor or equivalent, for a particular piece of equipment, Department will establish rates for ownership and operating costs.
  - 10.4.5.10 Equipment to be used by Contractor shall be specifically described by manufacturer and model number and be of suitable size and capacity to accomplish the Work involved. In the event Contractor elects to use equipment of a higher rental rate than equipment suitable for the Work involved, payment will be made at the rate applicable to the suitable equipment. Department and Engineer shall determine the suitability of the equipment. If there is a differential in the rate of pay of the operator of oversized or higher rate equipment, the rate paid for the operator will likewise be related to the suitable equipment.
  - 10.4.5.11 Transportation, loading and unloading, installation, dismantling and removal costs shall be included only if such construction equipment and machinery is imported to the site solely to perform the Work involved in the Change Order Proposed Change Order, or Claim. All equipment costs shall cease when the use thereof is no longer necessary to perform the Work involved or the equipment cannot be used to perform the Work involved due to contractor actions or inactions. Payroll costs for employees operating the equipment shall be in accordance with paragraph 10.4.1 of the General Conditions.
  - 10.4.5.12 Actual equipment use time documented by Engineer shall be on the basis that the equipment was on and used at the site. In addition to the leasing rate, equipment operational costs shall not exceed the estimated hourly operation rate as set forth in EquipmentWatch.com, is successor or equivalent. Daily records listing the equipment units and their respective operators, identification code, and actual usage and certified at the end of each day by Engineer shall be the record upon which actual equipment use shall be based. For multiple shift work sequences, the allowable equipment rate for second or third shifts shall not exceed 50-percent (50%) of the base rate. Idle equipment at the site and necessary to perform the Work involved but not in actual use shall be paid at the rate determined above. Idle time shall include a reasonable time allowance to and from the site, and be as documented by Engineer.
- 10.4.6 Costs of Contractor rented equipment.
- 10.4.6.1 In the event Contractor must rent a specific piece of equipment, payment will be the actual rental rate for the piece of equipment for the time that it is used on the Work involved or required by Department to be present, not to exceed the rental rate in EquipmentWatch.com, is successor or equivalent, plus the reasonable cost of moving the equipment onto and away from the site of the Work involved.

- 10.4.6.2 Contractor shall also be reimbursed for the operating cost of the rented equipment if that cost is not included in the rental cost. The operating cost shall be determined in the same manner as specified for Contractor owned equipment above. If contractor owned equipment is available on site to complete the work, Contractor shall be reimbursed only at the rate for owned equipment and there shall not be any reimbursement for transportation of equipment to or from site.
- 10.4.6.3 In the event area practice dictates the rental of fully manned or fueled and maintained equipment, payment will be made on the basis of an invoice for the rental of the fully manned, fueled and/or maintained equipment, including all costs incidental to its use, plus costs of moving to and from the site of the Work involved, provided the rate is substantiated by area practice.
- 10.4.6.4 Transportation, loading and unloading, installation, dismantling and removal costs shall be included only if such construction equipment and machinery is imported to the site solely to perform the Work involved in the Change Order, Proposed Change Order, or Claim. All equipment costs shall cease when the use thereof is no longer necessary to perform the Work involved or the equipment cannot be used to perform the Work involved due to Contractor actions or inactions. Payroll costs for employees operating the equipment shall be in accordance with paragraph 10.4.1 of the General Conditions.
- 10.4.7 The maximum amount of reimbursement for the ownership costs of Contractor owned equipment or for the rental costs of rented equipment shall be limited to the original purchase price of the equipment as listed in EquipmentWatch.com, is successor or equivalent. In the specific event where the reimbursement is limited by the original purchase price, Contractor shall be reimbursed for the operating cost per hour for each hour of actual use.
- 10.4.8 Supplemental costs due solely in connection with the Work involved to include the following:
  - 10.4.8.1 The necessary transportation, travel and subsistence expenses of Contractor's employees who are solely employed in the Work involved.
  - 10.4.8.2 Costs, including transportation and maintenance, of all materials, supplies, equipment, machinery, appliances, office and temporary facilities at the site required, but excluding hand tools, protective clothing and other consumables which are used or consumed in connection with the Work involved and are individually valued at less than \$100.00.
  - 10.4.8.3 Sales, consumer use, or similar taxes for which Contractor is liable, exclusive of New York State and local sales taxes for materials, supplies and equipment incorporated into the Work.
  - 10.4.8.4 Royalty payments and fees for licenses and permits.
  - 10.4.8.5 Costs of utilities at the site including but not limited to electricity, telephone, fuel, heat, water, property rental and sanitary facilities.

- 10.5 The amount of credit to be allowed by Contractor to Department for any individual change in the Work which results in a net decrease in cost shall be the amount of the actual net decrease plus a deduction in Contractor's fee equal to one-half of the fee derived from the application of paragraphs 10.7.2.1, 10.7.2.2 and 10.7.2.3 of this Article.
- 10.5.1 When more than one individual change is covered by one Proposed Change Order or Change Order, the adjustment in Contractor's fee shall be the sum of the individual fees computed on each individual change in accordance with paragraphs 10.7.2.1 through 10.7.2.4.
- 10.6 The cost of the Work involved shall not include any of the following, all of which are to be considered general and overhead costs covered by the Contractor's fee:
- 10.6.1 Payroll costs and other compensation of Contractor's executives, principals (of partnership and sole proprietorships), general managers, engineers, architects, estimators, attorneys, superintendents, administrators, auditors, accountants, purchasing and contracting agents, expeditors, timekeepers, clerks and other personnel employed by Contractor, at the site or not, for general administration of the Work including any Change Orders, and who are not specifically included in the agreed upon schedule of job classifications referred to in paragraph 10.4.1 of this Article.
- 10.6.2 Expenses of Contractor's principal and branch offices other than Contractor's office at the site. Costs derived from the computation of an extended or unabsorbed home office overhead rate by application of the Eichleay, Allegheny, Burden Fluctuation, or other similar methods.
- 10.6.3 Any part of Contractor's capital expenses, including interest on Contractor's capital employed for the Work involved and charges against Contractor for delinquent payments.
- 10.6.4 Cost of premiums for all bonds and insurance whether or not Contractor is required by the Contract Documents to purchase and maintain the same.
- 10.6.5 Costs incurred in the preparation of Proposed Change Orders or Change Orders or in preparation or filing of claims.
- 10.6.6 Expenses of Contractor associated with anticipated lost profits or lost revenues, lost income or earnings, lost interest on earnings or unpaid retainage.
- 10.6.7 Small tools used or consumed in the performance of the Work involved having an individual value of less than \$100.00.
- 10.6.8 Costs due to negligence of Contractor or any subcontractor anyone directly or indirectly employed by them for whose acts any of them may be liable, including, but not limited to correction of defective work, disposal of equipment or material wrongly supplied and repairing any damage to property.
- 10.6.9 Other overhead or general expense costs of any kind and the costs of any item not specifically and expressly included in paragraph 10.4 of this Article, all of which are to be considered general and overhead costs covered by the Contractor's fee.

**Contractor's Fee:**

- 10.7 The Contractor's fee for general and administrative overhead costs (whether at the site or in Contractor's principal or branch offices), small tools and profit on the Work involved shall be determined by negotiations in accordance with this paragraph.
- 10.7.1 Contractor shall negotiate with Department for reasonable overhead rates and fair and reasonable profit based on assumptions of risk, exposure to weather, size of the change, labor to material ratio, equipment requirements, and time of performance.
- 10.7.2 In no case shall the Contractor's fee exceed the following percentages of the various percentages of the Cost of the Work involved.
- 10.7.2.1 For costs incurred under paragraph 10.4.1 (Payroll Costs) of this Article, the Contractor's fee shall not exceed fifteen-percent (15%).
- 10.7.2.2 For costs incurred under paragraph 10.4.2 (Costs of Materials and Equipment) of this Article, the Contractor's fee shall not exceed ten-percent (10%).
- 10.7.2.3 For costs incurred under paragraph 10.4.3 (Cost of Subcontracts) of this Article, the Contractor's fee shall not exceed five-percent (5%) and the subcontractor's fee shall not exceed ten-percent (10%).
- 10.7.2.4 For costs incurred under paragraph 10.4.3 of this Article, for work performed by a subcontractor's subcontractor, the Contractor's and the first subcontractor's fees shall not exceed five-percent (5%) each and the second subcontractor's fee shall not exceed ten-percent (10%).
- 10.7.2.5 No fee shall be paid on the costs itemized under paragraphs 10.4.4 and 10.4.5 nor on subcontractors' fees derived in accordance with paragraphs 10.7.2.3 and 10.7.2.4.
- 10.7.3 No fee shall be paid on premium portion of wages nor on increased wages due to delays.
- 10.8 Changes in the Contract Price due to changes in the Contract Time.
- 10.8.1 An increase in the Contract Price due solely to delays causing extensions in the Contract Time will be allowed only if the delays to the Work, or parts thereof, arise from acts or omissions of Department or Engineer which are longer than the time period(s) provided for review(s) or decision(s) as provided for in the Contract Documents, and provided further that the delays arise from changes in the Work covered by Proposed Change Orders or Change Orders prepared pursuant to Article 9 of the General Conditions or from suspensions of Work pursuant to paragraph 14.1 of the General Conditions. However no adjustment in the Contract Price shall be made under this paragraph for the following reasons:
- 10.8.1.1 For any extensions granted in the Contract Time to the extent that performance would have been so extended by any other cause including fault or negligence of Contractor or subcontractors, suppliers or other persons or organizations.



- 10.8.1.2 For any acceleration alternative in lieu of an extension proposed by Contractor, to the extent that the acceleration costs exceed those in connection with the alternative extension in Contract Time.
- 10.8.1.3 For which a Contract Price is provided or excluded under any other provision of the Contract Documents.
- 10.8.1.4 For delays which are covered by or which could be covered by reallocating the Total Float or a portion of it.
- 10.8.2 Recovery of damages for delay on account of extensions in Contractor's Progress Schedule or in connection with acceleration alternatives thereof will be allowed only when said delays extend the Work, or a part thereof, beyond the applicable Contract Time(s).
- 10.8.3 It is further expressly agreed and understood that Contractor will not be entitled to any compensation or damages on account of delays which meet the requirements of paragraph 10.12.3 of the General Conditions for time extensions but which can or could have been avoided by reallocating portions of the Total Float. Under this requirement, it is further understood and agreed that the only remedies for delays which are figured to cause an extension in the Contract Time or form the basis for a proposal for an acceleration alternative thereof solely due to the use of Total Float will consist of an increase in Contract Time only and shall exclude Contractor's right to recover any delay damages or compensation from Department.
- 10.9 In submitting proposals or asserting claims for changes under this Article, Contractor acknowledges and agrees that no adjustment shall be made: 1) for any escalation costs for any part of the Work which is not delayed beyond the applicable latest possible dates specified in the approved Progress Schedule, or 2) for any acceleration costs incurred without prior authorization from Department, or 3) for which an adjustment has been provided for, limited as to extent, or excluded under any other provision of the Contract Documents.
- 10.10 Contractor quotations substantiating the amount or extent of any proposed adjustment in Contract Price or Contract Time shall cover all known amounts or extents (direct, indirect and overhead) to which Contractor is entitled as a result of the proposed change. Pursuant to this requirement, Contractor acknowledges and agrees to the following waivers when executing Proposed Change Orders and Change Orders authorized in accordance with Article 9:
  - 10.10.1 Contractor acknowledges and agrees that the adjustments in Contract Price and Contract Time stipulated in the Change Order represent full compensation for all increases or decreases in the cost of, or the time required to perform, the entire Work under the Contract arising directly or indirectly from the Change Order. Acceptance of this waiver constitutes an agreement between Contractor and Department that the Change Order represents an all-inclusive, mutually agreed upon, adjustment to the Contract for all direct, indirect and consequential costs and delays, and that Contractor will waive all rights to file a claim on the Change Order after it is duly executed.
  - 10.10.2 Acceptance by Contractor is evidence of mutual accord and satisfaction for those adjustments in the Contract Price and Contract Time stipulated in the Proposed Change Order, that Contractor will submit detailed supporting data within fifteen (15) days in

accordance with Articles 10 and 11 of the General Conditions to allow negotiation of outstanding issues, and that the changes ordered and documented by the Proposed Change Order will be incorporated into a future Change Order subsequent to agreement on all outstanding issues.

- 10.11 Additional costs incurred due to acceleration or additional work performed by Contractor without an agreed upon Proposed Change Order will not entitle Contractor to an increase in Contract Price or Contract Time, except in the case of emergency work as provided in paragraph 5.23 of the General Conditions or in the case of uncovering Work as provided in paragraph 12.9 of the General Conditions.
- 10.12 The Contract Time may be changed only by a duly executed Change Order. Any proposal for an extension or shortening of the Contract Time shall be based on a Proposed Change Order in accordance with the provisions of this Article.
  - 10.12.1 Contractor requests substantiating the extent of increase in the Contract Time shall be delivered to Engineer within fifteen (15) days of the event causing the proposed need for the extension in the Contract Time unless Department, in writing, allows an additional period of time. Contractor shall prove that the delays have materialized or will materialize despite reasonable, prudent, and diligent efforts to prevent such delays and meet the criteria set forth in this Article. Any delays by Contractor in submittal of proposals will not justify a delay or be basis for an extension of the Contract Time.
  - 10.12.2 Extensions in Contract Time due to delays to parts of the Work will not be granted until all Total Float available for those parts of the Work has been used.
  - 10.12.3 An extension in the Contract Time will not be granted unless Contractor can demonstrate, through an analysis of the Progress Schedule approved in accordance with the applicable provisions of the Standard Specifications, that the delay in completing the applicable parts of the Work within the applicable Contract Time(s) arises from unforeseeable causes beyond the control and without the fault or negligence of Contractor or its Subcontractors, Suppliers or other persons or organizations, and which Contractor could not have guarded against, and that such causes do or will cause extension of the schedule for that part of the Work beyond the applicable Contract Time. Examples of such causes include 1) acts of God or of the public enemy, 2) fires, floods, epidemics, quarantine restrictions, 3) strikes, freight embargoes, 4) unusually severe weather, 5) delays of Subcontractors or Suppliers at any tier arising from unforeseeable causes beyond the control and without fault or negligence of both Contractor and the Subcontractors, Suppliers or other persons organizations.
  - 10.12.4 All time limits stated in the Contract Documents are of the essence. They have been developed by taking into account:
    - 10.12.4.1 The scope of the Work under the Contract Documents;
    - 10.12.4.2 Reasonable time for performance of the Work, or parts thereof, as a whole; and,
    - 10.12.4.3 The perceived sensitivity of the Work, or parts thereof, as a whole, to the potential delaying effect of causes meeting the requirements of paragraph 10.12.3.

- 10.12.4.4 Therefore, and as long as delays meeting the requirements of paragraph 10.12.3 are not to be considered by Contractor in the initial development of the Progress Schedule pursuant to paragraph 1.6 of the General Conditions and the Progress Schedule Section of the Standard Specifications, the initial Progress Schedule developed by Contractor could show Total Float with respect to the Contract Time, or contract Times. Pursuant to the Float sharing requirements of the Contract Documents (as set forth in the provisions of Progress Schedule Section of the Standard Specifications) any such Total Float materializing between Contractor's completion of the Work, or part thereof, as anticipated by Contractor's approved progress Schedule, and the corresponding Contract Time(s) will be available to Department, Engineer, Contractor and others to absorb delays that cannot be mitigated by any other means.
- 10.12.5 The provisions of Section 10.11 of this Article shall govern and be applicable to the following:
  - 10.12.5.1 Changes in Contract Time initiated by Department or Contractor due to delays which meet the requirements of paragraph 10.12.4.
  - 10.12.5.2 Contractor proposals to accelerate the Progress Schedule, in lieu of the alternate extension of Contract Time, due to delays meeting the requirements of paragraph 10.12.3.
- 10.12.6 The provisions of paragraphs 10.11, 10.12.2, and 10.12.3 shall exclude recovery for damages arising out of an acceleration alternative to an extension in Contract Time on account of delays not meeting the requirements for extensions in Contract Time set forth in this Article.
- 10.12.7 The provisions of this Article 10 shall not exclude recovery for damages (including compensation for additional professional services and court costs) for delay by either party, except as otherwise specifically disallowed in this Article and in other provisions of the Contract Documents.
- 10.13 Failure, refusal or neglect by Contractor to comply with the time requirements for delivery of written Proposed Change Orders or notice of a claim shall be considered to be a waiver by Contractor of any request or claiming for extension in Contract Time.
  - 10.13.1 Contractor proposals (or claims) substantiating Contractor's proposed adjustment in Contract Price shall be delivered within the time period stipulated in paragraph 9.3 and 9.4, unless Department in writing, allows an additional period of time to ascertain accurate cost data. Contractor shall prove that additional costs were necessarily incurred, despite Contractor's reasonable, prudent, and diligent efforts to prevent such costs and which meet the criteria set forth in this Article. Any delays in the submittal of Contractor proposals relative to adjustments in Contract Price will not justify a delay or constitute basis for an increase in Contract Price or an extension in Contract Time.
  - 10.13.2 Contractor proposals (or claims) shall be submitted on forms required by Contract Documents, and shall remain firm for a period of at least 60 days from delivery of the proposal (or claim). Proposals (or claims) shall include itemized estimates of all costs

and schedule adjustments that will result directly or indirectly from the changes described. Unless otherwise specified, itemized estimates shall be in accordance with the requirements of this Article of the General Conditions and in sufficient detail to reasonably permit an analysis by Engineer and Department of all quantities involved, labor and payroll costs, productivity rates, material costs, Subcontractor and Supplier costs, supplemental costs as described in paragraph 10.4.8, special consultant costs as described in paragraph 10.4.4, equipment costs, general and administrative overhead costs, field office overhead costs, and profit and shall cover all aspects of the Work involved in the change, whether such was deleted, added, changed, or impacted. Any amount claimed for Subcontractors, Suppliers or other persons or organizations shall be similarly supported. Itemized schedule adjustments shall be sufficiently detailed to permit an analysis of effects on the Progress Schedule as required in the Standard Specifications.

## **ARTICLE 11 - Unit Price Work and Cash Allowances**

### ***Cash Allowances:***

- 11.1 Contractor shall include in the Contract Price all cash allowances named in the Contract Documents and all Work covered by those cash allowances shall be performed for an amount not to exceed those allowances without prior approval in writing by Engineer.
  - 11.1.1 The allowances include the cost to Contractor (less any applicable trade discounts) of materials labor and equipment required by the allowances to be delivered at the site, and all applicable taxes; and the cost documentation requirements of Articles 9, 10, 11 apply to cash allowances.
  - 11.1.2 Prior to final payment, an appropriate Change Order will be issued as recommended by Engineer to reflect actual amounts due Contractor on account of Work covered by allowances, and the Contract Price shall be correspondingly adjusted.

### ***Unit Price Work:***

- 11.2 Where the Contract Documents provide that all or part of the Work to be performed on the basis of Unit Prices, the following shall apply:
  - 11.2.1 The original Contract Price shall include the sum of the bid unit prices for each separately identified item of Unit Price Work times the estimated quantity of each item as indicated on the Contract Bid Form.
  - 11.2.2 Unless otherwise provided by the Contract Documents, the estimated quantities of Unit Price Work are not guaranteed and are solely for the purpose of comparing Bids and determining the initial Contract Price.
  - 11.2.3 Engineer shall determine the actual quantities and classifications of Unit Price Work performed by Contractor and will review with Contractor preliminary determinations before recommending an Application for Payment for those items.
  - 11.2.4 Contractor shall have included overhead and profit in the price of each separately stated unit price item bid.

- 11.2.5 The unit price of an item of Unit Price Work shall be subject to re-evaluation, negotiation, and possible adjustment under the following conditions:
- 11.2.5.1 If the total cost of a particular item of Unit Price Work changes by \$30,000 or five-percent (5%) or more of the total Contract Price, whichever is less, and the variation in the quantity of that particular item of Unit Price Work performed by Contractor differs by more than fifteen-percent (15%) from the estimated quantity of such item indicated in the Agreement; and
  - 11.2.5.2 If Contractor justifies and adequately documents to the Department's satisfaction additional expenses have been incurred as a result thereof, or
  - 11.2.5.3 If Department believes that the quantity variation entitles Department to an adjustment in the Unit Price,
- Either Department or Contractor may make a request for an adjustment in the Contract Price in accordance with the Contract Documents. If the parties are unable to agree as to the effect of any such variations in the quantity of Unit Price Work performed, a claim may be made.
- 11.2.6 The negotiated Unit Price shall be applicable only to the variation in quantities above one hundred-fifteen-percent (115%) or below eighty-five-percent (85%) of the quantities estimated or indicated.
- 11.2.7 If Department or Contractor believes that the quantity variation requires an extension or shortening in Contract Time, either party shall within seven (7) working days of knowledge of the variation in quantities, submit a written Proposed Change Order to the other party and to Engineer, and substantiate the request within fifteen (15) days thereafter in accordance with the analysis and documentation provisions of the Standard and Supplementary Specifications.

## ***ARTICLE 12 - Warranty and Guarantee; Tests and Inspections; Correction, Removal or Acceptance of Defective Work***

### ***Warranty and Guarantee:***

- 12.1 Contractor warrants and guarantees to Department that all Work shall be in accordance with the Contract Documents and shall not be defective. Immediate notice of all defects shall be given to Contractor by Engineer. All defective Work, whether or not in place, may be rejected, corrected or accepted as provided in this Article.
- 12.1.1 The obligations of Contractor under this paragraph 12.1 shall be in addition to and not in limitation of any obligation imposed upon it by special guarantees required by the Contract Documents or by Law.
  - 12.1.2 Notwithstanding anything in these Contract Documents to the contrary, when a particular item of equipment or part of the Work reaches Substantial Completion upon successful performance of Pre-operational Testing, and a) is not placed in continuous service until the commencement of the Correction Period, or b) is placed in continuous service upon

reaching Substantial Completion (as a segment of a completed Project) but use will be limited until all segments of the Project reach substantial completion thereby commencing the Correction Period, and notwithstanding anything in the Contract Documents to the contrary, Contractor shall maintain the particular item of equipment or part of the Work in good order and in proper working condition during the period between the particular Substantial Completion date and the commencement of the Correction Period, and for such maintenance Contractor shall receive no adjustment in Contract Price. Also Contractor shall maintain the warranties and guarantees required under paragraph 12.1 of the General Conditions in full force and effect during the period between the particular item's Substantial Completion date and the commencement of the Correction Period, and for such warranties and guarantees Contractor shall receive no adjustment in Contract Price.

- 12.1.3 The warranties and guarantees provided by Contractor under paragraph 12.1 of the General Conditions shall remain in full force and effect from the date of Substantial Completion of the Work, or part thereof, until one year after the date of commencement of the Correction Period or such a longer period as may be prescribed by Law or the terms of any applicable specific warranty or guarantee required by the Contract Documents or by any specific provision of the Contract Documents.

### ***One Year Correction Period:***

- 12.2 If within the period from the date of Substantial Completion of a particular item of equipment or a designated part of the Work to one (1) year after the commencement of the Correction Period, or such longer period as may be prescribed by Federal or New York State Law or by the terms of any applicable special guarantee required by the Contract Documents or by any specific provision of the Contract Documents, the particular item of equipment or designated part of the Work is found to be defective, Contractor shall promptly, without an adjustment in Contract Price and in accordance with Department's or Engineer's written instructions, either correct such Defective Work, or if it has been rejected by Department or Engineer, remove it from the site and replace it with Work which conforms to the requirements of the Contract Documents. Department or Engineer may direct the correction or removal and replacement of Defective or rejected Work. In addition to any other remedies which Department may have, Contractor shall pay the indirect and consequential costs of such correction or removal and replacement, including but not limited to fees and charges of engineers, architects, attorneys and other professionals, any additional expenses incurred by Department due to delays to others performing work under a separate contract with Department, and other contractual obligations, if the Defective Work is not corrected or the rejected Work is not removed and replaced within 30 days of the Department's or Engineer's written rejection or request for rejection of Work unless otherwise provided for in writing. In the event that Contractor fails to pay such costs within 30 days after receipt of an invoice from Department, a Change Order or Proposed Change Order may be issued incorporating the unpaid amount, and Department shall be entitled to an appropriate decrease in the Contract Price. If the parties are unable to agree as to the amount thereof, a claim may be made therefore as provided in Articles 8, 9 and 10 of the General Conditions.
- 12.2.1 At the date of Substantial Completion of the Work, the parties have agreed on the date for commencement of the Correction Period. However, Department may at its sole option advance or delay the date for commencement of the Correction Period, and Contractor's obligations to extend warranties and guarantees in accordance with paragraphs 12.1.2 and 12.1.3 or to maintain the Work in accordance with paragraph 12.1.2 and 12.1.3 until then shall remain absolute. Applicable Change Orders or

Proposed Change Orders shall be executed by the parties to adjust the Contract Price, as appropriate, on the basis of the unit prices declared in Contractor's Bid for extended warranty and extended maintenance requirements.

- 12.2.2 No later than 30 days before the date for commencement of the Correction Period, Engineer shall notify Contractor in writing of the date upon which the Correction Period is expected to commence, and Contractor shall ensure that the parts of the Work which reached Substantial Completion upon successful performance of Pre-operational Testing but were not placed in continuous service, are ready in their entirety by such date for use by Department as contemplated in the Contract Documents. In addition to any other damages payable by Contractor under these Contract Documents, Contractor shall also be liable for any damages suffered by Department on account of the parts of the Work which reached Substantial Completion upon successful performance of Pre-operational Testing but were not placed in continuous service at the beginning of the Correction Period because they were not ready for continuous utilization for the purposes for which they are intended.
- 12.2.3 Each month during the period between the date of Substantial Completion of parts of the Work which reached Substantial Completion upon successful performance of Pre-operational Testing and the date of commencement of the Correction Period, Contractor shall certify to Engineer in writing that the said parts of the Work are being properly maintained and will be ready for use by Department upon commencement of the Correction Period.
- 12.2.4 During the period described in Section 12.2.3 until commencement of the Correction Period, Contractor shall bear all risks of injury, loss, or damage to any part of the Work arising from the elements or from any other cause. Contractor shall rebuild, repair, restore, and make good at no cost to Department all injuries, losses, or damage to any portion of the Work occasioned by any cause and shall at no expense to Department provide suitable drainage and erect such temporary structures and take all other actions as are necessary for the protection of the Work. Suspension of the Work or the granting of an extension in Contract Time for any cause shall not relieve Contractor of its responsibility for the Work as herein specified.
- 12.2.5 Contractor's responsibilities under this Paragraph 12.2 are in addition to, not in lieu of, all other obligations imposed by these Contract Documents.

### ***Access to Work:***

- 12.3 Representatives of Department, Engineer, and representatives of testing agencies and governmental agencies with jurisdictional interests will have access to the Work at all times for observation, inspection and testing. Contractor shall provide proper and safe conditions for such access. Inspections, tests or observations by Engineer, Department or third parties may be performed to provide information to Department on the progress of the Work, however, this provision is not intended to create any duty or obligation to Contractor by Department or Engineer, nor is the information provided intended to fulfill Contractor's obligations under the Contract.

***Tests and Inspections:***

- 12.4 Contractor shall give Engineer timely notice of readiness of the Work for all required inspections, tests or approvals.
- 12.5 If a Law specifically requires any Work or part thereof, to be inspected, tested or approved, Contractor shall assume full responsibility therefor, pay all costs in connection therewith and furnish to Engineer the required certificates of inspection, testing or approval. Except as provided in Article 5, Contractor shall be responsible for and shall pay all costs in connection with any inspection or testing required in connection with Department's or Engineer's acceptance of materials or equipment proposed or submitted to Department and Engineer for approval prior or subsequent to Contractor's purchase thereof for incorporation in the work. The cost of all inspections, tests and approvals in addition to the above which are required by the contract documents shall be paid by Contractor.
- 12.6 All inspections, tests or approvals other than those required by Law to be performed or given by public body having jurisdiction over the Work or any part thereof, shall be performed by organizations acceptable to Department and Engineer. Contractor shall perform sufficient inspection and testing of the Work to support the warranty and guarantee requirements of paragraph 12.1 and 12.2 of the General Conditions. Reference is made to the Supplementary Conditions, Standard Specifications and Supplementary Specifications for provisions applicable to the procurement of an independent testing laboratory.
- 12.7 If any Work, including the work of others, which is to be inspected, tested or approved is covered without written concurrence of Engineer, it must, if requested by Engineer, be uncovered for inspection. Such uncovering shall be at Contractor's expense unless Contractor has given Engineer timely notice of Contractor's intention to cover the same and Engineer has not acted with reasonable promptness in response to such notice.
- 12.8 Neither inspections by Engineer nor inspections, tests or approvals by others shall relieve Contractor from Contractor's obligations to perform the Work in accordance with the Contract Documents.

***Uncovering Work:***

- 12.9 If any work is covered contrary to the written request of Engineer, it must, if requested by Engineer, be uncovered for Engineer's inspection and replaced at Contractor's expense.
- 12.10 If Engineer considers it necessary or advisable that covered Work be inspected by Engineer or inspected or tested by others, Contractor, at Engineer's request, shall uncover, expose or otherwise make available for observation, inspection or testing as Engineer may require, that portion of the Work in question, furnishing all necessary labor, material and equipment.
  - 12.10.1 If it is found that such Work is Defective, Contractor shall bear all direct, indirect and consequential costs of such uncovering, exposure, observation, inspection and testing, and of satisfactory reconstruction, including but not limited to fees and charges of engineers, architects, attorneys and other professionals, any additional expenses incurred by Department due to delays to others performing work under a separate contract with Department, and other contractual obligations, Contractor shall further bear



the responsibility for keeping the Work on schedule and shall not be entitled to any extension of Contract Time or recovery of any delay damages due to the uncovering.

- 12.10.2 If, however, such Work is not found to be Defective, Contractor shall be allowed an increase in the Contract Price or an extension of the Contract Time, or both, directly attributable to such uncovering, exposure, observation, inspection, testing and reconstruction pursuant to Articles 9, 10 and 11.
- 12.10.3 When covered Work is uncovered and found to be Defective, all direct, indirect and consequential costs as established in paragraph 12.10.1 shall be paid by Contractor. In the event that Contractor fails to pay such costs within thirty (30) days after receipt of an invoice from Department, a Change Order or Proposed Change Order may be issued incorporating the unpaid amount as an appropriate reduction in the Contract Price, and if the parties are unable to agree as to the amount thereof, the Contractor may make a claim therefore as provided in Articles 9 and 10 of the General Conditions.

### ***Department May Stop the Work:***

- 12.11 If the Work is defective, or Contractor fails to supply sufficient skilled workers or suitable materials or equipment, or fails to furnish or perform the Work in such a way that the completed Work will conform to the Contract Documents, Department may order Contractor to stop the Work, or any portion thereof, until the cause for such order has been eliminated; however, this right of Department to stop the Work shall not give rise to any duty on the part of Department to exercise this right for the benefit of Contractor or any other party.
- 12.11.1 Contractor shall bear all direct, indirect and consequential costs of such order to Contractor to stop Work including but not limited to fees and charges of engineers, architects, attorneys and other professionals, any additional expenses incurred by Department due to delays to others performing work under a separate contract with Department, and other contractual obligations, and Contractor shall further bear the responsibility for maintaining schedule and shall not be entitled to any extension of contract time or recovery of any delay damages due to the order to stop Work.
- 12.11.2 In the event that Contractor fails to pay such costs within thirty (30) days after receipt of an invoice from Department, a Change Order or Proposed Change Order may be issued incorporating the unpaid amount as an appropriate reduction in the Contract Price. If the parties are unable to agree as to the amount thereof, the Contractor may make a claim therefore as provided in Articles 8, 9, 10, and 11 of the General Conditions.

### ***Correction or Removal of Defective Work:***

- 12.12 If required by Engineer, Contractor shall promptly, as directed, either correct all defective Work, whether or not fabricated, installed or completed, or, if the Work has been rejected by Engineer, remove it from the site and replace it with non-defective Work that conforms with the Contract Documents. Contractor shall bear all direct, indirect and consequential costs of such correction or removal including but not limited to fees and charges of engineers, architects, attorneys and other professionals, any additional expenses incurred by Department due to delays to others performing work under a separate contract with Department, and other contractual obligations. Contractor shall further bear the responsibility for keeping the Work on schedule and shall not be entitled to any extension in Contract Time or recovery of any delay damages due to the correction

or removal. In the event that Contractor fails to pay such costs within thirty days after receipt of an invoice from Department, a Change Order or Proposed Change Order may be issued incorporating the unpaid amount, as an appropriate reduction in the Contract Price. If the parties are unable to agree as to the amount thereof, the Contractor may make a claim therefore as provided in Articles 8, 9, 10, and 11 of the General Conditions.

### ***Acceptance of Defective Work:***

- 12.13 If, instead of requiring correction or removal and replacement of defective Work, Department prefers to accept it, Department may do so. Contractor shall bear all direct, indirect and consequential costs attributable to Department's evaluation and determination to accept such Defective Work, such costs to include but not be limited to fees and charges of engineers, architects, attorneys and other professionals, any additional expenses incurred by Department due to delays to others performing work under a separate contract with Department, and other contractual obligations. Contractor shall further bear the responsibility for keeping the Work on schedule and shall not be entitled to any extension in Contract Time or recovery of any delay or acceleration damages due to Department's evaluation and determination to accept such Defective Work. If any such acceptance occurs prior to Engineer's recommendation of final payment, a Change Order may be issued incorporating the necessary revisions in the Contract Documents with respect to the Work; and Department shall be entitled to an appropriate reduction in the Contract Price. In the event that Contractor fails to pay such costs within thirty (30) days after receipt of an invoice from Department, or if the parties are unable to agree as to the amount thereof, Contractor may make a claim therefore as provided in Articles 8, 9, 10, and 11 of the General Conditions. If the acceptance occurs after final payment, an appropriate amount will be refunded by Contractor to Department.

### ***Department May Correct Defective Work:***

- 12.14 If Contractor fails within a reasonable time after written notice of Engineer to proceed to correct and to correct Defective Work or to remove and replace rejected Work as required by Engineer, or if Contractor fails to perform the Work in accordance with the Contract Documents, or if Contractor fails to comply with any other provision of the Contract Documents, Department may, after seven (7) days' written notice to Contractor, correct and remedy any such deficiency. To the extent necessary to complete corrective and remedial action, Department may exclude Contractor from all or part of the site, take possession of all or part of the work and suspend or terminate Contractor's services related thereto, take possession of Contractor's tools, appliances, construction equipment and machinery at the site and incorporate in the Work all materials and equipment stored at the site or for which Department has paid Contractor but which are stored elsewhere. Contractor shall allow Department, and Department's representatives, agents and employees such access to the site as may be necessary to enable Department to exercise the rights and remedies provided by this paragraph and the Contract Documents. All direct, indirect and consequential costs of Department in exercising such rights and remedies will be charged against Contractor in an amount approved as to reasonableness by Engineer, a Change Order will be issued incorporating the necessary revisions in the Contract Documents with respect to the Work, and Department shall be entitled to an appropriate decrease in the Contract Price. If the parties are unable to agree as to the amount thereof, Contractor may make a claim therefore as provided in Article 8, 9, 10, and 11. Such direct, indirect and consequential costs shall include but not be limited to fees and charges of engineers, architects, attorneys and other professionals, all costs of delay and all costs of repair and replacement of work of others destroyed or damaged by correction, removal or replacement of Contractor's Defective Work. Contractor shall not be

allowed an extension of the Contract Time because of any delay in performance of the Work attributable to the exercise by Department of Department's rights and remedies hereunder.

## ***ARTICLE 13 - Payments to Contractor and Completion***

### ***Schedule of Values:***

- 13.1 The schedule of values established as provided in paragraph 1.4 and 1.6 of the General Conditions shall serve as the basis for progress payments. Progress payments for Unit Price Work shall be based on the number of units completed. Department will furnish Application for Payment forms.

### ***Application for Progress Payment:***

- 13.2 At least fourteen (14) days before each progress payment is scheduled to be submitted to the Department, Contractor shall submit to Engineer for review an Application for Payment on forms furnished by Department filled out and signed by Contractor covering the Work completed as of the date of the Application and accompanied by such supporting documentation as is required by the Contract Documents. If payment is requested on the basis of materials and equipment not incorporated in the Work but delivered and suitably stored at the site or at another location agreed to in writing, the Application for Payment shall also be accompanied by bills of sale, invoices or other documentation supporting the cost, together with documents warranting that Department has received the materials and equipment free and clear of all liens, charges, security interests and encumbrances (each and all of these terms are hereinafter referred to as "Liens"). Each Application for Payment shall contain a certification by Contractor that progress payments received from Department on account of the Work have been applied by Contractor and its Subcontractors to discharge in full all of Contractor's and its Subcontractors' obligations stated in the prior Application for Payment, and that Contractor has verified the accuracy of the progress reported to have been completed by Contractor or its Subcontractors in the Application for Payment. Notwithstanding any other provisions of the Contract Documents to the contrary, neither Department nor Engineer are under any duty or obligation whatsoever to any Subcontractor or Supplier to insure that payments due and owing by Contractor to any of them are or will be made. Such parties shall rely only on Contractor's surety bonds for remedy of nonpayment by Contractor. The amount of retainage with respect to progress payments will be as provided for by the laws of New York State.

- 13.2.1 An Application for Payment a) will not be approved if the as-built documents, including but not limited to Drawings legibly marked in accordance with Contract Documents to record actual construction, are not kept current, and b) will not be approved until the completed as-built documents, showing all variations between the Work as actually constructed and as originally shown on the Drawings and other Contract Documents, have been inspected by Engineer. For the purpose of this paragraph, the as-built documents will be considered current if they include all of the documents itemized in paragraph 5.19 together with any other information that supplements or changes the original Contract Documents which has been delivered or otherwise made known to Contractor prior to the time when Application for Payment is to be reviewed by Engineer.
- 13.2.2 An Application for Payment will not be approved until Contractor has submitted and Engineer has reviewed the Progress Schedule and submittals required in Contract Documents which are due prior to that Application for Payment.

***Contractor's Warranty of Title:***

- 13.3 Contractor warrants and guarantees that title to all Work, materials and equipment covered by any Application for Payment, whether or not incorporated in the Project, shall pass to Department no later than the time of payment free and clear of all Liens.

***Review of Applications for Progress Payment:***

- 13.4 Engineer shall, within five (5) days after receipt of each Application for Payment, either recommend payment in writing and present the Application to Department or return the Application to Contractor indicating in writing Engineer's reasons for refusing to recommend payment. In the latter case, Contractor may make the necessary corrections and resubmit the application. After presentation of the application for payment with Engineer's recommendation, the amount recommended shall be paid in accordance with New York State Law upon approval of the Department.
- 13.5 Department may refuse to make payment of the full amount recommended by Engineer for one or more of the following reasons: claims have been made against Department on account of Contractor's performance, or furnishing of the Work, Liens have been filed in connection with the Work, there are other facts or circumstances entitling Department to a set-off against the amount recommended, or Department has determined that Work performed by Contractor does not conform to Contract Documents including, but not limited to, moneys payable by Contractor to Department pursuant to the requirements of Articles 5 and 12 of the General Conditions. In the event of such refusal to pay the full recommended amount, Department must give Contractor prompt written notice (with a copy to Engineer) stating the reasons for such action.

***Substantial Completion:***

- 13.6 When Contractor considers all or part of the Work ready for its intended use, Contractor shall notify Department and Engineer in writing that the Work or specified part thereof, is substantially complete except for items specifically listed by Contractor as incomplete, and request that Engineer issue a certificate of Substantial Completion for the Work, or such specified part thereof. Within a reasonable time thereafter, not to exceed 30 days, Department, Contractor and Engineer shall make an inspection of the Work, or specified part thereof, to determine the status of completion. If Engineer or Department does not consider the Work, or specified part thereof, substantially complete, Engineer shall notify Contractor in writing giving the reasons therefor, after consultation with the Department. If Engineer considers the Work, or part thereof, substantially complete, Engineer shall prepare and deliver to Department a tentative certificate of Substantial Completion for the Work, or part thereof, which shall fix the date of Substantial Completion. There shall be attached to the certificate a list of items to be completed or corrected before final payment, and Engineer's written recommendation as to a division of responsibilities between Department and Contractor pending final payment including but not limited to security, operation, safety, maintenance, heat, utilities, insurance and warranties. Department shall have seven (7) days after receipt of the tentative certificate with attachments during which to make written objection to Engineer as to any provisions of the referenced submittals and to direct a revision of the tentative certificate. Unless Department and Contractor agree otherwise in writing and so inform Engineer or Department directs the revision of the certificate of Substantial Completion for the Work, or specified part thereof, Engineer's recommendation will be binding on Contractor until final payment.

- 13.7 Department shall have the right to exclude Contractor from the Work, or part thereof, after the date of Substantial Completion for the Work, but Department shall allow Contractor reasonable access to complete or correct items on the tentative list.

***Partial Utilization:***

- 13.8 Department may use any finished part of the Work which has specifically been identified in the Contract Documents, or which Department, Engineer, and Contractor agree constitutes a separately functioning and usable part of the Work that can be used by Department without significant interference with Contractor's performance of the remainder of the Work, may be accomplished prior to Substantial Completion of all the Work subject to the following:

13.8.1 Department at any time may direct Contractor in writing to permit Department to use any such part of the Work which Department believes to be ready for its intended use and substantially complete. Contractor may certify to Department and Engineer that said part of the Work is substantially complete and request Engineer to issue certificate of Substantial Completion for that part of the Work. Within a reasonable time after such direction, Department, Contractor and Engineer shall make an inspection of that part of the Work to determine its status of completion. If Engineer does not determine that part of the Work to be substantially complete, Engineer will notify Department and Contractor in writing giving the reasons therefor. The provisions of paragraphs 13.6 and 13.7 will apply with respect to certification of Substantial Completion of that part of the Work and the division of responsibility in respect thereof and access thereto.

13.8.2 Department may at any time direct Contractor in writing to permit Department to take over operation of any such part of the Work although it is not substantially complete. A copy of such request will be sent to Engineer and within a reasonable time thereafter Department, Contractor and Engineer shall make an inspection of that part of the Work to determine its status of completion and will prepare a list of the items remaining to be completed or corrected thereon before final payment. If Contractor does not object in writing to Department and Engineer that such part of the Work is not ready for separate operation by Department, Engineer shall submit to Department a list of items to be completed or corrected together with a written recommendation as to a division of responsibilities between Department and Contractor, including but not limited to security, operation, safety, maintenance, utilities, insurance and warranties pending final payment for such Work. Department shall have seven (7) days to make written objection to Engineer's list and recommended division of responsibilities to direct a revision thereof. Such directed revision or otherwise objected list and recommended division of responsibilities, shall become binding upon Department and Contractor at the time when Department takes over such operation unless they shall have agreed otherwise in writing. During such operation and prior to Substantial Completion of such part of the Work, Department shall allow Contractor reasonable access to complete or correct items on said list and to complete other related Work.

***Final Inspection:***

- 13.9 Upon written notice from Contractor that the entire Work or an agreed portion thereof is complete, Engineer will make a final inspection with Department and Contractor and will notify Contractor in

writing of all particulars in which this inspection reveals that the Work is incomplete or defective. Contractor shall immediately take such measures as are necessary to remedy such deficiencies.

***Final Application for Payment:***

- 13.10 After Contractor has completed all corrections to the satisfaction of Engineer and Department and delivered all maintenance and operating instructions, schedules, guarantees, Bonds, certificates of inspection, as-built documents (as provided in paragraph 5.19) and other documents - all as required by the Contract Documents, and after Engineer has indicated that the Work is acceptable (subject to the provisions of paragraph 13.12), Contractor may make application for final payment following the procedures for progress payments. The final Application for Payment shall be accompanied by all documentation called for in the Contract Documents, together with complete and legally effective releases or waivers satisfactory to Department of all Liens arising out of or filed in connection with the Work. In lieu thereof and as provided for by the laws of New York State and approved by Department, Contractor may furnish receipts or releases in full and an affidavit of Contractor that such receipts and releases include all labor, services, material and equipment for which a Lien could be filed, and that all payrolls, material and equipment bills, and other indebtedness connected with the Work for which Department or Department's property might in any way be responsible, have been paid or otherwise satisfied; and consent of the surety, if any, to final payment. If any Subcontractor or Supplier fails to furnish a release or receipt in full, Contractor may furnish a Bond or other collateral satisfactory to Department to indemnify Department against any Lien.

***Final Payment and Acceptance:***

- 13.11 If, on the basis of Engineer's inspection of the work during construction and final inspection, and Engineer's review of the final application for payment and accompanying documentation, Engineer has determined that the work has been completed in substantial conformance with the Contract Documents and Contractor's other obligations under the Contract Documents have been fulfilled, Engineer will, within ten (10) days after receipt of the final application for payment, indicate in writing Engineer's recommendation of payment and present the application to Department for payment along with a certificate that the work was completed in substantial conformance with the contract documents. Thereupon Engineer will give written notice to Department and Contractor that the work is acceptable subject to the provisions of paragraph 13.13. Otherwise, Engineer will return the application to Contractor, indicating in writing the reasons for refusing to recommend final payment, in which case Contractor shall make the necessary corrections and resubmit the Application. After presentation to Department of the application and accompanying documentation, in appropriate form and substance, and with Engineer's recommendation and certification of substantial conformance with the Contract Documents, final payment will be paid by Department to Contractor in accordance with New York State Law. If Department believes deficiencies exist, it will so notify Engineer and Contractor in writing.
- 13.12 If, through no fault of Contractor, final completion of the Work is significantly delayed and if Engineer so confirms, Department shall, upon receipt of Contractor's final Application for Payment and recommendation of Engineer, and without terminating the Agreement, make payment of the balance due for that portion of the Work fully completed and accepted.

***Waiver of Claims:***

13.13 The making and acceptance of final payment will constitute:

13.13.1 A waiver of all claims by Department against Contractor, except claims arising from unsettled Liens, from Defective Work appearing after final inspection pursuant to paragraph 13.11 or from failure to comply with the Contract Documents or the terms of any special guarantees specified therein; however, it will not constitute a waiver by Department of any claims or rights with respect to Contractor's continuing obligations under the Contract Documents; and

13.13.2 A waiver of all claims by Contractor against Department other than those previously made in writing and still unsettled.

***ARTICLE 14 - Suspension of Work and Termination***

***Department May Suspend Work:***

14.1 Department may for its convenience, order Contractor in writing at any time to suspend the Work or any portion thereof for such a period of time as Department may determine to be appropriate. A suspension of Work order will fix the date on which the Work, or portion thereof, will be resumed. Contractor shall resume the Work, or portion thereof, on the date so fixed.

14.1.1 If the performance of the Work or portion thereof is suspended for a period of time which exceeds the Total Float available in the approved Progress Schedule for the portion or portions controlling the Work affected by a suspension of Work order pursuant to paragraph 14.1, or by an act of Department or Engineer in the administration of the Contract, or by Department's or Engineer's failure to act within the applicable latest dates substantiated in the approved Progress Schedule, Contractor will be allowed an increase in Contract Price or an extension in Contract Time, or both, necessarily caused by such suspension which extends the applicable latest dates in the approved Progress Schedule. However, no adjustment will be made under this paragraph of the General Conditions for any suspension to the extent: 1) that performance would have been so suspended by any other cause, including the fault and negligence of Contractor, or 2) for which an adjustment is provided, limited as to extent, or excluded under any other provision of the Contract Documents.

14.1.2 Contractor shall deliver to Engineer a written Proposed Change Order including at a minimum, justification for the request within seven (7) days or earlier if so required elsewhere in the Contract Documents, of the act or failure to act which Contractor believes gives rise to an adjustment in Contract Price or Contract Time pursuant to paragraph 14.1.1. Failure by Contractor to comply with the time requirements for delivery of written Proposed Change Orders will be considered to be a waiver by Contractor of any request for adjustment or claim for an increase in Contract Price or Contract Time for the period of time during which the Proposed Change Order has not been submitted.

14.1.3 Contractor's proposal with all supporting data shall be delivered within 15 days of such notice or within twenty-two (22) days of such occurrence, whichever is later, unless Department allows an additional period of time to obtain more accurate data. Contractor

shall prove that additional costs and delays were necessarily incurred which meet the criteria set forth in Articles 9, 10 and 11 of the General Conditions, despite Contractor's reasonable, prudent, and diligent efforts to prevent such costs or delays.

- 14.2 In addition to the provisions of Appendix B, if Department stops Work in accordance with Article 12.11 of the General Conditions or suspends Contractor's services in accordance with Article 12.11, or suspends the work or any portion thereof because of Contractor's failure to prosecute the work and to protect persons and property, Contractor shall not be entitled to an extension of Contract Time or an increase in Contract Price.

***Department May Terminate:***

- 14.3 Department may serve written notice upon Contractor and its surety that it intends to terminate the Contract for cause upon the date specified which shall not be less than seven (7) days from the date of the notice. Such notice shall contain the reasons for the intended termination which shall be effective on the date specified unless Contractor shall cease the violation(s) or make arrangements which are satisfactory to the Department to address the violation(s). Upon termination, the Department may exclude Contractor from the site and take possession of the Work and of all Contractor's tools, appliances, construction equipment and machinery at the site and use the same to the full extent they could be used by Contractor without liability to Contractor for trespass or conversion, incorporate in the work all materials and equipment stored at the site or for which Department has paid Contractor but which are stored elsewhere, and finish the Work as Department may deem expedient. In such case Contractor shall not be entitled to receive any further payment until the Work is finished. If the unpaid balance of the Contract Price exceeds the direct, indirect and consequential costs of completing the Work including but not limited to fees and charges of engineers, architects, attorneys and other professionals and court costs, such excess will be paid to Contractor. If such costs exceed such unpaid balance, Contractor shall pay the difference to Department. Such costs incurred by Department will be approved as to reasonableness by Engineer and incorporated in a Change Order or Proposed Change Order.

Department may terminate for cause upon the occurrence of any one or more of the following events:

- 14.3.1 If Contractor commences a voluntary case under any chapter of the Bankruptcy Code, as now or hereafter in effect, or if Contractor takes any equivalent or similar action by filing a petition or otherwise under any other federal or state law in effect at such time relating to the bankruptcy or insolvency;
- 14.3.2 If a petition is filed against Contractor under any chapter of the Bankruptcy Code as now or hereafter in effect at the time of filing, or if a petition is filed seeking any such equivalent or similar relief against Contractor under any other federal or state law in effect at the time relating to bankruptcy or insolvency;
- 14.3.3 If Contractor makes a general assignment for the benefit of creditors;
- 14.3.4 If a trustee, receiver, custodian or agent of Contractor is appointed under applicable law or under contract, whose appointment or authority to take charge of property of Contractor is for the purpose of enforcing a lien against such property or for the purpose of general administration of such property for the benefit of Contractor's creditors;
- 14.3.5 If Contractor admits in writing an inability to pay its debts generally as they become due;



- 14.3.6 If Contractor fails to perform the Work in accordance with the Contract Documents, including, but not limited to, failure to supply sufficient skilled workers, or suitable materials or equipment, or failure to adhere to the progress schedule established under paragraph 1.6 as revised from time to time or failure to submit an updated schedule as required by paragraph 5.6;
- 14.3.7 If Contractor disregards Laws or Regulations of any public body having jurisdiction;
- 14.3.8 If Contractor disregards the authority of Engineer;
- 14.3.9 If Contractor filed certification in accordance with New York State Finance Law §139-k which was intentionally false or intentionally incomplete; or
- 14.4 Where Contractor's services have been so terminated by Department, the termination shall not affect any rights or remedies of Department against Contractor then existing or which may thereafter accrue. Any retention or payment or moneys due Contractor by Department will not release Contractor from liability.
- 14.5 The Department may without cause and without prejudice to any other right or remedy terminate the Contract for convenience upon seven (7) days written notice to Contractor, its surety and Engineer, and elect to abandon the Work and terminate the Agreement. In such case, Contractor shall be paid for all Work accepted by Department.

***Contractor May Stop Work or Terminate:***

- 14.6 If, through no act or fault of Contractor, Engineer fails to act on any Application for Payment within thirty (30) days after it is submitted, or Department fails for one hundred and twenty (120) days to pay Contractor any sum finally determined to be due by Department, then Contractor may, upon seven (7) days' written notice to Department and Engineer, terminate the Agreement and recover from Department payment for all Work accepted by Department. In lieu of terminating the Agreement, if Engineer has failed to act on an Application for Payment or Department has failed to make any payment as aforesaid, Contractor may upon seven (7) days written notice to Department and Engineer stop the Work until payment of all amounts then due. The provisions of this paragraph shall not relieve Contractor of the obligations under paragraph 5.31 to carry on the Work in accordance with the progress schedule and without delay during disputes and disagreements with Department.

***ARTICLE 15 - Miscellaneous***

***Notice and Service:***

- 15.1 The term "notice" in this Article shall refer to any notice required under the Contract for claims (delay, change order, extra work, liquidated damages, etc.) or initial contract disputes against the Department. When notice is required to be sent by the Contractor to the Department, it must be in writing and provided within 15 calendar days of the date that the Contractor knew or should have known of the facts that form the basis of the claim or dispute. Notice should be as factually complete as possible, and contractors should have a continuing duty to promptly provide the

agency with information about conditions of the claim. If a claim or dispute involves a matter of life, health or safety, notice must be made immediately to the Department.

- 15.1.1 The Contractor shall give the Department immediate notice in writing of the initiation of any legal action or suit which relates in any way to a subcontract with a subcontractor or which may affect the performance of the Contractor's duties under the contract.
- 15.1.2 The written notice must be addressed and delivered to the Project Manager at the address provided in Article 2 of Section IV.
- 15.1.3 Written notice may be provided by the Contractor to the Department in one of the three methods to achieve actual notice: (i) first class mail and email; (ii) certified mail and first-class delivery; or (iii) overnight mail and first-class delivery. The written notice shall contain a sufficient description of the claim or dispute pursuant to the provisions of the Contract.
- 15.1.4 Upon receipt of the written notice from the Contractor, the Department shall provide a written acknowledgment of receipt of notice. The Department's failure to provide written acknowledgment shall not be deemed a breach of contract or alter the Contractor's obligation to provide timely notice.
- 15.1.5 Any notice to or demand upon Contractor shall be deemed served if delivered to Contractor's representative at the site or if delivered to the individual proprietor if Contractor is an individual, to a partner if Contractor is a partnership or to an officer of the corporation if Contractor is a corporation, at the office of Contractor specified in the Contract Documents, or if deposited in the United States mail in a sealed, postage prepaid envelope, addressed to the principal office of Contractor listed in the Contract Documents, or emailed to the electronic address provided in Section V- Bid Forms and Acknowledgement and followed by written notice.
- 15.1.6 Any written notice or other communication to Contractor's Surety or Sureties shall be delivered or mailed to the home office of the Surety or Sureties, or to the agent or agents who executed the Bonds on behalf of the Surety or Sureties.
- 15.1.7 Any such notice or demand shall be deemed to have been given or made as of the time of actual delivery, or, in the case of mailing, at the time of actual receipt thereof.

### ***Computation of Time:***

- 15.2 When any period of time is referred to in the Contract Documents by days, it will be computed to exclude the first and include the last calendar day of such period. If the last calendar day of any such period falls on a Saturday or Sunday or on a day made a legal holiday by the State of New York, such day will be omitted from the computation. This does not apply to contract completion time as set forth in Article 6 of the Agreement.

### ***General:***

- 15.3 Should Department or Contractor suffer injury or damage to person or property because of an act or omission to act of the other party, its employees or agents or others for whose acts the other party is legally liable, a Claim may be made therefore, in writing to the other party within a

reasonable time of the first observance of such injury or damage. The provisions of this paragraph shall not be construed as a substitute for or a waiver of the provisions of any applicable statute of limitations or repose.

- 15.4 The duties and obligations imposed by these General Conditions and the rights and remedies available to the parties hereunder, including but not limited to the warranties, guarantees and obligations imposed upon Contractor by Contract Documents and all of the rights and remedies available to Department thereunder, are in addition to, and are not to be construed in any way as a limitation of, any rights and remedies available to any or all of them which are otherwise imposed or available by New York State Laws, by special warranty or guarantee or by other provisions of the Contract Documents. The provisions of this paragraph shall be as effective as if repeated specifically in the Contract Documents in connection with each particular duty, obligation, right and remedy. All representations, warranties and guarantees made in the Contract Documents shall survive final payment and termination or completion of the Agreement.
- 15.5 The obligation of Contractor to maintain the Work, or any part thereof, until the completion of the Correction Period shall survive final payment and termination or completion of the Agreement.

***No Waiver of Legal Rights:***

- 15.6.1 Inspection by Engineer or by any of its duly authorized representatives, any measurement or report by Engineer, any order by Department for the payment of money, any payment for or acceptance or possession of any Work or any extension in Contract Time or any possession taken by Department shall not operate as a waiver of any provision of the Contract Documents, or any power therein preserved to Department, or of any right to damages therein provided. Any Waiver of any breach of this Contract shall not be held to be a waiver of any other or subsequent breach.
- 15.6.2 Department reserves the right to correct any error that may be discovered in any estimate that may have been paid, and to adjust the same to meet the requirements of the Contract Documents. Department further reserves the right, should proof of Defective Work on the part of Contractor be discovered after the final payment has been made, to claim, and recover by process of law, such sums as may be sufficient to correct the error, or make good the defects in the Work.
- 15.6.3 Any waiver of any provision of the Contract Documents shall be specific, shall apply only to the particular item or matter concerned and shall not apply to other similar or dissimilar items or matters.

***Affidavit and Release of Lien:***

- 15.7.1 When the Work has been completed, Contractor shall execute a final release of Lien and an Affidavit declaring that all bills have been paid in full, and that the requirements of the New York State Labor Law have been complied with.
- 15.7.2 These documents will be furnished to Department on the forms provided by Department.
- 15.7.3 Contractor shall be responsible for obtaining and submitting these forms to Department for all subcontractors involved in the Work.

***Recovery Rights Subsequent to Final Payment:***

- 15.8 Department reserves the right, should an error be discovered in an Application for Payment or should proof of Defective Work or materials used by or on the part of Contractor be discovered after the final payment has been made, to claim and recover from Contractor or his Surety, or both, by process of law, such sums as may be sufficient to correct the error or make good the defects in the Work and materials.

***General Guarantee:***

- 15.9 Neither the final acceptance, nor final payment by Department, nor any provision of the Contract Documents, nor partial or entire use of the Work by Department, shall constitute an acceptance of Work not done in accordance with the Contract Documents or relieve Contractor of liability in respect to any express warranties or responsibility for faulty materials or workmanship. Contractor guarantees the remedy of all Defective Work and payment for all damage to other Work, persons or property resulting therefrom which shall occur within one (1) year from the date of final acceptance unless a longer period is required by Contract Documents, by Law, or by standard practice. Department will give notice of observed Defective Work with reasonable promptness. Contractor shall ensure that its Surety shall be bound with and for Contractor in the faithful observance of this General Guarantee.

***Audit; Access to Records:***

- 15.10.1 In addition to the rights of access set forth in Appendix A, if Contractor has submitted Cost and Pricing Data in connection with the pricing of any Change Order, Proposed Change Order or Claim related to this Contract, Department and Engineer or any of their duly authorized representatives shall have the right to examine and audit all books, ledgers, records, and documents pertinent to all Cost and Pricing data available and relied upon by Contractor including but not limited to that used by Contractor in the determination of its Bid for the Work, in order to evaluate the accuracy, completeness, and currency of the Cost or Pricing data.
- 15.10.2 Contractor shall make available at Contractor's office at all reasonable times the materials described in paragraph 15.10.1 above, for examination, audit, or reproduction, until six (6) years after final payment under this Contract.
- 15.10.2.1 If this Contract is completely or partially terminated, the records relating to the Work terminated shall be made available for six (6) years after any resulting final termination settlement.
- 15.10.2.2 Records pertaining to appeals under Article 8 of Appendix B of the Agreement, to litigation or the settlement of claims arising under or relating to the performance of this Contract shall be made available until disposition of such appeals, litigation, or claims.
- 15.10.3 A provision stating that all the requirements of this Article of the General Conditions are applicable to Subcontracts under this Contract exceeding \$50,000 in value shall be inserted by Contractor in all such subcontracts.

***Price Reduction for Defective Cost or Pricing Data:***

- 15.11.1 This provision shall become operative only for any Change Order, or Proposed Change Order or claim settlement under this Contract involving aggregate increases and/or decreases in costs, plus applicable profits, of more than \$10,000; except that this provision shall not apply to any amendment to the Contract for which the price of the Work involved in the amendment is:
  - 15.11.1.1 Based on adequate price competition;
  - 15.11.1.2 Based on established catalog or market prices of commercial items sold in substantial quantities to the general public, or
  - 15.11.1.3 Set by New York State law.
- 15.11.2 If any price, including profit, negotiated in connection with any Change Order, Proposed Change Order or claim settlement under this provision, was increased because: 1) Contractor or a Subcontractor, Supplier, other person or organization furnished Cost and Pricing Data that were not complete, accurate, and current as certified in its Certificate of Current Cost or Pricing Data; 2) a designated or prospective Subcontractor, Supplier, other person or organization furnished Contractor Cost and Pricing Data that were not complete, accurate, and current as certified in the Contractor's Certificate of Current Cost and Pricing Data; or 3) any of these parties furnished data of any description that were not accurate, the price shall be changed accordingly and the Contract shall be adjusted to reflect the change. This right to a change in Contract Price is limited to that resulting from defects in data relating to amendments to the Contract for which this provision becomes operative under paragraph 15.11.1 above.
- 15.11.3 Any decrease in Contract Price under paragraph 15.11.2 above due to defective data from a designated or prospective Subcontractor, Supplier, other person or organization that was not subsequently awarded the Subcontract or purchase order shall be limited to the amount, plus applicable overhead and profit markup, by which 1) the actual Subcontract or purchase order or 2) the actual cost to Contractor, if there was no Subcontract or purchase order, was less than the prospective Subcontract or purchase order, cost estimate submitted by Contractor; provided, that the actual Subcontract or purchase order price was not itself affected by defective cost or Pricing data.
- 15.11.4 Before awarding any Subcontract or purchase order which exceeds or can be reasonably expected to exceed \$150,000 when entered into, or pricing any Change Order or Proposed Change Order or claim settlement involving a pricing adjustment expected to exceed \$10,000, Contractor shall require the Subcontractor, Supplier, other person or organization to submit Cost or Pricing data (actually or by specific identification in writing), unless the price is:
  - 15.11.4.1 Based on adequate price competition;
  - 15.11.4.2 Based on established catalog or market prices of commercial items sold in substantial quantities to the general public; or
  - 15.11.4.3 Set by New York State law.

- 15.11.5 Contractor shall require such Subcontractor, Supplier, other person or organization to certify in the form prescribed in the Contract Documents, that to best of its knowledge and belief, the data submitted under paragraph 15.11.4 is accurate, complete, and current as of the date of agreement on the negotiated price of the Subcontract, purchase order, Change Order, Proposed Change Order, or claim settlement affecting the Subcontract.
- 15.11.6 Contractor shall make the provisions of this Article applicable to all Subcontracts or purchase orders that exceed or can be reasonably expected to exceed \$150,000.

***No Waiver:***

- 15.12.1 The rights and remedies set forth in the Contract Documents are not exclusive and are in addition to any other rights and remedies provided by law or equity. The duties and obligations imposed by the Contract Documents and the rights and remedies available thereunder shall be in addition to and not a limitation of any duties, obligations, rights and remedies otherwise imposed or available by New York State law.
- 15.12.2 No act or omission by Department or Contractor shall constitute a waiver of any right or duty afforded any of them under the Contract Documents, nor shall any such act or omission constitute an approval of or acquiescence in any breach thereunder, except as may be specifically agreed in writing.

***Comparable or Equivalent Terms:***

- 15.13.1 Contractor warrants, represents and guarantees that all of the prices, terms, warranties and benefits granted to Department under the Contract are comparable to or better than the equivalent terms, prices, warranties and benefits offered to any other existing customer for similar Work.
- 15.13.2 In addition to the other remedies available, Department may demand repayment for any excess payment, plus interest thereon, for failure of Contractor to comply with paragraph 15.13.1.

***Unlawful Provisions Deemed Stricken:***

- 15.14.1 If the Contract Documents contain any unlawful provisions, such unlawful provisions shall be of no effect. Any provision determined to be unlawful by a court of competent jurisdiction, shall be deemed stricken from the Contract Documents without affecting the validity of the remaining provisions of the Contract Documents.

***All Legal Provisions Included:***

- 15.15.1 All provisions of Law required to be included in the Contract Documents shall be and are inserted herein. If through mistake, neglect, oversight or otherwise, any such provision has not been included or included in improper form, upon the application of either party, the Contract Documents shall be amended in writing at no increase in Contract Price nor extension in Contract Time, so as to comply with the Law.

***No Estoppel:***

- 15.16 Department or any officer, employee, servant or agent thereof, shall not be estopped, bound or precluded by any determination, return, decision, approval, order, letter, payment or certificate made or given by Engineer or any other officer, employee, servant or agent of Department, at any time, either before or after final completion and acceptance of the Work and payment therefor:
- 15.16.1 From showing the true and correct amount, classification, quality, and character of the Work completed and materials furnished by Contractor or any other person under the Contract, or from showing at any time that any determination, return, decision, approval, order, letter, payment, or certificate is untrue and incorrect, or improperly made in any particular, or that the Work or the materials or any part thereof, do not in fact conform to the Contract Documents; or,
- 15.16.2 From demanding the recovery of any overpayments made to Contractor, or such damages as Department may sustain by reason of failure to perform each and every term, provision or condition of the Contract in accordance with its terms.

***Prohibited Interests:***

- 15.17 No official of Department who is authorized in such capacity on behalf of Department to negotiate, make, accept or approve or to take part in the negotiating, making or approving any architectural, engineering, inspection, construction or material supply contract or any Subcontractor in connection with the Work or the Project of which the Work is a part, shall be knowingly permitted by Contractor to become directly or indirectly interested personally in this Contract or in any part thereof. No officer, employee, architect, attorney, engineer or project representative of or for Department who is authorized in such capacity and in behalf of Department to exercise any executive, supervisory or other similar function in connection with the Work or the Project of which the Work is a part shall be knowingly permitted by Contractor to become directly interested personally in this Contract or in any part thereof.

***No Third Party Beneficiary:***

- 15.18 Contractor acknowledges and agrees that it is not a third party beneficiary to any other agreement between the Department and any third party and/or any work product prepared or work performed for the Department by any third party, including but not limited to the contract between and/or work or work product performed by the Engineer; that nothing in the bid documents or the contract document shall be construed so as to give the contractor any legal or equitable claim, right or remedy against any other party with whom the Department has contracted, including but not limited to the Engineer; that nothing in any separate agreement between Department and any third party, including but not limited to the Engineer shall be construed to give the contractor any legal or equitable claim, right or remedy against such third party; rather such agreements are acknowledged and agreed to be intended to be for the sole exclusive benefit of the parties thereto. Contractor further acknowledges and agrees that its sole rights and remedies in connection with its bidding and performance of the work to be performed by it under the bid documents and contract documents are limited to such rights and remedies as are provided under the bid documents and contract documents. Further, contractor acknowledges and agrees that no claim against any third party, including but not limited to the Engineer, which is in separate contractual privity with the Department, shall arise out of such contractor's or the Engineer's performance of services for the Department pursuant to such separate contract.

Nothing herein shall release or waive any direct claim which the Department may have against any such separate contractor, including the Engineer, pursuant to the terms of the Department's contract with such third party.

Should any direct claim be brought by contractor against any third party in separate direct contractual relationship with the Department, contractor agrees to reimburse to the Department and to such separate contractor, including Engineer, their reasonable and necessary costs, including legal fees, incurred in the defense of such claim or claims.



**SECTION IX**

***Supplementary Conditions***

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## **SECTION IX**

### ***Supplementary Conditions***

These Supplementary Conditions (SC) amend or supplement the provisions, as indicated below, of the Contract Documents. All provisions which are not so amended or supplemented remain in full force and effect.

The terms used in these Supplementary Conditions will have the meanings indicated in Section II – Terms and Definitions. Additional terms, if any, used in these Supplementary Conditions have the meanings indicated below, which are applicable to both the singular and plural thereof.

#### **SC 1.0 – SECTION VIII, ARTICLE 4.2.c**

The CONTRACTOR shall name the State of New York, New York State Department of Environmental Conservation, and the Katzman Estate (Site Owner) as additional insured and shall provide each of those entities with certificate(s) of insurance indicating the same.

#### **SC 2.0 – PERMITS**

A State Pollutant Discharge Elimination System (SPDES) equivalent permit has been obtained for treatment and discharge of surface water, groundwater, decontamination water, and other waters generated during remedial activities and is included as Attachment A to this Section. The Contract Drawings and Specifications were prepared in general conformance with this permit equivalent. However, in any case where the requirements of the permit equivalent differs or conflicts with the Contract Drawings and Specifications, the requirements of the permit equivalent shall govern. CONTRACTOR is fully responsible for compliance with this permit equivalent as well as any further permits and authorizations obtained directly by CONTRACTOR.

An Asbestos Site-Specific Variance and Amendment has been petitioned for and approved for removal, handling, and disposal of asbestos containing materials in debris piles and is included as Attachment C to this Section. The Contract Drawings and Specifications were prepared in general conformance with this Variance and Amendment. However, in any case where the requirements of the Variance and Amendment differs or conflicts with the Contract Drawings and Specifications, the requirements of the Variance and Amendment shall govern. CONTRACTOR is fully responsible for compliance with this Variance and Amendment as well as any further permits and authorizations obtained directly by CONTRACTOR.

#### **SC 3.0 – ACCESS AGREEMENTS**

An access agreement/easement is in place for limited use of the Site property owned by the Katzman Estate. An access agreement is also in place for limited use of the adjacent property to the north, owned by Warner's Auto Body, for demolition of the pole barn and associated activities which encroach on that property. Availability of Lands shall be facilitated by Department and CONTRACTOR as detailed in Article 3.1 and 3.2 of Section VIII. The access agreements and/or easements are included as Attachment B to this Section.

## **SECTION IX**

### ***Attachments***

- A – State Pollutant Discharge Elimination System Permit Equivalent**
- B – Access Agreements and Easements**
- C – Approved Asbestos Decision Amendment and Asbestos Site-Specific Variance Petition**

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**Attachment A**  
**State Pollutant Discharge Elimination System Permit Equivalent**

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# NEW YORK STATE DEPARTMENT OF ENVIRONMENTAL CONSERVATION

Division of Water, Bureau of Water Permits  
625 Broadway, Albany, New York 12233  
[www.dec.ny.gov](http://www.dec.ny.gov)

## MEMORANDUM SPDES Permit Equivalent

**TO:** Brianna Scharf, DER  
**FROM:** Ethan Sullivan, Bureau of Water Permits, DOW  
**SUBJECT:** SPDES Permit Equivalent: Katzman Recycling Site, DER  
**Site ID#** 558035  
**DRAINAGE BASIN:** Lake Champlain / Champlain-Lk. George  
**DATE:** August 20, 2024

In response to your request dated May 30, 2024, attached please find the effluent limitations and monitoring requirements for the above noted remediation discharge with the following changes:

**Permit Cover Page:** This page has been added to describe the receiving discharge basin and discharge location, show the effective and expiration date of the permit equivalent, and describe the permittee and facility name and address.

**Remedial Wastewater Discharge Limits and Monitoring:** The following pollutant parameters have been detected in the influent from Katzman Recycling Site as documented by Katzman Recycling in March 2023 and incorporated in the SPDES permit equivalent.

pH  
Settleable Solids  
1,4-dichlorobenzene  
Chlorobenzene  
Aldrin  
Beta-BHC  
Endrin  
Iron  
Manganese  
Perfluorooctanoic acid  
(PFOA)  
Perfluorooctane  
sulfonic acid (PFOS)

The discharge consists of treated water from the Katzman Recycling Site, a scrap metal recycling facility with an onsite incinerator that was in operation until 2007. The treatment system consists of a gravity settling tank, mechanical filtration via bag filtration, granulated activated carbon (GAC) filtration, and an effluent tank.

As stated in 6 NYCRR 750-1.5(a)(2) a SPDES permit is not required for “any discharge in compliance with an order issued pursuant to ECL 27-1313 to implement a department approved inactive hazardous waste remedial site program provided that such discharge complies with the substantive requirements of a SPDES permit, or any discharge under any remedial or corrective action work plan approved by the department provided that such work plan includes public notification and response to the public equivalent to that required under either ECL 27-1313 or” 6



NYCRR Part 621. This exemption applies so long as “such discharge complies with the substantive requirements of a SPDES permit.” OGC, DER, and DOW staff interpret that regulatory exemption to apply to the following programs: State Superfund, Brownfield Cleanup, and RCRA Corrective Action programs.

Thus, DER will be responsible for ensuring compliance with the attached effluent limitations and monitoring requirements, and approval of all engineering submissions. The additional conditions identifies the appropriate DER contact person who will receive all effluent results, engineering submissions, and modification requests. The Regional Water Engineer should be kept apprised of the status of this discharge and, in accordance with the attached criteria, receive a copy of the effluent results for informational purposes.

If you have any questions, please call Ethan Sullivan at 518-402-1382 or email at [Ethan.Sullivan@dec.ny.gov](mailto:Ethan.Sullivan@dec.ny.gov).

Attachment (Effluent Limitations and Monitoring Requirements)

cc: Region 5 Regional Water Engineer (via email, [Derek.Thorsland@dec.ny.gov](mailto:Derek.Thorsland@dec.ny.gov))  
BWP Section Chief, DOW (via email, [Monica.Moss@dec.ny.gov](mailto:Monica.Moss@dec.ny.gov))



Department of  
Environmental  
Conservation

# NEW YORK STATE DEPARTMENT OF ENVIRONMENTAL CONSERVATION

Division of Environmental Remediation, Region 5  
232 Golf Course Road, Warrensburg, New York, 12885-1172  
Phone: (518) 623-1200  
[www.dec.ny.gov](http://www.dec.ny.gov)

## Katzman Recycling Site Project Site Remediation

### Wastewater Discharge SPDES Permit Equivalent

DRAINAGE BASIN: **Lake Champlain / Champlain-Lk. George**

DER Site No: 558035

Effective Date: **September 1, 2024**

Expiration Date: **August 31, 2029**

Modification Date(s): **--/--/----**

#### Discharger Name and Address:

Katzman Recycling Site  
ATTN: Brianna Scharf, DER Project Manager  
24 County Route 26  
Granville, Washington County,  
New York

is authorized to discharge from the facility described below:

Katzman Recycling Site  
24 County Route 26  
Granville, Washington County,  
New York

From the following outfall(s):

| Outfall # | Outfall Description            | Location                       | Receiving Water | WIN *    | Class |
|-----------|--------------------------------|--------------------------------|-----------------|----------|-------|
| 001       | Treated Remediation Wastewater | 43° 23' 39" N<br>73° 15' 35" W | Indian River    | C-134-22 | C     |

\* Water Index Number

### EFFLUENT LIMITATIONS & MONITORING REQUIREMENTS

| OUTFALL | DISCHARGE TYPE                 | LATITUDE/<br>LONGITUDE         | RECEIVING WATER<br>and CLASS | EFFECTIVE | EXPIRING |
|---------|--------------------------------|--------------------------------|------------------------------|-----------|----------|
| 001     | Treated Remediation Wastewater | 43° 23' 39" N<br>73° 15' 35" W | Indian River, Class C        | 9/1/2024  | 9/1/2029 |

**The discharges from the treatment facility shall be limited and monitored by the operator as specified below:**

| Outfall and Parameters               | CAS No.   | Monthly Avg. Limits | Daily Max Limits | Units | Minimum Monitoring Requirements |             | FN |
|--------------------------------------|-----------|---------------------|------------------|-------|---------------------------------|-------------|----|
|                                      |           |                     |                  |       | Measurement Frequency           | Sample Type |    |
| <b>Outfall 001</b>                   |           |                     |                  |       |                                 |             |    |
| pH                                   | NA        | Monitor             | 6.5 - 8.5        | SU    | Monthly                         | Grab        | 1  |
| Total Suspended Solids               | NA        | 20                  | 40               | mg/L  | Monthly                         | Grab        | 1  |
| 1,4-dichlorobenzene                  | 106-46-7  | Monitor             | 5                | µg/L  | Monthly                         | Grab        | 1  |
| chlorobenzene                        | 108-90-7  | Monitor             | 5                | µg/L  | Monthly                         | Grab        | 1  |
| aldrin                               | 309-00-2  | Monitor             | 0.012            | µg/L  | Monthly                         | Grab        | 1  |
| beta-BHC                             | 319-85-7  | Monitor             | 0.018            | µg/L  | Monthly                         | Grab        | 1  |
| endrin                               | 72-20-8   | Monitor             | 0.018            | µg/L  | Monthly                         | Grab        | 1  |
| Iron                                 | NA        | Monitor             | 0.3              | mg/L  | Monthly                         | Grab        | 1  |
| Manganese                            | NA        | Monitor             | Monitor          | µg/L  | Monthly                         | Grab        | 1  |
| Perfluorooctanoic acid (PFOA)        | 335-67-1  | Monitor             | 21               | µg/L  | Monthly                         | Grab        | 1  |
| Perfluorooctane sulfonic acid (PFOS) | 1763-23-1 | Monitor             | 7.9              | µg/L  | Monthly                         | Grab        | 1  |

**Footnotes:**

1. The measurement frequency of parameters listed on this page shall be Monthly following a period of 12 (twelve) consecutive weekly sampling events showing no exceedances of the stated discharge limitations. If discharge limitation of any parameter listed on this page exceeds the stated limit, the measurement frequency for all parameters listed on this page shall again be weekly, until a period of four consecutive sampling events showing no exceedances at which point monthly monitoring may resume.

**Additional Conditions:**

1. Discharge is not authorized until such time as an engineering submission showing the method of treatment is approved by the Department. The discharge rate may not exceed the effective or design treatment system capacity. All monitoring data, engineering submissions and modification requests must be submitted to:

Brianna Scharf  
 Division of Environmental Remediation  
 NYSDEC, 625 Broadway, Albany, New York 12233- 7015,  
 Tel: 518-402- 5987  
 Email: [Brianna.Scharf@dec.ny.gov](mailto:Brianna.Scharf@dec.ny.gov)

With a copy sent to:

Regional Water Engineer/Manager, Region 5  
232 Golf Course Road, Warrensburg, New York, 12885-1172  
Phone: (518) 623-1200  
Email: [Derek.Thorsland@dec.ny.gov](mailto:Derek.Thorsland@dec.ny.gov)

2. Samples and measurements, to comply with the monitoring requirements specified above, must be taken from the effluent side of the final treatment unit prior to discharge to the receiving water body unless otherwise noted above.
3. Monitoring and analysis shall be conducted using sufficiently sensitive test procedures approved under 40 CFR Part 136 unless other test procedures have been specified in this permit.
4. Only site generated wastewater is authorized for treatment and discharge.
5. Authorization to discharge is valid only for the period noted above but may be renewed if appropriate. A request for renewal must be received 6 months prior to the expiration date to allow for a review of monitoring data and reassessment of monitoring requirements.
6. Both concentration (mg/l or µg/l) and mass loadings (lbs/day) must be reported to the Department for all parameters except flow and pH.
7. Any use of corrosion/scale inhibitors, biocidal-type compounds, or other water treatment chemicals used in the treatment process must be approved by the department prior to use.
8. This discharge and administration of this discharge must comply with the substantive requirements of 6NYCRR Part 750.

Site Name: Katzman Recycling Site  
DER Site ID#: 558035  
Page 4 of 4 v1.4

## MONITORING LOCATIONS



**Attachment B**  
**Access Agreements and Easements**

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## NEW YORK STATE DEPARTMENT OF ENVIRONMENTAL CONSERVATION

Division of Environmental Remediation, Remedial Bureau E  
625 Broadway, 12th Floor, Albany, NY 12233-7017  
P: (518) 402-9813 | F: (518) 402-9819  
[www.dec.ny.gov](http://www.dec.ny.gov)

December 1, 2021

Ms. Chloe (aka Claudine) Dubin  
Executrix of the Estate of Samuel H. Katzman  
1 Buckingham Drive  
Dix Hills, NY 11746-5409

Subject: Site No. 558035  
Tax Map ID No: 126.-1-26  
24 County Rd. 26, Granville, NY

Dear Ms. Dubin:

The New York State Department of Environmental Conservation (DEC) is investigating hazardous waste contamination on or near your premises. Pursuant to the Inactive Hazardous Waste Disposal Site Remedial Program (State Superfund Program), Environmental Conservation Law (ECL) Article 27 § 1309(3)-(4) and ECL Article 27 § 1313(8), DEC and its contractors have the authority to enter onto property for these purposes.

DEC, acting through its officers, employees, agents, and contractors, requires access to your real property, above specified, to conduct investigation, remediation, demolition, operation, maintenance, and monitoring. In order to complete this work, DEC will need to remove dilapidated structure(s) and remove and dispose of various debris from the property. DEC may also need to take samples of various media, including soil, sediment, groundwater, surface water, and miscellaneous debris. Sampling methods include but are not limited to, soil borings, test pits, monitoring wells and geophysical studies.

DEC is available to answer any questions you may have regarding this work at any time.

DEC will provide advance notice of scheduled work and will work to accommodate your schedule, to the extent possible.

DEC will make every effort to minimize any adverse impact of its entry on and occupancy of your property.

DEC would prefer to act in cooperation with private parties. Therefore, it is requested that you sign the attached form acknowledging and consenting to DEC's right of entry onto your property.

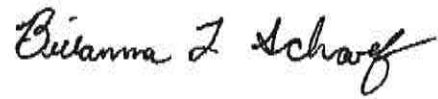
Please feel free to direct any questions you may have on this matter to me at (518) 402-5987 or at [brianna.scharf@dec.ny.gov](mailto:brianna.scharf@dec.ny.gov).





Nothing contained herein constitutes a waiver by the Department of any rights under applicable state and federal law, nor does it constitute a release of any party from obligations under those same laws.

Sincerely,

A handwritten signature in black ink that reads "Brianna Scharf". The signature is written in a cursive style with a large, stylized 'B' and a long, sweeping underline.

Brianna Scharf  
Bureau E, Section C  
Project Manager

Ec:

J. Andalaro, OGC

M. Cruden, DEC

B. Huyck, DEC R5

S. Saucier, DEC

K. Sullivan, TRC

J. Rigano, Rigano LLC

New York State Department Environmental Conservation

Property Owner Acknowledgment/Consent Form

I James Rignio, attorney for Chloe Dubin, Executrix  
of the Estate of Samuel H. Katzman hereby acknowledge and consent to the Department's  
[Print Name]

right of Entry, for purposes of investigation, remediation, demolition, operation, maintenance,  
and monitoring activities associated with the Former Katzman Recycling Site, Site No.:558035,  
onto the premises described below:

Tax Map ID No.: 126.-1-26

Address: 24 County Road 26, Granville, New York

Signature James P. Rignio

Date Jan 14, 2022

Daytime Phone Number 631 921 2988

Email j.rignio@rignio11ca.com

**Use/Disclosure of Data:** The Department may conduct sampling at or near the premises to inform its investigation/remediation of the site referenced herein. Sampling data obtained by the Department is subject to disclosure under the New York State Freedom of Information Law (Article 6 of the Public Officers Law). Please note that any identifying information related to sampling from the premises, including names, addresses, and personal emails/phone numbers, will not be disclosed by the Department.

- Return This Copy to the NYSDEC in the Postage-Paid Envelope Provided

Include the postage paid envelope for the return of one copy.

# NEW YORK STATE DEPARTMENT OF ENVIRONMENTAL CONSERVATION

Division of Environmental Remediation, Remedial Bureau E  
625 Broadway, 12th Floor, Albany, NY 12233-7017  
P: (518) 402-9543 | F: (518) 402-9722  
[www.dec.ny.gov](http://www.dec.ny.gov)

September 3, 2024  
Lynn Warner  
Warners Auto Body Shop  
24 County Route 26  
Granville, New York 12832

Subject: 24 County Route 26  
Granville, New York 12832  
Property Tax Map Id. No.: 126.-1-27

Dear Lynn:

The New York State Department of Environmental Conservation (DEC) is **remediating hazardous waste contamination that has occurred** on or near your premises.

Pursuant to the **Environmental Conservation Law (“ECL) Article 27**, DEC, acting through its officers, employees, agents, and contractors, wishes to access your real property, above specified, to conduct **demolition, removal, and off-site disposal of a dilapidated Pole Barn structure**. **Figure 1** illustrates the location of the Pole Barn structure, which straddles the property line between the Katzman Recycling Site and your property. **Figure 2** illustrates the areas that will need to be cleared for the work.

In order to complete this work, DEC may require relocation of vehicles and other materials being stored on your property in the vicinity of the Pole Barn structure to facilitate demolition. DEC may conduct air monitoring on your property, perform dust control including water misting during demolition, load trucks for off-site disposal, and may need to access the Pole Barn demolition site from your side of the property line at times.

DEC is available to answer any questions you may have regarding this work at any time.

DEC will provide advance notice of scheduled work and will work to accommodate your schedule, to the extent possible.

DEC will make every effort to minimize any adverse impact of its entry on and occupancy of your property.

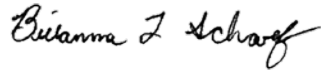
DEC would prefer to act in cooperation with private parties. Therefore, it is requested that you sign the attached form acknowledging and consenting to DEC's right of entry onto your property.



Please feel free to direct any questions you may have on this matter to me at (518) 402-5987 or [Brianna.scharf@dec.ny.gov](mailto:Brianna.scharf@dec.ny.gov).

Nothing contained herein constitutes a waiver by the Department of any rights under applicable state and federal law nor does it constitute a release of any party from obligations under those same laws.

Sincerely,

A handwritten signature in black ink that reads "Brianna I. Scharf". The signature is written in a cursive, flowing style.

Brianna Scharf  
Assistant Engineer  
Section C, Bureau E  
Division of Environmental Remediation

EC:  
K. McCarthy, NYSDEC OGC  
M. Cruden, NYSDEC  
S. Salotto, NYSDEC  
S. Lawrence, NYSDOH  
K. Sullivan, TRC

Form 1 (continued) Property Owner Acknowledgment Form

New York State Department Environmental Conservation

Property Owner Acknowledgment/Consent Form

I Jeffrey Warner hereby acknowledge and consent to the  
Print Name

Department's right of entry for purposes of conducting remedial activities, including Pole Barn structure demolition, associated with the Katzman Recycling Site, Site No. 558035, onto the premises described below:

Tax Map ID No: 126.-1-27  
Address: 24 County Route 26

Signature Jeffrey Warner

Date 9/23/2024

Daytime Phone Number 518-642-1342

**Use/Disclosure of Data:** The Department may conduct sampling at or near the premises to inform its investigation/remediation of the site referenced herein. Sampling data obtained by the Department is subject to disclosure under the New York State Freedom of Information Law (Article 6 of the Public Officers Law). Please note that any identifying information related to sampling from the premises, including names, addresses, and personal emails/phone numbers, will not be disclosed by the Department.

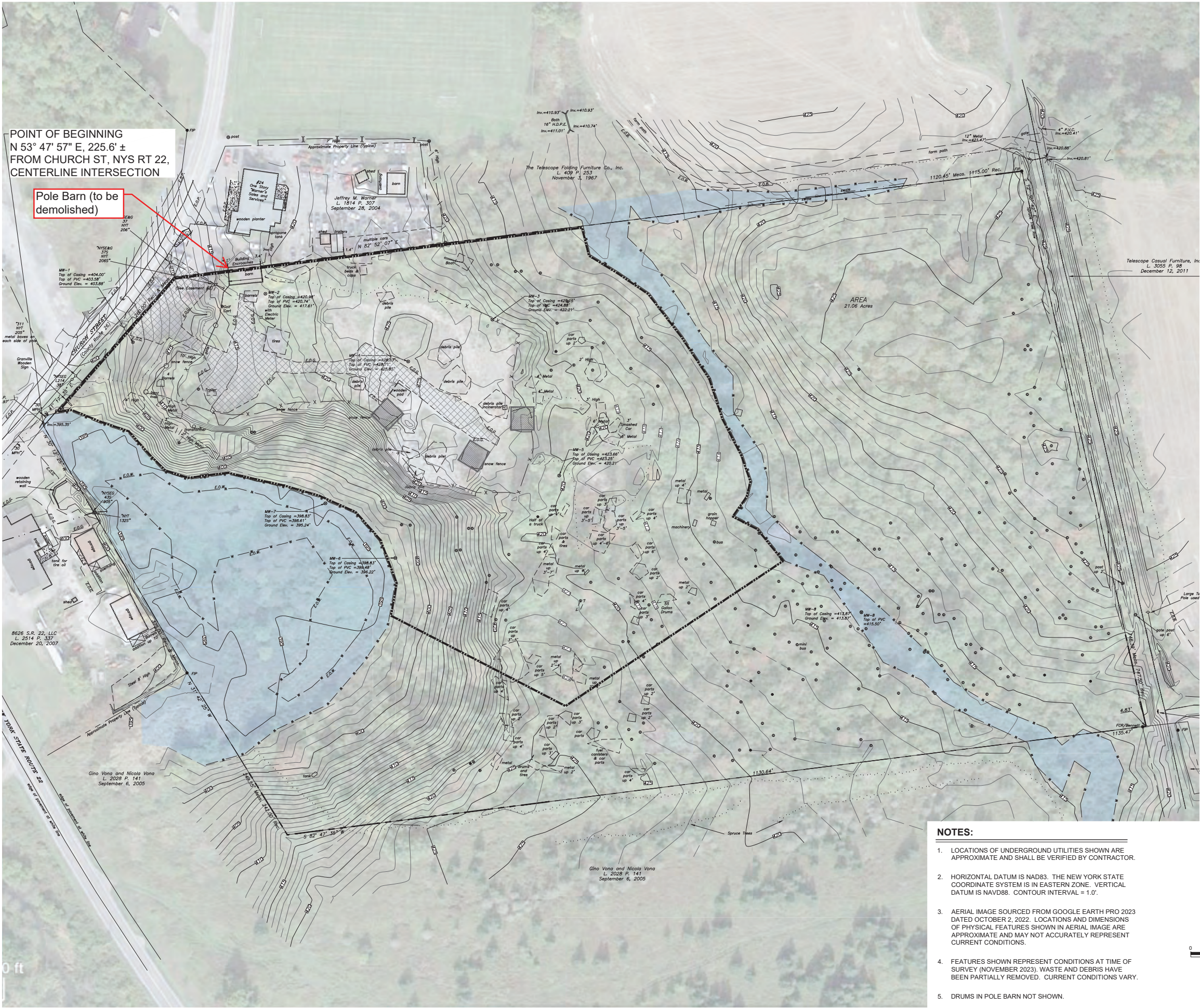
Directions: Attach two copies of this letter to the access form including one of the following notes at the bottom of each:

- **Return This Copy to the NYSDEC in the Postage-Paid Envelope Provided or scan and email**

Include the postage paid envelope for the return of one copy.



2024 - USER: h00g00 - ATTACHED XREFS: NYSDEC-6082-2404, T18-Final, 24-A-11-2023, DMC - ATTACHED XREFS: GEPH-501, 310220216-400, m00000, GEPH-501, 310220216-400  
DRAWING NAME: \\CLUTONPARK-VFP\\clutonpark\\Projects\\NYSDEC\\0009812\\Work Assignments\\0009812-16 Katzman Recycling\\Design\\100% Final Designs Drawings\\TRC WD G-100 - Existing Site Cond. - Topo Surv. (Final)\\KatzR.dwg --- PLOT DATE: July 18, 2024 - 10:07AM --- LAYOUT: G-100 (24x36)



**LEGEND (SYMBOLS NOT TO SCALE):**

- LIMITS OF SURVEYED PROPERTY BOUNDARY
- LIMITS OF WORK
- 5' CONTOUR
- 1' CONTOUR
- PAVED ROAD
- UNPAVED ROAD
- CENTERLINE OF ROAD
- BARBED WIRE FENCE
- CHAIN LINK FENCE
- WOODEN STOCKADE FENCE
- TREE LINE / EDGE OF WOODS
- UTILITY POLE WITH OVERHEAD WIRES
- UTILITY POLE ANCHOR
- CAR
- CAR PARTS
- DRUM
- MONITORING WELL
- APPROXIMATE EDGE OF DEBRIS PILE
- DELINEATED WETLAND
- SIGN
- CONCRETE
- TEMPORARY CONSTRUCTION / SNOW FENCE
- ASBESTOS CONTAINING MATERIAL / DEBRIS PILE COVERED WITH POLYETHYLENE SHEETING TO BE REMOVED
- CRUSHED STONE ROADWAY

**DEED REFERENCES:**

- SAMUEL H. KATZMAN  
LIBER 431 OF DEEDS AT PAGE 1175  
DATED JUNE 7, 1972  
RECORDED JUNE 8, 1972

**MAP REFERENCES:**

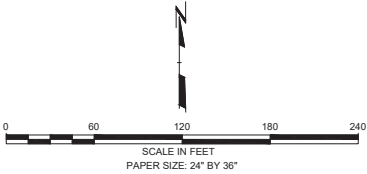
- "SUBDIVISION OF LANDS OF McDONALDS CORPORATION", BY ABB ENGINEERS AND SURVEYORS, DATED MARCH 1996 AND RECORDED JUNE 27, 1996 IN THE WASHINGTON COUNTY CLERK'S OFFICE IN MAP FILE 25A-105.
- "MAP OF SURVEY OF LANDS TO BE CONVEYED TO GINO & NICOLA VONA", BY W.J. ROURKE ASSOCIATES, DATED FEBRUARY 28, 2005 AND RECORDED JUNE 6, 2005 IN THE WASHINGTON COUNTY CLERK'S OFFICE IN MAP FILE 25B-130.

**EASEMENTS:**

- NEW YORK STATE ELECTRIC & GAS CORPORATION PER LIBER 379 OF DEEDS AT PAGE 405, RECORDED MARCH 28, 1961.
- NEW YORK STATE ELECTRIC & GAS CORPORATION PER LIBER 505 OF DEEDS AT PAGE 1090, RECORDED APRIL 29, 1985.

**NOTES:**

- LOCATIONS OF UNDERGROUND UTILITIES SHOWN ARE APPROXIMATE AND SHALL BE VERIFIED BY CONTRACTOR.
- HORIZONTAL DATUM IS NAD83. THE NEW YORK STATE COORDINATE SYSTEM IS IN EASTERN ZONE. VERTICAL DATUM IS NAVD88. CONTOUR INTERVAL = 1.0'.
- AERIAL IMAGE SOURCED FROM GOOGLE EARTH PRO 2023 DATED OCTOBER 2, 2022. LOCATIONS AND DIMENSIONS OF PHYSICAL FEATURES SHOWN IN AERIAL IMAGE ARE APPROXIMATE AND MAY NOT ACCURATELY REPRESENT CURRENT CONDITIONS.
- FEATURES SHOWN REPRESENT CONDITIONS AT TIME OF SURVEY (NOVEMBER 2023). WASTE AND DEBRIS HAVE BEEN PARTIALLY REMOVED. CURRENT CONDITIONS VARY.
- DRUMS IN POLE BARN NOT SHOWN.



1407 Broadway, Suite 3301  
New York, NY 10018  
Phone: 212.221.1822  
www.trccompanies.com  
TRC Project No. 432260.0000.05.03

PROFESSIONAL ENGINEER

DATE: \_\_\_\_\_

**Revisions:**

| No. | Date: |
|-----|-------|
|     |       |
|     |       |
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|     |       |

Drawn by:  
H. DELGADO

Checked by:  
K. BOGER, P.E.

Approved by:  
K. SULLIVAN, P.E.

KATZMAN RECYCLING SITE  
SITE NO. 58035  
TOWN OF GRANVILLE, WASHINGTON COUNTY, NEW YORK

EXISTING SITE CONDITIONS -  
TOPOGRAPHICAL SURVEY

Contract No:  
D013322

Scale:  
1" = 60'

Date:  
AUGUST 2024

Sheet:  
3 OF 20

Drawing No:

Figure 1





Area to be cleared  
for construction

Approximate area to be  
cleared for demolition

Pole Barn Structure  
(to be demolished)

Approximate Property  
Line Boundary

Figure 2  
Location of Areas to be Cleared



**Attachment C**  
**Approved Asbestos Decision Amendment and**  
**Asbestos Site-Specific Variance Petition**



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1407 Broadway, Suite 3301  
New York, NY 10018

T 212.221.7822  
TRCcompanies.com

June 11, 2024

Mr. Chek Beng Ng  
New York State Department of Labor  
Division of Safety and Health – Engineering Services Unit  
Building 12, Room 159, State Office Campus  
Albany, New York 12240

APPROVED  
With Modifications and  
The Attached Conditions

**June 13, 2024**  
New York State Dept. of Labor  
Engineering Service Unit  
*Demissie Woyecha, P.E.*

**Re: Request for Amendment of Asbestos Decision 24-0550  
Katzman Recycling Site  
24 County Route 26, Granville, NY**

Dear Mr. Ng,

On behalf of the New York State Department of Environmental Conservation (NYSDEC), TRC Engineers, Inc. (TRC) is submitting this request for an amendment of Asbestos Decision 24-0550. As requested by the New York State Department of Labor, Engineering Services Unit, an evaluation was performed by TRC to determine the feasibility of performing the removal of friable ACM debris piles in a negative pressure enclosure/containment at the Katzman Recycling Site, located in Granville, Washington County, New York. TRC has determined that based on the dimensions of the debris piles, performing the removal of friable ACM debris piles in a negative pressure enclosure/containment without installing columns that would significantly disturb friable ACM, would require the design and construction of an alternative engineered structural system to support the roof load and other forces including wind and rain which would cause a financial hardship.

In addition to the proposed procedures for abatement described in Asbestos Decision 24-0550, we propose the following additional procedures:

1. A foam or viscous liquid shall be utilized to wet the ACM. The ACM shall be kept wet through the removal and bagging process.
2. The foam or viscous liquid shall be non-toxic, shall not require special respiratory protection for handling, and shall not affect the handling and disposal of the waste.
3. The foam or viscous liquid shall be applied as needed to coat and maintain a stable blanket (minimum 1" thickness) for the duration of the removal process and shall leave an identifiable colored residue when it dissipates.

4. The work area boundary shall be extended out to 50 feet from the debris piles.
5. A community air monitoring program shall be in place during the removal process. **Air sampling shall be performed in accordance with ICR 56 and attached conditions.**

Provide real-time air monitoring for volatile organic compounds and particulate levels at the site perimeter and at the downwind edge of the exclusion zone/work area as necessary. Air monitoring shall include the following:

- a. Volatile organic compounds shall be monitored upwind (1 location, minimum) and downwind (3 locations, minimum), using temporary particulate monitoring stations. If total organic vapor levels exceed 5 ppm above the upwind concentration (background), work activities shall be halted and monitoring continued under the provisions of a Vapor Emission Response Plan. All readings shall be recorded and be available for ENGINEER, DEPARTMENT, NYSDOH, and NYSDOL (if needed) personnel to review.
- b. The Air Monitoring Program shall include real-time air monitoring and shall be conducted at the perimeter of the Site.
- c. The Air Monitoring Program for the Asbestos Containing Material Removal and Disposal shall include monitoring at the edge of the exclusion zone, which shall be delineated a minimum of 50 feet beyond the active excavation/work area.
- d. Particulates shall be continuously monitored upwind (1 location, minimum), downwind (3 locations, minimum), and at the downwind edge of the Exclusion Zone, using temporary particulate monitoring stations. If any of the downwind particulate levels is more than 2.5 times greater than the upwind particulate level, or 150 ug/m<sup>3</sup> greater than the upwind particulate level, whichever occurs first, then work shall stop and dust suppression techniques shall be reevaluated. All readings shall be recorded and be available for ENGINEER, DEPARTMENT, NYSDOH, and NYSDOL personnel to review.

It should also be noted, assuming the prevailing wind directions of southwest (summer) to northwest (winter), that there are no downwind receptors within 1,000 feet the proposed work zone. Assuming

*Request for Amendment of Asbestos Decision 24-0550*  
*Katzman Recycling Site*

*June 11, 2024*  
*Page 3 of 3*

an unusual, worst case wind direction of southeast, the nearest downwind receptor would be a commercial business located approximately 300 feet to 450 feet from the proposed work zone. Asbestos removal plan is attached.

If you have any questions or comments, please contact us at (212) 221-7822.

Sincerely,

TRC ENGINEERS, INC.



Anthony Sigona, PE, CSP, CIH, LEED AP BD+C  
Senior Project Manager  
NYSDOL Certified Asbestos  
Project Designer (CERT#24-6Z658-SHAB)

Frank Santaly  
Senior Project Manager  
NYSDOL Certified Asbestos  
Project Designer (CERT#23-6IRFF-SHAB)



## **Attachment**

### **THE CONDITIONS**

#### **Full-Time Project Monitor:**

1. A full-time independent project monitor (PM) shall be on site and is responsible for oversight of the abatement contractor during all abatement activities to ensure compliance with ICR 56 requirements and variance conditions.
2. In addition, the PM shall ensure that no visible emissions are generated during abatement activities. If visible emissions are observed, work practices shall be altered according to the PM's recommendations.
3. The PM shall perform the following functions during asbestos abatement projects in addition to functions already required by ICR-56:
  - a. Inspection of the interior of the asbestos project work area made at least twice every work shift accompanied by the Asbestos Supervisor.
  - b. Observe and monitor the activities of the asbestos abatement contractor to determine that proper work practices are used comply all applicable asbestos laws and regulations.
  - c. Inform the asbestos abatement contractor of work practices that, in the PM's opinion, pose a threat to public health or the environment, and are not in compliance with ICR-56 and/or approved variances or other applicable asbestos rules and/or regulations.
  - d. Document in the Project Monitor Log observations and recommendations made to the Asbestos Supervisor based upon the interior/exterior observations of the asbestos project made by the PM.
  - e. Duties specified in variances issued for the project.
4. The PM shall alert the local District Office of the NYSDOL Asbestos Control Bureau whenever, after the PM has provided recommendations to the Asbestos Supervisor, unresolved conditions remain at the asbestos project site which present a significant potential to adversely affect human health or the environment.
5. The PM is not onsite to direct the abatement workers in their work. That is the responsibly of the Contractor's designated Supervisor. The ultimate caliber of work performance and quality of the completed project is the responsibility of the contractor who performs the work.

6. The PM is not responsible for enforcing Local, State, Industry, or Federal regulations, rules or codes which are not directly applicable to the contracted asbestos abatement activities. These would include, but not limited to, fire codes, electrical codes, building codes, wage rates schedules, etc. While the PM is not responsible for enforcement of these items, the Contractor is still responsible for compliance with such requirements as applicable.
7. The PM is responsible for any duties specified in his/her contract with the Owner.

#### **Establishment of Regulated Areas**

8. The regulated work areas, decontamination units, airlocks, and dumpster areas shall be cordoned off at a distance of twenty-five feet (25') where possible and shall remain vacated except for certified workers until satisfactory clearance air monitoring results have been achieved or the abatement project is complete. These areas shall have Signage posted in accordance with Subpart 56-7.4(c) of this Code Rule. For areas where twenty-five feet isn't possible, the areas shall be cordoned off as practical, and a daily abatement air sample shall be taken at the barrier.
9. If the owner of an adjacent building (within 25 feet) does not allow openings to be sealed as required, the asbestos abatement contractor's supervisor must document the issue within the daily project log and will have the affected building owner sign the log confirming that the owner will not allow the asbestos abatement contractor to seal the openings in the building as required. In addition, a daily abatement air sample shall be included within ten feet of the affected portion of the adjacent building.
10. Entry/Exit of all persons and equipment shall be through one designated and secure "doorway" in the barrier or fence, which shall provide an adequate and appropriate means of egress from the work site.
11. Signage in accordance with the requirements of ICR 56-7.4(c) shall be posted on the exterior of the work site boundary fence/barrier, to warn the public of the asbestos hazard.

#### **Exterior Cleanup and Removals**

12. Background air sampling is not required for these types of removals.
13. Uncertified personnel shall not be allowed to access any regulated abatement work area, with the exception of waste hauler truck drivers. These truck drivers will be restricted to their enclosed cab, while temporarily in the regulated work area for waste transfer activities only. All equipment

operators utilized for demolition or removal activities within the regulated work area must be certified in compliance with ICR 56-3.2.

14. No dry disturbance or removal of asbestos material shall be permitted.
15. Wastewater/viscous foam shall be confined within the regulated abatement work area. All wastewater/viscous foam shall be collected by means of trenching or ditches, properly filtered and directed into a holding tank. Disposal of such wastewater/viscous foam shall be in accordance with applicable laws and regulations. After wastewater/viscous foam has dissipated, the earth surface below the trenches and holding tank shall be scraped and any residual asbestos contamination removed and disposed of as asbestos contaminated waste.
16. All decontamination areas shall be within the regulated abatement work area. An equipment decontamination area shall be cordoned off within the worksite for cleaning of heavy equipment, i.e., backhoes, excavators, loaders, etc. The ground surface in this decontamination area shall be banked on the sides to confine the contaminated wastewater.
17. A remote personal decontamination enclosure system that otherwise complies with ICR 56-7.5(d) shall be utilized. A remote waste decontamination enclosure system that otherwise complies with ICR 56-7.5(f) shall be utilized. These enclosures shall be located as close as possible to the regulated work area and shall be removed only after satisfactory clearance air monitoring results have been achieved for the regulated abatement work area.
18. The walkway from the regulated abatement work area to the decontamination system shall have a cleared pathway. This walkway will be delineated and separated from non-certified personnel access and signage installed as per section 56-7.4(c), to delineate it from the public.
19. Critical Barriers shall be required to the building being abated or to any vicinity structures within 25 foot of the immediate removal area and upon cleaning area openings and penetrations of the existing structure shall be installed in conformance to Subpart 56-7.11(a). All openings (critical barriers) shall be covered with two (2) layers of (6) six-mil fire retardant polyethylene.
20. Piles of waste not actively being worked on, i.e., piles being added to, or portions being removed or piles left over extended periods of time, shall be covered with at least one layer of six (6) mil polyethylene to retain its moisture level and to prevent fiber release.



21. All debris, structural members, barrier components, used filters and similar items shall be considered to be asbestos containing materials/asbestos contaminated waste and treated accordingly.
22. Non-porous cleanable objects/materials, non-ACM material (concrete, structural steel members, metal components and similar non-suspect materials) may be fully decontaminated for disposal by appropriate legal methods. Prior to disposal, the Project Monitor shall verify that the material has been properly cleaned/decontaminated.
23. After abatement of the asbestos, all plastic sheeting and tape will be treated as contaminated material and properly disposed of as asbestos waste at the end of the project.

**Perimeter Air Sampling:**

24. In addition to the requirement of Subpart 56-4.9(c), air monitoring shall be conducted daily at the perimeter of the work area.
25. A minimum of two upwind air samples shall be collected. The samples shall be spaced approximately 30 degrees apart from the prevailing wind direction.
26. A minimum of three downwind samples shall be collected. The samples shall be equally spaced in a 180-degree arc downwind from the source.
27. If more than one shift daily is required to accomplish the work, air monitoring within the work area during abatement shall be performed on each shift.

**Soil/Earth/Dirt Cleanup:**

28. After demolition debris has been removed, the site shall be inspected. Any required cleanup shall include, all visible asbestos or suspect asbestos debris. Soil removal shall meet ASTM 1368 (latest edition), Section 9.1.1-9.1.5 inspection criteria.
29. No pieces of ACM shall be present on top of the soil.
30. Visibly contaminated soil or soil suspected of being contaminated shall be removed down to the level where no visible contamination is observed.
31. The Project Monitor shall write in the project log that the area has been cleaned and has passed a visual inspection.

**Preparation of Waste Transport Equipment:**

32. Trailers, or other equipment, used to haul bulk demolition materials offsite do not need to be doubled lined as required by ICR 56-11.5 (c) (11).
33. Demolition debris shall be adequately wet during handling and loading into trailers or other equipment.
34. Debris shall be secured to prevent movement during transport.
35. Such trailers must be made air, dust and watertight prior to leaving the site.

STATE OF NEW YORK  
DEPARTMENT OF LABOR  
STATE OFFICE BUILDING CAMPUS  
ALBANY, NEW YORK 12226-0100

Variance Petition

of

TRC Engineers, Inc.  
Petitioner's Agent on Behalf of

New York State Department of Environmental Conservation  
Petitioner

in re

Premises: Former Katzman Recycling Site  
24 County Road 26  
Granville, NY 12832

**Exterior Friable ACM Debris Pile Cleanup and Removal**

File No. 24-0550

DECISION

Case 1

ICR 56

The Petitioner, pursuant to Section 30 of the Labor Law, having filed Petition No. 24-0550 on May 8, 2024 with the Commissioner of Labor for a variance from the provisions of Industrial Code Rule 56 as hereinafter cited on the grounds that there are practical difficulties or unnecessary hardship in carrying out the provisions of said Rule; and the Commissioner of Labor having reviewed the submission of the petitioner dated May 3, 2024; and

Upon considering the merits of the alleged practical difficulties or unnecessary hardship and upon the record herein, the Commissioner of Labor does hereby take the following actions:

Case No. 1

ICR 56-7.11 – **Denied**

**VARIANCE GRANTED.** The Petitioner's proposal for exterior friable ACM debris pile cleanup and removal at the subject premises in accordance with the attached 5-page stamped copy of the Petitioner's submittal, is accepted; subject to the Conditions noted below:

## THE CONDITIONS

1. As written with modification as noted.

### **Full-Time Project Monitor:**

2. A full-time independent project monitor (PM) shall be on site and is responsible for oversight of the abatement contractor during all abatement activities to ensure compliance with ICR 56 requirements including but not limited to ICR 56-3.2(d)(8) and variance conditions.
3. In addition, the PM shall ensure that no visible emissions are generated during abatement activities. If visible emissions are observed, work practices shall be altered according to the PM's recommendations.
4. The PM shall perform the following functions during asbestos abatement projects in addition to functions already required by ICR-56:
  - a. Inspection of the interior of the asbestos project work area made at least twice every work shift accompanied by the Asbestos Supervisor.
  - b. Observe and monitor the activities of the asbestos abatement contractor to determine that proper work practices are used comply all applicable asbestos laws and regulations.
  - c. Inform the asbestos abatement contractor of work practices that, in the PM's opinion, pose a threat to public health or the environment, and are not in compliance with ICR-56 and/or approved variances or other applicable asbestos rules and/or regulations.
  - d. Document in the Project Monitor Log observations and recommendations made to the Asbestos Supervisor based upon the interior/exterior observations of the asbestos project made by the PM.
  - e. Duties specified in variances issued for the project.
5. The PM shall alert the local District Office of the NYSDOL Asbestos Control Bureau whenever, after the PM has provided recommendations to the Asbestos Supervisor, unresolved conditions remain at the asbestos project site which present a significant potential to adversely affect human health or the environment.
6. The PM is not onsite to direct the abatement workers in their work. That is the responsibly of the Contractor's designated Supervisor. The ultimate caliber of work performance and quality of the completed project is the responsibility of the contractor who performs the work.

7. The PM is not responsible for enforcing Local, State, Industry, or Federal regulations, rules or codes which are not directly applicable to the contracted asbestos abatement activities. These would include, but not limited to, fire codes, electrical codes, building codes, wage rates schedules, etc. While the PM is not responsible for enforcement of these items, the Contractor is still responsible for compliance with such requirements as applicable.
8. The PM is responsible for any duties specified in his/her contract with the Owner.
9. Usage of this variance is limited to those asbestos removals identified in this variance or as outlined in the Petitioner's proposal.

In addition to the conditions required by the above specific variances, the Petitioner shall also comply with the following general conditions:

#### **GENERAL CONDITIONS**

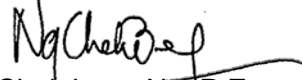
1. A copy of this DECISION and the Petitioner's proposals shall be conspicuously displayed at the entrance to the personal decontamination enclosure.
2. This DECISION shall apply only to the removal of asbestos-containing materials from the aforementioned areas of the subject premises.
3. The Petitioner shall comply with all other applicable provisions of Industrial Code Rule 56-1 through 56-12.
4. The NYS Department of Labor Engineering Service Unit retains full authority to interpret this variance for compliance herewith and for compliance with Labor Law Article 30. Any deviation to the conditions leading to this variance shall render this variance Null and Void pursuant to 12NYCRR 56-12.2. Any questions regarding the conditions supporting the need for this variance and/or regarding compliance hereto must be directed to the Engineering Services Unit for clarification.

5. This DECISION shall terminate on **May 31, 2025**.

Date: May 9, 2024,

By

ROBERTA REARDON  
COMMISSIONER OF LABOR

A handwritten signature in black ink, appearing to read 'Ng Chek Beng', with a long horizontal flourish extending to the right.

Chek beng Ng, P.E.  
Professional Engineer 2 (Industrial)

PREPARED BY: Demissie Woyecha, P.E.  
Professional Engineer 1 (Industrial)

REVIEWED BY: Chek beng Ng, P.E.  
Professional Engineer 2 (Industrial)



## Petition for an Asbestos Variance

To apply for an asbestos variance, the Project Designer must:

- Complete all of the information on pages one and two of this asbestos variance request. Please type or print.
- Sign and date page two of the certification and all of the attachments.
- Send two copies of the petition and all attachments, with your \$350 fee, to the address at the top of this page.
  - Make your check or money order payable to the Commissioner of Labor.
- Optional: To speed up the process you may include a self-addressed, stamped, express-mail envelope.

1 a. Is this petition related to a safety or health emergency? ☐ Yes ☒ No

b. If yes, explain: \_\_\_\_\_

2 a. Name of Petitioner (Property Owner): New York State Department of Environmental Conservation

b. Street Address: 625 Broadway

c. City: Albany

d. State: NY

e. Zip: 12233

f. Telephone Number: ( 518 ) 402 - 5987

g. Fax Number: ( N/A )

- Brianna.scharf@dec.ny.gov

h. Petitioner's Federal Employee Identification Number (FEIN) \_\_\_\_\_

3 a. Petitioner's Agent (Asbestos Contractor) Firm Name: TRC Engineers, Inc.

b. Street Address: 1407 Broadway Suite 3301

c. City: New York

d. State: NY

e. Zip: 10018

f. Telephone Number: ( 212 ) 221 - 7822

g. Fax Number: ( 212 ) 221 - 7840

4 a. Asbestos Contractor License No. 28848

b. Name of Firm: TRC Engineers, Inc.

### 5. Building Description:

a. Affecting premises known as: Former Katzman Recycling Site

b. These premises are situated on the ☐ North, ☐ South, ☒ East, ☐ West side of \_\_\_\_\_ Street, \_\_\_\_\_ Ave, ☒ Road.

c. County of Washington

d. Street Address: 24 County Road 26

e. City: Granville

f. State: NY

g. Zip: 12832

h. Is building occupied? ☐ Yes ☒ No

i. Current function of building: Former recycling facility

j. Approximate area (square feet) of building: not a building k. Number of stories or height in feet: 0

l. What is within 25 feet of all four sides (North, South, East, West) of building? i.e. sidewalk, alley, land, another building, etc.: North - land, South - land, East - land, West - land.

### 6. Order To Comply or Notice of Violation. Attach copy.

a. Issued to: ☐ Owner ☒ Asbestos Contractor ☐ Operator ☐ Other

b. Name on Order or Notice: \_\_\_\_\_

c. Date issued:       /      /      

d. List the Industrial Code Rule (ICR) citations given on the Order to Comply or Notice of Violation: \_\_\_\_\_

### 7. If a variance has been granted previously for work closely resembling this project list:

a. Variance number: \_\_\_\_\_ b. Date variance granted:       /      /

Note: Add a separate typed or printed page for each work area and work procedure. Sign and date each page. **24-0550**

**8. Work Area Description Table:** Attach additional tables and scale drawings of work area and pictures, as needed.

| Work Area Designation | Exterior or Interior | Work/Room Area Dimensions | Type of Asbestos Containing Material (ACM) | Quantity of ACM | Condition of ACM (level of damage) | Friability of ACM (non-friable or friable) | Type of Containment (full, 2-layer tent, single layer tent, open-air, etc.) |
|-----------------------|----------------------|---------------------------|--|-----------------|------------------------------------|--|---|
| See attached          |                      |                           |  |                 |                                    |  |   |
|                       |                      |                           |  |                 |                                    |  |   |
|                       |                      |                           |  |                 |                                    |  |   |
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|                       |                      |                           |  |                 |                                    |  |   |
|                       |                      |                           |  |                 |                                    |  |   |
|                       |                      |                           |  |                 |                                    |  |   |

**9. ICR 56 Relief Sought:** List the individual sections of ICR 56 for which relief is sought, for each work area or method used. Provide sufficient detail in an attachment. See attached

**10. Hardship Description:** What is the hardship, (e.g. Limited room for decons, exhaust ducts must be longer than 25 feet, all surfaces are contaminated and cannot be plasticized) for each work area or method used? Provide sufficient detail in an attachment. Include condemnation letter or EPA Approval letter if applicable. See attached

See attached

**11. Proposed Abatement Method Description for each work area or method used:** Include scale drawings and pictures as necessary. Lack of sufficient detail will delay issuance of variance decision.

- a. Will proposed abatement methods render non-friable ACM material friable? ☐ Yes ☐ No
- b. What proposed abatement method, increased engineering controls and detailed procedures will be used to compensate for the relief being sought? (i.e. Increased negative air rate, negative pressure glovebag, negative pressure glovebox, high temperature glovebag, intact component removal, etc.) Include sufficiently detailed procedures to complete the proposed work. \_\_\_\_\_

See attached

## Project Designer Certification


I request that the Commissioner of Labor issue a variance from the requirements of Industrial Code Rule (ICR) 56. This request is based on the information in this application and the attached documents.

**I certify that the information contained in this petition is true and accurate.**

I understand that if a variance is granted it may be withdrawn by the Commissioner if:

- Any of the information provided in this petition is found to be inaccurate
- There are violations of Article 30 of the New York State Labor Law or New York State regulations

I give the Commissioner of Labor permission to provide all of my companies records for Unemployment Insurance (UI) reports and contributions to employees of the New York State Department of Labor. This includes information about withholding, wage reporting, UI returns, UI registration, new hires, and all records of UI delinquencies. This information may only be used for government purposes regarding the licensing and certification of this company as required by Article 30 of the New York State Labor Law and the regulations of the New York State Department of Labor, and for monitoring the company's compliance with Article 30 and ICR 56.

- 12 a. Project designer name (print): Frank Santaly b. E-mail: fsantaly@trccompanies.com
- c. Project Design Asbestos Contractor firm name: TRC Engineers, Inc.
- d. Street: 1407 Broadway Suite 3301
- e. City: New York f. State: NY g. Zip: 10018 h. Phone: (631 ) 897 - 9728
- i. Designer certificate number: 90-05044 j. Expiration Date: 12 / 31 / 24
- k. Design Firm Asbestos Contractor License Number 28848 l. Expiration Date: 01 / 31 / 25
- 13 a. Project designer signature:  b. Date: 05 / 03 / 24





1430 Broadway, 10<sup>th</sup> Floor  
New York, NY 10018

T 212.221.7822  
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May 3, 2024

Mr. Mark Wykes  
New York State Department of Labor  
Division of Safety and Health – Engineering Services Unit  
Building 12, Room 159, State Office Campus  
Albany, New York 12240

**Re: Petition for Site Specific Asbestos Variance  
Katzman Recycling Site  
24 County Route 26, Granville, NY**

Dear Mr. Wykes,

On behalf of New York State Department of Environmental Conservation (NYSDEC), TRC Engineers, Inc. (TRC) is requesting a site-specific asbestos variance for the removal of asbestos containing materials in debris piles at the former Recycling Site located at 24 County Route 26, Granville, NY. The asbestos removal work is being performed under the supervision of NYSDEC as part of the overall Site Remedial Action. The Katzman Recycling Site is Site No. 558035 within the New York State Superfund program. The debris piles are comprised of incinerator waste, waste auto parts, waste white goods, transformer carcasses, capacitors, miscellaneous debris and other electrical equipment. The areas surrounding the debris piles are undeveloped (See photo of debris pile below).

**Work Area Description Table:**

| Work Area Designation | Exterior or Interior | Work/Room Area Dimensions | Type of Asbestos Containing Material (ACM) | Quantity of ACM | Condition of ACM (level of damage) | Friability of ACM | Type of Containment (full, 2-layer tent, single layer tent, open air, etc.) |
|-----------------------|----------------------|---------------------------|--|-----------------|------------------------------------|-------------------|---|
| West debris pile      | Exterior             | 30'x30'                   | Various debris                             | 900 SF          | Significantly damaged              | Friable           | Open air following ICR 56-11.5  |
| South debris pile     | Exterior             | 30'x30'                   | Various debris                             | 900 SF          | Significantly damaged              | Friable           | Open air following ICR 56-11.5  |
| East debris pile      | Exterior             | 30'x30'                   | Various debris                             | 900 SF          | Significantly damaged              | Friable           | Open air following ICR 56-11.5  |

**Relief Sought from ICR 56 Section: 7.11** Denied. The removal of friable ACM debris pile removal shall be done in a negative pressure enclosure/containment.

**Hardship Description:**

Regulated abatement work area enclosure cannot be performed without disturbing ACM containing debris piles.

**Proposed Procedures for Abatement:**

1. Abatement shall be performed utilizing ICR 56 Section 11.5 Controlled Demolition with Asbestos in place procedures.
2. A full-time independent project monitor (PM) shall be on site and will be responsible for oversight of the abatement contractor during all abatement activities to ensure compliance with ICR 56 requirements. In addition, the PM shall ensure that no visible emissions are generated during abatement activities. If visible emissions are observed, work practices shall be altered according to the PM's recommendations.
3. A community air monitoring plan (CAMP) will be prepared for the work, and real time monitoring will be performed during all ground intrusive activities, in accordance with the New York State Department of Health (NYSDOH) generic CAMP. The CAMP monitoring will include a minimum of one upwind and three downwind air monitoring stations and will include monitoring for dust/particulate and organic vapors.

If you have any questions or comments, please contact us at (212) 221-7822.

Sincerely,

**TRC ENGINEERS, INC.**



Frank Santaly  
Senior Project Manager  
NYSDOL Certified Asbestos Project Designer (CERT#90-05044)

*Petition for Site Specific Asbestos Variance*  
*Katzman Recycling Site*

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