

Note: This RFP has the following addendums:

[Addendum 1 issued on 4/22/15 \(link\)](#)

[Addendum 2 issued on 4/28/15 \(link\)](#)



SUNY DOWNSTATE MEDICAL CENTER

Request for Proposal RFP 15-13

ICD-10 Implementation:

Testing and Implementation Assistance

Responses Due: **Updated to 5/5/2015 @4pm**
5-1-15 / 4:00PM EDT

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SUMMARY INFORMATION FORM**THIS PAGE MUST BE SIGNED AND RETURNED WITH BIDDER'S RESPONSE**

RFP #: 15-13	RFP Title: <i>ICD-10 Implementation: Testing and Implementation Assistance</i>	RFP Release Date: April 10, 2015 Electronic copies of this RFP are available at: http://www.downstate.edu/procurement/vendors.html
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Key Events	
Questions/Requests for clarification due	4-17-15
Response to questions/requests for clarifications issued	4-21-15
Pre-Bid Conference (if applicable)	N/A
Site Visit (if applicable)	N/A
Notice of Intent to Bid Due (if applicable) <i>OPTIONAL BUT PREFERRED. PLEASE SUBMIT "BID/PROPOSAL VENDOR INITIAL RESPONSE FORM—ATTACHED TO THIS RFP.</i>	4-21-15
Proposal Due Date and Time	5-1-15 / 4:00PM EDT
Presentation, Demonstration, Interview (if applicable)	Week of 5-4-15
Anticipated Notification of Award	5-8-15
Anticipated Contract Start Date	5-11-15
Anticipated Term Length of Contract	7 months
<i>SUNY reserves the right, in its sole discretion, to modify the above schedule. Bidders will be notified via email of any changes in a timely manner</i>	

Contact Information		
Primary Contact: Lisandra Reid Contracts Officer Lisandra.Reid@downstate.edu	Secondary Contact: Maureen Crystal Director of Contracts Maureen.crystal@downstate.edu	Other Contact: Kenneth Lee Purchasing Agent Kenneth.Lee@downstate.edu

Restricted Period
In accordance with the requirements of New York State Finance Law Sections 139j and 139k ("Lobbying Law"), the restricted period for this procurement is now in effect. Therefore, all communications regarding this procurement must be handled through

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period for this procurement is now in effect. Therefore, all communications regarding this procurement must be handled through the State University of New York's designated contacts only.

Bidder Information

RFP: 15-13 ICD-10 IMPLEMENTATION TESTING AND IMPLEMENTATION ASSISTANCE

Legal Business Name of Company Bidding:		Bidder's Federal Tax Identification Number:
D/B/A – Doing Business As (if applicable):		NYS Vendor ID Number (See Exhibit B, Section 16):
Street Address:	City/State:	Zip Code:
Telephone Number	Website	Publicly Traded or Privately Held?
Parent Company (if applicable):	Address of Parent Company:	Telephone Number of Parent Company:
<p>If applicable, place an "x" in the appropriate box: <i>(check all that apply)</i></p> <p> <input type="checkbox"/> Small Business (if checked, provide # of employees ____) <input type="checkbox"/> Minority Owned Business (NYS Certified) <input type="checkbox"/> Disabled Veteran Owned Business <input type="checkbox"/> Women Owned Business (NYS Certified) </p>		
<p>Pending Litigations (Please provide information on any outstanding lawsuits or judgments within the last five (5) years. Please indicate any cases that you cannot respond to as they were settled with a non-disclosure clause.</p>		
<p>If you are not bidding, place an "x" in the box and return this page only. <input type="checkbox"/> We are unable to bid at this time because:</p>		
Bidders Signature:		Title:
Printed Name:		Date:

THIS FORM MUST BE SIGNED AND RETURNED WITH BIDDER'S RESPONSE

Section 1: OVERVIEW

Formally known as The State University of New York Health Science Center at Brooklyn—but better known to our patients and Brooklyn neighbors as SUNY Downstate Medical Center (SUNY-DMC)—we are older than the Brooklyn Bridge, tracing our roots back to 1860, when a school of medicine was founded at the Long Island College Hospital. Today, SUNY Downstate is one of the nation’s leading urban medical centers. SUNY Downstate is comprised of a College of Medicine, College of Health Related Professions, College of Nursing, School of Graduate Studies, School of Public Health, and University Hospital of Brooklyn.

As the only academic medical center in Brooklyn, we serve a large population—over 2.3 million people—and one that is among the most diverse in the world. We are also an engine of opportunity for students interested in pursuing careers in health care. Many of our students were the first in their families to attend college.

More physicians who practice medicine in New York City received their training at our College of Medicine than any other medical center in the country. Nationally, our medical school ranks seventh in the number of graduates who are now engaged in academic medicine. Here in Brooklyn, our impact is even greater. We have trained nearly half of all doctors practicing in a number of specialty areas. University Hospital of Brooklyn is the borough’s only hospital located at an academic medical center. As such, it offers the most advanced and comprehensive care in Brooklyn. Many of its physicians are regularly rated among the best in New York City. Some are known throughout the world.

The purpose of the instant project is to complete a successful transition from ICD-9 to ICD-10 prior to October 1st, 2015, with a Go-Live date of October 1, 2015. SUNY Downstate Medical Center presently seeks a consulting team to assist with this institution-wide transition. SUNY Downstate Medical Center also requires a consulting team to provide auditing and evaluation from October 1st, 2015 through November 30, 2015. The information technology environment at SUNY Downstate is an amalgamation of systems with its core being the Allscripts’ Sunrise Clinical Manager inpatient EMR.

Section 2: PROJECT SPECIFICATIONS

Scope of Services

The project goals contemplated in the RFP will be met in two phases. The different phases contemplate the transition of different systems. The phases may overlap or run concurrently. The phases are as follows:

Phase I

1. Vendor to provide adequate and competent professional staff to assess the current systems in regards to their ICD-10 readiness and to provide a detailed remediation plan to bring the current systems to ICD-10 readiness. The assessment must be completed within a reasonable time frame that allows for completion of the remediation plan before September 30, 2015.
2. Vendor's remediation plan must include, but not be limited to, guidance on all the following:
 - a. A scope of work detailing all work effort
 - b. A project plan
 - c. A communication plan
 - d. Program design, including:
 - i. User education
 - ii. System design specifications
 - iii. Preliminary user training plans
 - iv. Preliminary testing plan(s)
 - v. Preliminary conversion and installation
 - e. Development
 - i. Final system builds, including integration
 - ii. User policy and procedure manuals
 - iii. System documentation
 - iv. Final training plans
 - v. Final conversion and testing plans
 - vi. Project Plan Revision
 - f. Testing
 - i. Final Testing Plan
 - ii. Conversion & Testing
 - iii. Break/Fix/Re-test Period
 - iv. User Acceptance
 - g. Acceptance
 - i. Production system and data review
 - ii. Operable system
 - iii. Installation plan
 - h. Installation and Parallel
 - i. Operational system
 - ii. Maintenance plan
 - i. Post-Implementation review

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- i. Business evaluation
- ii. Technical evaluation
- j. Maintenance plans
 - i. Revise systems as required

Phase II, Segment 1 – Execution of Remediation Plan, part I

1. Vendor to define and oversee the testing protocols, processes and management processes for the following systems:

Segment 1: Ancillary Systems
Cerner - Laboratory
Cerner CoPath
FUJI RIS/PACs
GE Centricity
GE MUSE
Natus - Epilepsy

1. 3M Coding solutions, the Siemens' Eagle patient access and billing functions and Relay Health, SUNY Downstate's claims clearinghouse. The testing should include a readiness evaluation as well as data flow mapping between internal systems. For Relay Health, the testing should include the exchange of claim data to external trading partners to insure compliance. First Health should be the initial payor tested. Vendor to oversee the development of clinical documentation and coding data within said clinical systems; help create HL7 messages for the DMC Interface Engine (Cerner Open Engine); work with DMC's Integration team to transform the clinical systems documentation and coding information into acceptably formatted records in order to insure acceptance by the DMC Master EMR (HealthBridge), and the 3M System.
2. Vendor to ensure ICD-10 compliance by the impacted systems.
3. Vendor to identify risks and impact on stakeholders and manager from an IT perspective with regard to their operational and transitional activities.
4. Vendor to define potential risk remediation measures wherever possible.
5. Project personnel to interact with and visit all involved departments.
6. Vendor to provide a post-live review and audit of compliance, for all of the above, through November 30, 2015.

Phase II, Segment 2 – Execution of Remediation Plan, part II

1. Vendor to define and oversee the testing protocols, processes and management processes for the following systems:

Segment 2: EMR Systems
AllScripts - EMR
AllScripts - Pharmacy
OBTracevue
T-Systems ED EMR

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2. Vendor to Define and oversee the testing protocols, processes and management for the software upgrades (where necessary) of the other clinical systems to an ICD-10 compliant version. See Appendix 1 for vendor products where the release versions are compliant currently versus where they need to be upgraded to a compliant release. Note: All systems on the Exhibit need to produce ICD-10 level documentation and/or coding.
3. Vendor to Work with SUNY-DMC HealthBridge Team to support the capture of all feeder Clinical systems documentation and coding information in the HealthBridge system and the 3-M system.
4. Vendor to ensure ICD-10 compliance through all downstream systems.
5. Vendor to identify risks and impact on stakeholders and manage from an IT perspective, with regard to their operational and transitional activities.
6. Vendor to provide a post-live review and audit of compliance, for all of the above, through November 30, 2015.
7. The expected deliverables include:
 - a. A detailed statement of work that includes:
 - i. Definition of requirements, test protocols and remediation for each of the named systems
 - ii. Definition of a project plan and resource requirements with timelines to support the required testing (must be completed by 9/1/2015).
 - b. Status reporting as per Downstate Medical Center IT standards.
 - c. Documentation of the changes made to each system in a form and format acceptable to Downstate Medical Center IT department.
 - d. A tool for the review and evaluation of compliance management and issue reporting following Go-Live.

Phase II, Segment 3 – Execution of Remediation Plan, part 3

1. Vendor to define and oversee the testing protocols, processes and management processes for the following systems:

Segment 3: Revenue Cycle Systems
Connexin - Office Practicum
Electra-Mosaiq Impac
ePremis/Relay Health
Olympus EndoWorks
ORSOS - OR Scheduling/Charge Capture
Siemens Accupac
3M Health Information Management Coding
Siemens Eagle 2000

2. The testing should include a readiness evaluation as well as data flow mapping between internal systems. For Relay Health, the testing should include the exchange of claim data to external trading partners to insure compliance. First Health should be the initial payor tested.
3. Vendor to ensure ICD-10 compliance through all downstream systems.
4. Vendor to identify risks and impact on stakeholders and manage from an IT perspective, with regard to their operational and transitional activities.

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5. Vendor to provide a post-live review and audit of compliance, for all of the above, through November 30, 2015.
6. The expected deliverables include:
 - i. A detailed statement of work that includes:
 1. Definition of requirements, test protocols and remediation for each of the named systems
 2. Definition of a project plan and resource requirements with timelines to support the required testing (must be completed by 9/1/2015).
 - ii. Status reporting as per Downstate Medical Center IT standards.
 - iii. Documentation of the changes made to each system in a form and format acceptable to Downstate Medical Center IT department.
 - iv. A tool for the review and evaluation of compliance management and issue reporting following Go-Live.

A. Technical Specifications

SUNY Downstate Medical Center’s IT landscape and ICD-10 Readiness Schedule is annexed to this RFP as Appendix 1. Proposals for every Phase and segment must conform to the technical specifications set forth in below sections.

a. Mandatory Technical Specifications Tables

1. Vendor Performance and Qualifications

Specification	Is Vendor Able to Comply?
Vendor demonstrates a referenceable record of successfully completely at least two similar complex ICD-10 remediation projects which include the integration testing of software from a variety of vendors.	
Each proposed vendor consultant candidate (i.e. leadership and individual consultants) must have several documented significant roles and referenceable experience with at least two ICD-10 planning, remediation, testing (intra-systems and with payors), auditing and/or ICD-10 Go-Live support.	
Vendor, as a corporate entity, has a minimum of ten (10) years of successful healthcare information technology consulting in mixed clinical, revenue cycle and financial system environments.	
All project personnel will be able to report physically to SUNY-DMC’s main campus in at 450 Clarkson Avenue, Brooklyn, NY, Monday through Thursday and as needed on Fridays at the discretion of the SUNY-DMC Chief Information Officer. Arrival on Monday must be no later than 10am and departure on Thursday no earlier than 4pm.	

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Vendor is capable of adhering to SUNY-DMC's IT travel policy, which is attached to this RFP as Exhibit D.	
Vendor is capable of providing weekly written status reports that conform to SUNY-DMC IT Department's requested format.	
Vendor is required to present all work products using Microsoft Office tools. Bidding vendors shall be prepared to present their project management tools for evaluation by SUNY DMC IT personnel.	

2. Team Composition

This RFP does not prescribe the number of full time employees (FTE's) required for the project. The stated minimal experiences can be shared with multiple team members – in fact that is preferred. Each vendor's proposal should detail the number of FTE's, each team member's referenceable skill and experience levels, an estimated timeline for project completion, and estimated work hours by team member. This detail is required for each Phase a vendor chooses to bid upon. All references for the team members must be submitted with their detailed resumes. All finalists will be subject to stringent Background checks, Drug tests, Reference checks conducted by DMC IT, Compliance checks including review against the CMS restricted list and successful completion of HIPAA testing. Such tests may be repeated at periodic intervals. Additional Note: Vendor personnel are expected to bill no more than eight hours per day, Monday through Friday. Additional hours or weekend hours may only be performed and billed if such personnel have received advance written approval by SUNY-DMC.

Specification	Is Vendor Able to Comply?
Vendor's team must include a project manager with 15+ years' experience in Healthcare IT on the Provider side. Such experience must include payer-side experience and record of managing at least two reference-able ICD-10 projects. Said project manager must also have experience managing multiple projects and interfacing with Client IT and User teams in a complex hospital environment. Said project manager must also demonstrate significant knowledge of those clinical applications referenced in Attachment 1, as well as, In-Patient and Out-Patient EMRs, Medical Records (HIM) and Billing/Claims management systems.	
Vendor's team must include one practitioner level member with significant experience with intra and inter systems testing between Healthcare Providers (Hospital and Physician) and payer systems.	
Vendor's team must include one member with significant Inpatient and Outpatient EMR experience (either Allscripts' Sunrise Clinical Manager, Epic or Cerner). Such experience may include building embedded coding in clinical documentation that could be diagnosis	

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or selected Care Plan driven. This team member must also possess strong knowledge of physician documentation in Medicine and related sub specialties required along with the majority of other medical specialties. Knowledge of Nursing documentation and other clinical ancillary documentation and results is necessary.	
Vendor's team must include one member with significant experience with the typical hospital ancillary systems ICD-10 migrations including Lab (Gen, Micro, Pathology – Cerner experience preferred), Radiology (Fuji), Pharmacy, OR and Anesthesiology, Cardiology, Rad-Onc, L&D, Cath Lab.	
Vendor's team must include one member with significant experience with Ambulatory and Physician EMR and related systems.	
Vendor's team must include one member with significant experience planning and managing individual systems testing – as well as End-to-End testing and regression testing.	
Vendor's team must include one member with significant experience with ICD-10 migrations for all Revenue Cycle systems.	
<u>For Phase 2 segments only:</u> Vendor's team must include a senior project manager who will manage and provide oversight of the other Consulting Analysts that participate in the Phase 2.	

b. Additional Considerations

Below are additional items to consider in the assessment that require recommendations/solutions:

Desirable (or Optional) Technical Specifications Table

Specification	Is Vendor Able to Comply?
Vendor's team includes one member with significant experience with Allscripts' Sunrise Clinical Manager	
Vendor's team must include one member with Experience with New York payers is preferred especially with the Revenue Cycle consultant.	
Vendor's team consists of several members with experience with New York payers.	
Vendor is a New York State certified MWBE organization.	

B. Method of Award

This RFP is part of a competitive procurement process designed to serve the best interests of the State University of New York and the People of the State of New York. It is also designed to provide all bidders with a fair and even opportunity to have their services considered. Prospective vendors are expected to bid each Phase independently of the other with separate awards being made for each Phase. A single proposing vendor may or may not be awarded both Phases based on the technical and cost evaluations for each Phase. SUNY will conduct a comprehensive review of each responsive bid submitted in accordance with the terms of this RFP. Proposals will be evaluated on the basis of “best value” by an evaluation committee comprised of SUNY representatives, and shall be conducted in the following steps:

1. Administrative Review

Each bid received by the due date and time will be screened for completeness of submission in accordance with Section 4, Bid Submission Requirements.

2. Review of Bidder Qualifications

Each bid remaining after the Administrative Review will be advanced to the evaluation committee for determination of whether Bidder has met the requirements of Section 3, Bidder Qualifications.

3. Technical Evaluation

Each bid remaining after review of Bidder Qualifications will advance for review and independent evaluation and scoring by the technical review evaluation committee.

4. Financial Evaluation

The Financial Proposals of each bid remaining after the Technical Evaluation will be independently evaluated and scored by the designated contract officer.

5. Presentation, Demonstration, Interview

Bidders receiving the three (3) highest combined Technical and Financial scores may be invited to make a presentation to discuss their proposal. If such presentations are to be held, SUNY will notify the Bidders and schedule the time and location. The presentation will provide an opportunity for these bidders to clarify or elaborate on their proposals, but shall in no way change their original proposals. The presentation/demonstration/interview will be evaluated and scored by the Evaluation Committee. All costs associated with the Bidder’s attendance will be borne by the Bidder.

6. Selection

Proposals will be evaluated on the basis of “best value” by an evaluation committee comprised of SUNY representatives, utilizing an evaluation methodology that considers the following factors:

Technical Proposal	Points	%
Minimum Bidder Qualifications (if scored)		25
Technical Response		25
Vendor Demonstration/Presentation		30
Total Technical Proposal		80%

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Financial Proposal		20%
Total		100%

The Bidder earning the highest final composite score (technical, financial and presentation/demonstration/interview) will be selected to contract with SUNY and will be notified by SUNY. Tentative award of the contract shall consist of written notice of the contract award by SUNY to the successful bidder, who shall thereupon be obligated to execute a formal contract.

Section 3: BIDDER QUALIFICATIONS

A. Minimum Bidder Qualifications

- Vendor must be able to satisfy the mandatory technical specifications.
- None of Vendor's proposed team member may be, or have been, excluded by the OIG.
- Vendor's Proposal must, at minimum, address each of the following:
 1. Complete and include a copy of all three specifications tables (Mandatory and Preferred) from Section 2
 2. Number of years as Healthcare Informatics/BI solution vendor
 3. Number of ICD-10 implementations
 4. Breakdown of sites by provider # (1-5, 6-9, >10)
 5. Number of new ICD-10 evaluations over the last 3 years?
 6. Describe the evolution of the organization. (Historical Background)
 7. Provide an overview of the operating structure of the organization at the national, regional and local levels.
 8. Describe the technical expertise available for an ICD-10 transition and review.
 9. Describe the healthcare technology experience within your organization.
 10. Describe your approach to provide quality products and customer service to clients.
 11. Is there a product or solution used to conduct the ICD-10 review?
 12. What technologies will you use for ICD-10 testing review?
 13. Outline your approach to delivering an ICD-10 test and remediation plan
 14. A minimum of two ICD-10 implementations are required to qualify for consideration. Please identify the company's experience in ICD-10 remediation and implementation.
 15. Please provide a detailed list of technology and resource requirements.
 16. Considered team candidates shall have a minimum of two ICD-10 remediation projects
 17. Identify the proposed team candidates by ICD-10 experience level and application specialties/sub-specialties, (i.e., clinical, HIM, revenue cycle, integration, etc.)

Vendor's Proposal must:

1. Describe or illustrate the Project Team's Organization and Structure
2. Provide CV's for each proposed team member
3. Provide all the references requested in this RFP

SUNY reserves the right to investigate or make any inquiry into the capabilities of any Bidder to properly perform under any resultant contract.

B. Bidder References

All Bidders must: (a) complete and submit Attachment 2: **Bidder Qualifications Submission Form**; and (2) provide a minimum of three (3) references from other universities, colleges or similar-sized organizations.

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The references should demonstrate the bidder's ability with projects similar in scope, size and nature of this RFP. Provide a list of all accounts where a contract was terminated by the customer within the past 5 years.

Bidder must document its ability to service a contract with a volume similar to the scope of this RFP, by submitting financial statements and documenting past sales history. SUNY reserves the right to reject any bidder who does not demonstrate financial stability sufficient for the scope of this RFP.

Section 4: BID SUBMISSION REQUIREMENTS**A. Bid Submission Requirements**

NOTE: BIDDERS SHOULD SUBMIT PROPOSALS FOR PHASE 1 AND PHASE 2 SEPARATELY. IN ADDITION, COST PROPOSALS AND TECHNICAL PROPOSALS (FOR EACH PHASE) MUST BE SUBMITTED IN SEPARATE, SEALED PACKAGES CLEARLY LABELED ON THE EXTERIOR WITH THE RFP NUMBER, TITLE, PHASE NUMBER, AND TYPE OF PROPOSAL (COST OR TECHNICAL.

1. A Bidder's proposal shall address the Bidder's ability and methodology for providing SUNY with the requested services. To be deemed "responsive" to this RFP, a Bidder must meet all mandatory requirements and qualifications and its written proposal must address all points and questions appearing in this RFP. In the event a Bidder's proposal is determined by SUNY to be "non-responsive," SUNY is required by its contracting procedures to disqualify the proposal. A disqualified proposal will not be further evaluated or considered for contract award. To facilitate SUNY's review of proposals, Bidders must address all points and questions that appear in this RFP, and should do so in the order that they appear. Responses should be labeled to correspond to the numbers/letters of the sections and subsections of this RFP.
2. Prepare a clearly readable proposal that includes: (a) a cover letter indicating that the RFP instructions are understood, and (b) all required information.
3. Bidders must submit all information requested by SUNY in written form. Proposals must be complete, accurate, and in the form requested. Omissions, inaccuracies or misstatements will be sufficient cause for the rejection of a proposal.
4. Indicate any deviations from the technical specifications and if necessary, attach separate documents and/or explanation.
5. Proposals should be submitted in sealed packages clearly labeled on the exterior with the RFP number, title, Phase number, and proposal type (cost or technical). Proposals not labeled as instructed risk being opened prior to the bid opening date, which may result in the proposal being rejected. All bids and accompanying documentation shall become the property of SUNY and shall not be returned.
6. No telephone, facsimile, emailed or otherwise electronically submitted proposals will be accepted.
7. The proposal must be fully and properly executed by an authorized person, and the authorized person's signature must notarized. By signing, you certify (i) your express authority to sign on behalf of yourself, your company, or other entity; (ii) your full knowledge and acceptance of this RFP, Exhibit A (State University of New York Standard Contract Clauses), Exhibit A-1 (State University of New York Affirmative Action Clauses), State Finance Law §139-j and §139-k (Procurement Lobbying Certification); and (iii) that all information provided is complete, true and accurate. By signing you further affirm that you understand and agree to comply with the procedures on permissible contacts relating to this procurement as required by State Finance Law §139-j (3) and §139-j (6) (b). These procedures may be accessed at: Procurement Lobbying:
<http://www.ogs.state.ny.us/aboutOgs/regulations/defaultAdvisoryCouncil.html>

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8. Submit five (5) hard copies, (each with an electronic copy on CD) of your proposal to the address provided below. Proposals must be received in the office identified below by the due date and time provided on the Summary Information Form on Page 1 of this RFP. Bidders mailing their proposals must allow sufficient time to ensure receipt by the due date and time. Bidders are cautioned that even when using a trackable mailing/courier/messenger service, proposals must be received by the due date and time. While proposals may be signed for by personnel at SUNY prior to the due date and time, this does not guarantee that the identified office will receive the proposal by the due date and time.

9. Address for submission is as follows:

SUNY DOWNSTATE MEDICAL CENTER
Department of Contracts, MSC 63
450 Clarkson Avenue
Brooklyn, NY 11203
Attn: Director of Contracts

10. Bidders unable or unwilling to submit a proposal are asked to complete the Summary Information Form on Page 1 of this RFP and check the box indicating that no bid is being submitted.

11. All prices and conditions must be included in the original proposal. Prices and conditions not included in the original proposal will be rejected.

12. Bidders must identify the name and address of all proposed subcontractors and describe the portion of the work that the proposed subcontractors are to perform. Bidders must also provide information that the proposed subcontractors have the necessary skill, experience and financial resources to provide the services requested in this RFP.

13. The submission of a proposal constitutes a nonrevocable, binding offer to perform and provide said services. Such binding offer shall be firm and not revocable for a period of sixty (60) days from bid opening. After sixty (60) days, the proposal may remain in effect, subject to withdrawal communicated in writing signed by the Bidder. If this RFP is for the sale of goods pursuant to §2-205 of New York State Uniform Commercial Code, the proposal shall be firm, binding and not revocable for a period of ninety (90) days.

14. Bidder is responsible for all costs that it incurs, direct or indirect, related to the preparation and submission of a proposal in response to this RFP.

15. Each copy of the proposal must be accompanied by the following:

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- Summary Information Form (page 1 of this RFP)
- Notary Acknowledgement Form (follows the last page of this RFP)
- Attachment 1: Bid Submission Checklist and the documents indicated thereon.
- Attachment 2: Bidder Qualifications Submission Form
- Attachment 3: Procurement Lobbying Act Certification
- Attachment 4: Non-Collusive Bidding Certification
- Vendor Responsibility Documentation as set forth in Section 5(17).
- Minority and Women-Owned Business documentation as set forth in Section 5(11).
- Equal Employment Opportunity documentation as set forth in Section 5(12).

B. Bidder Questions

1. If a Question and Answer period is provided for this solicitation, the schedule will be shown on the Summary Information Form, "Key Events," provided on the first page of this RFP. All questions must be submitted in writing, citing the particular RFP page, section, and paragraph numbers where applicable. Questions must be **EMAILED** to arrive no later than 5:00 pm Eastern time on the date indicated and should be directed to the Designated Contacts shown on the Summary Information Form. Questions received after the closing date for inquiries will not be answered. Only written answers are official. All Questions and Answers will be issued as addenda to this RFP and will be provided in writing to all potential Bidders.

C. Pre-Bid Proposal Meeting

If a mandatory or optional Pre-Bid Conference is held for this solicitation, the date, time, and whether the conference is mandatory or optional is reported on the Summary Information Form, "Key Events," provided on Page 1 of this RFP.

D. Site Visit

If a site visit is required for this solicitation, the date and time is reported on the Summary Information Form, "Key Events," provided on Page 1 of this RFP.

E. Bid Opening

1. Bidders may attend the bid opening, at which a SUNY representative will publicly announce the names of Bidders who have submitted proposals. To ensure adequate space for attendees, Bidders must notify the designated contact(s) identified on the Summary Information Form (Page 1 of this RFP) of their desire to attend the bid opening.

Section 5: GENERAL INFORMATION

A. Electronic RFP

Electronic copies of this RFP and related forms are available at

<http://www.downstate.edu/procurement/vendors.html>

B. SUNY'S Reserved Rights

SUNY reserves the right to:

1. Reject any and all proposals received in response to this RFP.
2. Reject any or all portions of any proposal, to negotiate terms and conditions consistent with this RFP and to make an award for any or all remaining portions.
3. Withdraw the RFP at any time, at SUNY's sole discretion.
4. Make an award in whole or in part.
5. Disqualify any Bidder whose conduct and/or proposal fails to conform to the requirements of the RFP.
6. Use proposal information obtained through site visits, management interviews and the state's investigation of a Bidder's qualifications, experience ability or financial standing, and any material or information submitted by the Bidder in response to SUNY's request for clarifying information, in the course of evaluation and/or selection under the RFP.
7. Prior to the bid opening, amend the RFP specifications to correct errors of oversights, or to supply additional information, as it becomes available.
8. Request certified audited financial statements for the past three (3) completed fiscal years and/or other appropriate supplementation including, but not limited to, interim financial statements and credit reports.
9. Request references and contact any or all references.
10. Adjust or correct cost or cost figures with the concurrence of the Bidder if mathematical or typographical errors exist.
11. Advise the Successful Bidder of an objectionable employee(s) and/or subcontractor(s).
12. Waive minor irregularities.
13. Waive requirements or amend this RFP upon notification to all Bidders. Mandatory requirements may be eliminated if unmet by all Bidders.
14. Negotiate with Bidders responding to this RFP within the requirements necessary to serve the best interests of SUNY.

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15. Begin contract negotiations with another Bidder in order to serve the best interests of SUNY should contract negotiations with the Successful Bidder be unsuccessful within a time frame acceptable to SUNY.
16. Request clarifications from Bidders for purposes of assuring a full understanding of responsiveness, and permit revisions from all potential awardees prior to award.
17. Award no contract.

C. Contract Award

Receipt of this RFP does not indicate that SUNY has predetermined Bidder's qualifications to receive a contract award. A contract award, if made, shall be based on evaluation of the bid in accordance with the criteria set forth in this RFP. The successful Bidder will be notified by SUNY by telephone and confirmed by letter.

D. Post Award Procedures

Bidders wishing to participate in a debriefing may make a request in writing within 5 business days of SUNY's notification of the contract award. The written request shall be submitted to the email address specified for Questions and Answers in this RFP. SUNY will endeavor to schedule a debriefing within 10 business days of its receipt of the request. Bidders' written request must state whether Bidder will be attending with counsel, to allow SUNY to arrange for SUNY counsel attendance if so determined. Bidders wishing to file a bid protest may do so in accordance with SUNY's procedures, available at: http://www.suny.edu/sunypp/documents.cfm?doc_id=699.

Section 6: GENERAL TERMS AND CONDITIONS

1. Free and Open Competition

SUNY encourages free and open competition. Whenever possible, terms, specifications, and conditions are designed to accomplish this objective, consistent with the necessity to satisfy SUNY's needs.

2. Notification of Errors, Inquiries and Interpretation

Bidder is responsible to bring to SUNY's attention any deviations in the technical specifications and to make recommendations for any additional requirements deemed necessary as standard, or for work indicated in the specifications contained in this RFP. If SUNY in its discretion finds the deviations to be significant so as to require a change in the necessary specifications for the work, SUNY will notify all Bidders in writing of the change in specifications. No deviations from the technical specifications provided herein shall be made without written approval of SUNY.

3. No Claims or Rights

By submitting a proposal, Bidder agrees that it will not make any claims for, or have any right to damages because of any misinterpretation or misunderstanding of the specifications or because of any misinformation or lack of information.

4. Conflict of Interest

Bidder may be requested to provide evidence that the award of a contract will not result in (i) a conflict of interest with regard to other work performed by Bidder; or (ii) a potential conflict of interest among Bidder's staff.

5. Bidder's Terms and/or Conditions

Bidder's standard terms and conditions will **not** be considered relevant to its proposal or to the contract awarded and should not be included with its proposal. Any additional Bidder terms and conditions attached to or referenced in Bidder's proposal shall not be considered part of the proposal, but shall be deemed included for informational purposes only. No extraneous terms or conditions will be incorporated into the contract awarded unless approved in writing by the SUNY Office of General Counsel. Acceptance and/or processing of a Bidder's proposal shall not constitute acceptance of a Bidder's extraneous terms and conditions.

6. Acceptance of RFP Content

The terms and conditions included in this RFP as well as the applicable portions of Bidder's proposal shall become contractual obligations if a contract is awarded. **BIDDER'S FAILURE TO ACCEPT THESE TERMS AND CONDITIONS AND OBLIGATIONS SHALL RESULT IN REJECTION OF BIDDER'S PROPOSAL.**

7. Services Outside Scope of the Contract Awarded

SUNY shall not be responsible for any services provided by the successful Bidder that are outside the scope of the contract awarded. SUNY shall not be responsible for any additional costs other than the costs for the services outlined herein, or for any work performed that has not been properly authorized in writing by SUNY.

8. Standard Contract Clauses

Any contract awarded resulting from this RFP shall include Exhibit A (State University of New York Standard Contract Clauses) and, for contracts in excess of \$25,000, Exhibit A-1 (State University of New York Affirmative Action Clauses). The provisions of Exhibit A and Exhibit A-1 shall take precedence over any provision in this RFP or any provisions in the contract awarded. Exhibits A and A-1 are attached to this RFP.

9. Binding Effect

The contract awarded shall be binding upon its execution by both parties and, if required by New York State law, upon the written approvals of the Attorney General and the Office of the State Comptroller.

10. Confidentiality/Freedom of Information Law

All proposals submitted for SUNY's consideration will be held in confidence and will become the property of SUNY. However, the resulting contract is subject to the New York State Freedom of Information Law (FOIL), contained in Article 6 of the New York State Public Officer's Law. Therefore, if a Bidder believes that any information in its proposal constitutes a trade secret, should be treated as confidential and should not be disclosed upon a request pursuant to FOIL, Bidder shall submit with its proposal a separate letter to SUNY-DMC's Records Access Officer at FOIL@downstate.edu, specifically (i) identifying the page number(s), line(s) or other appropriate designation(s) containing such information; (ii) explaining in detail why such information is a trade secret or confidential; and (iii) formally request that such information be held as confidential. Bidder's failure to submit such a letter with its proposal will constitute a waiver by the Bidder of any rights it may have under Section 89(5) of the Public Officers' Law relating to protection of trade secrets. The proprietary nature of the information designated confidential by the Bidder may be subject to disclosure if ordered by a court of competent jurisdiction. A request that an entire proposal be kept confidential is not advisable, because a proposal cannot reasonably consist exclusively of proprietary information.

11. Minority and Women-owned Business Enterprises (MWBE)

Pursuant to New York State Executive Law Article 15-A, SUNY recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority- and women-owned business enterprises and the employment of minority group members and women in the performance of SUNY contracts.

For purposes of this solicitation, SUNY hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs). For additional information please refer to the MWBE requirements outlined in MWBE Prospective Bidder's Notice ([Form 7557-121](#)).

Please note the response forms identified in Form 7557-121 (SUNY MWBE Forms 104 & 107) must be submitted with all Bids. Forms are available in SUNY Procurement Policies and Procedures Document 7557 online at: http://www.suny.edu/sunypp/documents.cfm?doc_id=611

12. Equal Employment Opportunity Requirements

By submission of a bid or proposal in response to this solicitation, the Bidder agrees with all of the terms and conditions of SUNY Exhibit A-1 including Clause 12 - Equal Employment Opportunities for Minorities and Women. The Contractor is required to ensure that it and any subcontractors awarded a subcontract over \$25,000 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

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Contractor, shall undertake or continue 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, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

Bidder further agrees, where applicable, to submit with the bid an EEO staffing plan (utilizing MWBE form 108) to identify the anticipated work force to be utilized on the Contract. Forms are available in SUNY Procurement Policies and Procedures Document 7557 online at:

http://www.suny.edu/sunypp/documents.cfm?doc_id=611. If the Bidder is awarded a Contract, Bidder will, upon request, submit to SUNY, a workforce utilization report identifying the workforce actually utilized on the Contract if known.

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and sub-contractors will 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.

In addition, Bidder must submit with their bid or proposal their firm's Equal Employment Opportunity Policy Statement (which conforms to the provisions of Exhibit A-1); utilizing (utilizing MWBE Form 104).

Forms are available in SUNY Procurement Policies and Procedures Document 7557 online at:

http://www.suny.edu/sunypp/documents.cfm?doc_id=611. Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.

13. Encouraging Use of New York State Businesses in Contract Performance

New York State businesses have a substantial presence in SUNY contracts and strongly contribute to the economies of New York and the nation. In recognition of their economic activity and leadership in doing business in New York State, Bidders/Proposers/Contractors for this contract for commodities, services or technology are strongly encouraged and expected to consider New York State businesses in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles.

Bidders/Proposers/Contractors need to be aware that to the maximum extent practical and consistent with legal requirements, they are strongly encouraged to use responsible and responsive New York State businesses in purchasing commodities that are of equal quality and functionality and in utilizing services and technology. Furthermore, Bidders/Proposers/Contractors are reminded that they must continue to utilize small, minority and women-owned businesses, consistent with current State law.

Utilizing New York State businesses in SUNY contracts will help create more private sector jobs, rebuild New York's infrastructure, and maximize economic activity to the mutual benefit of the Contractor and its New York State business partners. New York State businesses will promote the contractor's optimal performance under this contract, thereby fully benefiting the public sector programs that are supported by associated procurements.

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Public procurements can drive and improve the State's economic engine through promotion of the use of New York businesses by its Contractors. SUNY therefore expects Bidders/Proposers/Contractors to provide maximum assistance to New York businesses in their use of the contract. The potential participation by all kinds of New York businesses will deliver great value to New York State and its taxpayers.

Bidders/Proposers can demonstrate their commitment to the use of New York State businesses by responding to the question below:

Will New York State Businesses be used in the performance of this contract? (YES ___ NO ___)

If YES, identify New York State Business(es) that will be used. (Attach identifying information, e.g., contact information, dollar value of the subcontract or supply contract.)

14. Office of Federal Contract Compliance Programs

This Contractor and Subcontractor shall abide by the requirements of 41 C.F.R. §§ 60-300.5(a) and 60-741.5(a). These regulations prohibit discrimination against qualified individuals on the basis of protected veteran status or disability, and require affirmative action by covered prime contractors and subcontractors to employ and advance in employment qualified protected veterans and individuals with disabilities.

15. Governing Law

This RFP, Bidders' proposals and any resulting contract shall be governed, construed and enforced in accordance with the laws of the State of New York, excluding New York's choice of law principles in a New York court of competent jurisdiction. Bidder/Contractor agrees to submit itself to such court's jurisdiction.

16. 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 and a directory of minority and women-owned business enterprises is available from:

NYS Empire State Development
Division for Small Business
625 Broadway
Albany, New York 12207
Phone: 1-800-782-8369
Email: esd@empire.state.ny.us
Website: <http://www.emipre.state.ny.us>

17. Determination of Vendor Responsibility

New York State procurement law requires that state agencies award contracts only to responsible contractors. Additionally, the New York State Comptroller must be satisfied that a proposed contractor is responsible before approving a contract award under Section 112 of the State Finance Law. Section 163 of the New York State Finance Law ("SFL") requires that contracts for services and commodities be awarded on the basis of lowest price or best value "to a responsive and responsible bidder." Section 163 (9)f of the SFL requires that prior to making a contract award, each contracting agency shall make a determination of responsibility of the proposed contractor.

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In accordance with these procurement laws, SUNY will conduct an affirmative review of vendor responsibility for all organizations or firms with which it conducts business. In doing so, bidders are required 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 VendRep System, see the VendRep System Instructions on the Office of State Comptroller (OSC) website, available at: www.osc.state.ny.us/vendrep or go directly to the VendRep System online at <https://portal.osc.state.ny.us>. For VendRep System user assistance, the OSC Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at helpdesk@osc.state.ny.us. Bidders opting to file a paper questionnaire may obtain the appropriate questionnaire from the VendRep website www.osc.state.ny.us/vendrep or may contact SUNY System Administration for a copy of the paper form.

In addition:

- a. *General Responsibility.* The Contractor shall at all times during the contract awarded term remain responsible. The Contractor agrees, if requested by the SUNY Chancellor 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.
- b. *Suspension of Work for Non-Responsibility.* The SUNY Chancellor, in his or her sole discretion, reserves the right to suspend any or all activities under the contract awarded, 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 SUNY Chancellor or his or her designee issues a written notice authorizing a resumption of performance of the contract awarded.
- c. *Termination for Non-Responsibility.* Upon written notice to the Contractor and a reasonable opportunity to be heard with appropriate SUNY officials or staff, the contract awarded may be terminated by the SUNY Chancellor or his or her designee at the Contractor's expense, where the Contractor is determined by the SUNY Chancellor or his or her designee to be non-responsible. In such event, the SUNY Chancellor 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.

18. Requirements of New York State's Recycling Program

In accordance with the provisions of Section 165(3) of the State Finance Law and Executive Order No. 142, SUNY is required to purchase recycled products, if available, made with recycled content in accordance with rules and regulations established by the State Department of Environmental Conservation in development of that agency's Recycling Emblems Program. If the cost of a recycled product does not exceed by 10% the cost of a product made without recycled content (or by 15% if over 50% of the recycled materials are generated from the New York State waste stream), the recycled product must be purchased.

19. State Consultant Services Reporting

State Finance Law Sections 8 and 163 require that Contractors annually report certain employment information to the contracting agency, the Department of Civil Service and Office of the State Comptroller. State contractors are required to disclose, by employment category, the number of persons employed to provide services under a contract for consulting services, the number of hours worked and the amount paid to the contractor by the State as compensation for work performed by these employees. This will include information on any persons working under any subcontracts with the State contractor.

20. Electronic Payment Authorization

Contractor shall provide complete and accurate billing invoices to SUNY in order to receive payment for its services. Billing invoices submitted to SUNY must contain all information and supporting documentation required by SUNY and the Office of State Comptroller (OSC). Payment for invoices submitted by Contractor shall only be rendered electronically unless payment by paper check is expressly authorized by the Vice Chancellor for Business and Finance of the State University of New York or designee, in her/his sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary New York state procedures and practices. Contractor shall comply with the OSC procedures to authorize payments. Authorization forms are available at the OSC website at www.osc.state.ny.us/epay, by email at epunit@osc.state.ny.us or by telephone at 518-474-4032. Contractor acknowledges that it will not receive payment on any invoices submitted under this contract if it does not comply with the OSC's electronic payment procedures, except where the Vice Chancellor or designee has expressly authorized payment by paper check as set forth above.

21. Timeliness of Payment and Interest

Interest for late payment shall be governed by Section 179g of New York State Finance Law.

22. Exhibits

The following documents will be incorporated into, and made part of, the contract awarded:

- a. Exhibit A, State University of New York Standard Contract Clauses
- b. Exhibit A-1, State University of New York Affirmative Action Clauses (for contracts valued at greater than \$25,000)
- c. The Agreement
- d. Exhibit B, the Successful Bidder's proposal and Statement of Work
- e. Exhibit C, the Successful Bidder's Cost Proposal
- f. Exhibit D, SUNY-DMC Travel Policy
- g. Exhibit E, BAA
- h. Exhibit F, DRA

In the event of any inconsistency in or conflict among the document elements described above, such inconsistency or conflict shall be resolved by giving precedence to the document elements in the order set forth above.

23. Independent Contractor

The Successful Bidder (Contractor) and its agents or employees or any entity or person acting on behalf of the Contractor engaged in the performance of work shall at all times be deemed to be performing as independent contractors. The Contractor hereby covenants and agrees to act in accordance with that status. The Contractor and its agents or employees or any entity or person acting on behalf of the Contractor shall neither hold themselves out as, nor claim to be, officers or employees of SUNY and shall make no claim for, nor be entitled to, Workers' Compensation coverage, medical and unemployment benefits, social security, or retirement membership benefits from SUNY.

24. Subcontracting

In the event the Successful Bidder (Contractor) uses partners, subcontracts or subcontractors, the Contractor will remain responsible for compliance with all specifications and performance of all obligations under the

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contract resulting from this RFP. For the resulting agreement, the successful bidder will be the prime contractor.

Within thirty (30) calendar days after Notice of Award, the Successful Bidder must submit a written statement to SUNY giving the name and address of all proposed subcontractors. The statement must contain a description of the portion of the work and materials which the proposed subcontractors are to perform and must furnish any other information to document that the proposed subcontractors have the necessary facilities, skill, integrity, past experience and financial resources to perform the work in accordance with the terms and provisions of the contract.

If SUNY finds that the proposed subcontractors are qualified, it will so notify the Contractor within ten (10) business days following receipt of Contractor's written statement described above. If SUNY determines that a subcontractor is not qualified, it will so notify the Contractor. The Contractor must, within ten (10) business days thereafter, submit a written statement as described above with respect to other proposed subcontractors, unless the Contractor decides to do such work itself and in SUNY's opinion is qualified to do such work.

SUNY's approval of a subcontractor shall not relieve the Contractor of any of its responsibilities, duties and liabilities under the contract. The Contractor shall be solely responsible to SUNY for the acts, omissions or defaults of such subcontractors and of such subcontractors' officers, agents and employees, each of whom shall, for this purpose, be deemed to be the agent or employee of the Contractor to the extent of its subcontract. No provisions of the awarded contract shall create or be construed as creating any contractual relation between SUNY and any subcontractor or sub-subcontractor or with any person, firm or corporation employed by, contracted with or whose services are utilized by the Contractor.

The Contractor shall be fully responsible for the administration, integration, coordination, direction and supervision of all of its subcontractors and of all work. Contractor shall check requirements of the work and coordinate and adjust as required so that conflicts in time, work space, equipment and supplies do not occur in the work being performed by the Contractor with its own employees and the work being performed by its subcontractors.

No subcontractor shall be permitted to work until it has furnished satisfactory evidence to SUNY of the insurance required by law.

The Successful Bidder (Contractor) shall execute a written agreement with each of its subcontractors and shall require all subcontractors to execute with their sub-subcontractors a written agreement which shall bind each to the terms and provisions of the prime contract awarded, insofar as such terms and provisions are applicable to the work to be performed by such subcontractors. The Contractor shall require all subcontractors and sub-subcontractors to promptly, upon request, file with SUNY a copy of such agreements upon request, from which the price and terms of payment may be deleted.

25. Compliance

Contractor shall comply with all laws, rules, orders, regulations, and requirements of federal, state and municipal governments applicable hereto, including the provisions of Exhibit A, State University of New York Standard Contract Clauses, attached hereto and made a part hereof, and for agreements with a value of \$25,000 or more Exhibit A-1, State University of New York Affirmative Action Clauses, attached hereto and made a part hereof.

26. Indemnification

a. Successful Bidder (Contractor)

The Successful Bidder(Contractor) shall fully indemnify, defend and save SUNY and its respective officers, agents and employees without limitation, from suits, actions, damages and costs of every name and description arising out of the acts or omissions of the Contractor in any performance under this Agreement including: i) personal injury, damage to real or personal tangible property; ii) negligence, either active or passive; and iii) infringement of any law or of a United States Letter Patent, with respect to Products and Services furnished under this Agreement, or of any copyright, trademark, trade secret or intellectual proprietary rights, provided that SUNY shall give Contractor: (a) prompt written notice of any action, claim, or threat of infringement suit, or other suit, promptness of which, shall be established by SUNY upon the furnishing of written notice and verified receipt, (b) the opportunity to take over, settle or defend such action, claim or suit at Contractor's sole expense, and (c) assistance in the defense of any such action is at the expense of the Contractor. Where a dispute or claim arises relative to a real or anticipated infringement, SUNY may require the Contractor, at its sole expense, to submit such information and documentation, including formal patent attorney opinions, as SUNY shall require. New York State reserves the right to join such action, at its sole expense, when it determines there is an issue involving a significant public interest.

b. SUNY

Subject to the availability of lawful appropriations pursuant to Section 41 of the New York State Court of Claims Act, SUNY will hold the Contractor harmless from and indemnify it for any final judgment of a court of competent jurisdiction only to the extent attributable to the negligence of SUNY or of its officers or employees when acting within the course and scope of their employment and within the scope of the contract awarded.

27. Liability

The Successful Bidder (Contractor) understands and agrees that it is responsible for the performance of the Services in accordance with the terms and conditions of the awarded Contract. SUNY may look solely to the Contractor for remedy, redress, liability or indemnification for any failure to perform, whether caused by Contractor itself or by one or more of its officers, employees, subcontractors, agents, licensees, licensors or affiliates or any person or entity acting on behalf of Contractor in providing the Services. The Contractor shall be fully liable for the actions of its officers, employees, subcontractors, agents, licensees, licensors, or affiliates or any person or entity acting on its behalf in providing the Services and shall fully indemnify and save harmless SUNY and the State of New York from suits, actions, damages and costs of every name and description presented, brought, or recovered against SUNY and the State of New York for, or on account of any liability which may be incurred by reason of the Contractor's performance of this Agreement.

The Contractor will be responsible for the work, direction and compensation of any person or entity it engages as an officer, expert, employee, consultant, agent, independent contractor, or subcontractor. Nothing in the contract awarded or the performance thereof by the Contractor will impose any liability or duty whatsoever on SUNY including, but not limited to, any liability for taxes, compensation, commissions, Workers' Compensation, disability benefits, Social Security, or other employee benefits for any person or entity.

28. Insurance

During the term of the awarded contract, the Successful Bidder (Contractor) must obtain and maintain insurance coverage at its own expense as provided in this paragraph, and shall deliver Certificates of Insurance in a form satisfactory to SUNY before commencing any work under this contract. Certificates shall reference the Contract Number. Certificates of Insurance must indicate the applicable deductible/self insured retention on each policy.

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The policies of insurance set forth below shall be written by companies authorized by the New York Department of Financial Services to issue insurance in the state of New York ("admitted" carriers) with an A.M. Best company rating of "A-" or better. Unless otherwise agreed, policies shall be written so as to include a provision that the policy will not be canceled, materially changed, or not renewed without at least thirty (30) days prior written notice except for non-payment as required by law to [Contract Administrator name and address].

All insurance policies shall provide that the required coverage shall apply on a primary and not on an excess or contributing basis as to any other insurance that may be available to SUNY for any claim arising from the successful bidder's work under the awarded contract, or as a result of the successful bidder's activities. Any other insurance maintained by SUNY shall be excess of and shall not contribute with the successful bidder's insurance, regardless of any "other insurance" clause contained in any SUNY policy of insurance.

At least two weeks prior to the expiration of any policy required by the awarded contract, evidence of renewal or replacement of policies of insurance with terms no less favorable to SUNY than the expiring policies shall be delivered to SUNY in the manner required for service of Notice under the contract.

- a. A professional liability policy (errors and omissions) in the amount of one million dollars (\$1,000,000), which shall be maintained for a period of three (3) years after completion of this contract. If said policy is issued on a claims-made policy form, the policy shall be purchased with extended Discovery Clause coverage of up to three (3) years after work is completed if coverage is cancelled or not renewed.
- b. Workers Compensation and Disability Benefits Coverage for the life of this Agreement for the benefit of employees required to be covered by the New York State Workers Compensation Law and the New York State Disability Benefits Law. Evidence of coverage must be provided on forms specified by the Commissioner of the Workers Compensation Board.
- c. General Liability Insurance with limits no less than one million dollars (\$1,000,000) per claim and three million dollars (\$3,000,000) in the aggregate. Such policy shall name the State University of New York as an additional insured and shall designate the State University of New York as the loss payee, and shall contain a provision that the State University of New York shall receive at least thirty (30) days written notice prior to material change, cancellation or expiration of such policy.
- d. Business Automobile Liability insurance covering liability arising out of the use of any motor vehicle in connection with the work, including owned, leased, hired and non-owned vehicles bearing, or under the circumstances under which they are being used, required by the Motor Vehicle Laws of the State of New York to bear, license plates. Such policy shall have a combined single limit for Bodily Injury and Property Damage of at least one million dollars (\$1,000,000) and shall name the State University of New York as additional insured. The limits may be provided through a combination of umbrella/excess liability policies.

29. Travel

In the event the Contractor is required to be reimbursed for travel, reimbursement rates shall not exceed the current NYS Schedule of Allowable Reimbursable Travel Expenses, available from the New York State Comptroller at: <https://www.osc.state.ny.us/agencies/travel/travel.htm>.

30. Termination

The Contract awarded to the Successful Bidder (Contractor) may be terminated by SUNY for any of the following reasons:

- a. *Convenience of SUNY:* The contract may be terminated at any time upon receipt of thirty (30) days prior written notice given by SUNY for whatever reason.
- b. *Event of default:* The contract may be terminated in the event of breach of any of its provisions by the Contractor, or if the Contractor's Services are deemed unsatisfactory in SUNY's sole discretion, due to Contractor's fault or negligence, or that of its officers, employees, subcontractors, agents, licensees, licensors, or affiliates. In such event, SUNY will send a written cure notice in accordance with the Notice provisions of the contract, and Contractor shall have thirty (30) days to correct the deficiencies noted. If the deficiencies are not corrected, SUNY may terminate this contract immediately upon written notice.
- c. *Deficient Certifications:* If the awarded contract has a value greater than \$15,000, SUNY shall have the right to terminate in the event the State Finance Law sections 139-j and 139-k certifications executed by the Contractor are found to be false or incomplete. If the contract has a value of greater than \$100,000 and Contractor's sales for the immediately preceding four quarters were greater than \$300,000, or if the contract has a value of \$125,000 or greater, SUNY shall have the right to terminate in the event the successful bidder's Department of Taxation and Finance Contractor Certification form, ST 220-CA, statements are found to be false or incomplete.
- d. *Lack of Funds:* If for any reason the State of New York terminates or reduces its appropriations to SUNY, the awarded contract may be terminated or reduced at SUNY's discretion, provided that no such reduction or termination shall apply to allowable costs already incurred by the Contractor where funds are available to the SUNY for payment of such costs. In any event, no liability shall be incurred by the State (including SUNY) beyond monies available for the purposes of the awarded contract.
- e. SUNY may terminate the awarded contract, upon written notice, in the event of any of the following: (1) Contractor makes an assignment for the benefit of creditors; (ii) a petition in bankruptcy or any insolvency proceeding is filed by or against Contractor and is not dismissed within thirty (30) days from the date of filing; or (iii) all or substantially all of Contractor's property is levied upon or sold in any judicial proceeding.

31. Procurement Lobbying Act – State Finance Law §§ 139-j and 139-k

Prior to approval of the contract for which this RFP has been issued by SUNY, or if applicable, the Office of the State Comptroller, a Bidder shall not communicate with SUNY other than with the persons identified in this RFP as Designated Contacts or with a person who the Designated Contacts has advised the Bidder in writing is also a Designated Contact. Generally, the New York State Finance Law restricts communications between a bidder or a person acting on behalf of a Bidder, including its lobbyist, to communications with the officers and employees of the procuring agency designated in each solicitation to receive such communications. Further, the law prohibits a communication (a "Contact") which a reasonable person would infer as an attempt to unduly influence the award, denial or amendment of a contract. These restrictions apply to each contract in excess of \$15,000 during the "restricted period" (the time commencing with the earliest written notice of the proposed procurement and ending with the later of approval of the final contract by the agency, or, if applicable, the State Comptroller). The agency must record all Contacts, and, generally, must deny an award of contract to a vendor involved in a knowing and willful Contact.

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Each agency must develop guidelines and procedures regarding Contacts and procedures for the reporting and investigation of Contacts. SUNY's procurement record must demonstrate compliance with these requirements. SUNY will make a record of all Contacts, and such records of Contact will become part of the procurement record for this RFP. A determination that a Bidder or a person acting on behalf of a Bidder has intentionally made a Contact or provided inaccurate or incomplete information as to its past compliance with State Finance Law §§139-j and 139-k, is likely to result in denial of the award of contract under this RFP. Additional sanctions may apply. A complete copy of SUNY's Procurement Lobbying Policy and Procedure is available for review at http://www.suny.edu/sunypp/documents.cfm?doc_id=430

Each Bidder shall submit with its proposal a written affirmation of its understanding of SUNY's procurement lobbying procedures and agreement to comply with such procedures. The requisite form is provided at Attachment 3. It may also be accessed online at: http://www.suny.edu/sunypp/documents.cfm?doc_id=282

32. Restrictions on the Activities of Current and Former State Officers and Employees

All Bidders and Bidder employees must be aware of and comply with the requirements of the New York State Public Officers Law, all other appropriate provisions of New York State Law and all resultant codes, rules and regulations from State laws establishing the standards for business and professional activities of State employees and governing the conduct of employees of firms, associations and corporations in business with the State.

Contractors and their employees are cautioned that the hiring of former state employees may violate the Ethics Law. The governing provisions are set forth the New York State Public Officers Law §§ 73 and 74, and the underlying principle of law is to prevent conflicts of interest and encourage ethical behavior. The law may be found on the website of the New York State Joint Commission on Public Ethics at: http://www.jcope.ny.gov/about/laws_regulations.html.

33. Diesel Emissions Reduction Act of 2006

The Successful Bidder (Contractor) certifies and warrants that all heavy duty vehicles, as defined in New York State Environmental Conservation Law (ECL) section 19-0323, to be used by Contractor, its agents or subcontractors under the contract awarded, will comply with the specifications and provisions of ECL section 19-0323 and any regulations promulgated pursuant thereto, which requires the use of Best Available Retrofit Technology ("BART") and Ultra Low Sulfur Fuel ("ULSD"), unless specifically waived by DEC. Qualification for a waiver under this law will be the responsibility of Contractor. Annually, but no later than March 1st, Contractor shall complete and submit directly to SUNY, via electronic mail, the Regulated Entity Vehicle Inventory Form and Regulated Entity and Contractors Annual Report forms available at the Department of Environmental Conservation ("DEC") website: <http://www.dec.ny.gov/chemical/4754.html>, for heavy duty vehicles used in the performance of the contract awarded for the preceding calendar year. The Contractor shall certify to SUNY, and submit with each application for payment, Contractor and Subcontractor Certification forms, which state that the Contractor will comply with the provisions of ECL Section 19.0323.

34. Smoke Free SUNY

The State University of New York campus is smoke free. No smoking is permitted within the buildings or upon the grounds owned or leased by SUNY. The Successful Bidder (Contractor) must communicate this policy to its employees, subcontractors, and any other individuals assigned to enter upon SUNY grounds and premises in connection with the services to be performed in connection with the contract awarded.

35. Legal Compliance

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The Successful Bidder must comply with the requirements of: (a) the Business Associates Agreement, attached hereto as **Exhibit E**; (b) the Deficit Reduction Act Appendix, attached hereto as **Exhibit F**; (c) and any applicable provisions of New York State ("NYS") and federal law not already mentioned.

36. Excluded Individuals and Disqualified Providers

Bidder shall determine, by reference to the then Current Department of Health and Human Services Offices of the Inspector General's List, the General Administration list of Excluded Individuals/Entities, and the New York State Medicaid Disqualified Provider List, whether Bidder, its employees, or any individual Bidder assigns to SUNY-DMC to furnish goods or services pursuant to the Agreement, or any individual or entity from which Contractor receives or purchases goods that it provides to SUNY-DMC, is excluded from participation in Medicare, Medicaid, or other federally funded health care programs. Bidder shall not assign to SUNY-DMC any employee or any individual that is so excluded. If, at any time during the term of the Agreement, Bidder, the employee, individual, or entity Bidder is excluded from participation in Medicare, Medicaid, or other federally funded health care programs, Bidder shall immediately notify SUNY-DMC of the exclusion, and SUNY-DMC shall have the option of immediately terminating the Agreement and this Amendment, in whole or in part as necessary and applicable in SUNY-DMC's sole discretion, and Bidder shall provide a pro rata refund to SUNY-DMC based on the period of time remaining in the term of the Agreement. Department of Health and Human Services Office of the Inspector General (www.oig.hhs.gov), General Services Administrative List of Excluded Individuals/Entities (www.epls.gov), and New York State Medicaid Disqualified Provider List (www.omig.state.ny.us).

37. Resource Assignments

- a. **Legal Compliance.** Any personnel assigned by Bidder to provide services on-site at SUNY-DMC shall have and maintain, for the duration hereof, any and all applicable licenses, certifications or other authorizations required by applicable law for the performance of such services. Further, such personnel shall comply with all applicable SUNY-DMC policies and procedures governing access to and any entry upon its premises.
- b. **SUNY-DMC's Right to Staff Replacement.** If at any time during the course of the Term, the appearance, conduct, performance, or other behavior of any of Bidder's employees is reasonably deemed by SUNY-DMC to be unacceptable or otherwise not in the best interests thereof, Bidder shall immediately remove such employee from SUNY-DMC's premises.
- c. **Assignment Conditions/HR Competencies for On-Site Performance.**
 - i. All personnel supplied by Bidder shall be and remain its employees, and, except as specifically provided hereunder, SUNY-DMC shall have no responsibility whatsoever as an employer with respect to such personnel, i.e. withholding social security, unemployment compensation, or any other taxes mandated by law.
 - ii. Prior to assignment to SUNY-DMC, directly or indirectly, Bidder shall ensure that all of its employees have successfully completed all required medical/physical and other required examinations. Without limiting the generality of the foregoing, Bidder shall be responsible for: (a) screening for competence all of its personnel performing work on or about SUNY-DMC's property; and (b) providing, on an individual basis, written certification to SUNY-DMC that each employee: (1) possesses the requisite employment eligibilities work status (form I-9), education, training, physical/mental health and experience required to perform the duties of the position performed on behalf of Bidder at SUNY-DMC; and (2) has demonstrated competence in performing the duties required of the position. The foregoing health requirements shall include, inter alia, Bidder causing all of its employees

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assigned to duty in any SUNY-DMC facility to submit to period health examinations as required by SUNY-DMC and/or by applicable law, and submission by Bidder of satisfactory evidence of compliance with all health regulations to SUNY-DMC's Employee Health Department in accordance with its rules, regulations and standard practices.

- iii. Bidder must maintain a file including documentation of the competencies of each employee working at SUNY-DMC and must make said file available via fax transmission or other reasonably requested medium to SUNY-DMC's Human Resources Department when requested, upon four (4) hours notice. At a minimum, such file must include for each individual a written job description, a completed job application or resume detailing the individual's competencies, including copies of any license, registration, certification and/or permits; evidence that the employee has received an initial SUNY-DMC orientation and attended annual Mandatory Education Program; evidence that the employee has had a physical examination within the last twelve (12) month period including TB testing, chicken pox and measles testing; and completed annual competency assessments, including age-specific competencies and assessments and current, up-to-date evaluation and appraisal tools.
- iv. Prior to assignment of an individual to SUNY-DMC, Bidder shall determine, through use of an appropriate consumer reporting agency, whether such individual has at any time been convicted of a crime under any federal or state law, and shall furnish SUNY-DMC with a copy of the report resulting from such process. In the event that the individual has been so convicted, SUNY-DMC shall determine, in its sole discretion, whether assignment of such individual is acceptable. The criminal background check performed by Bidder shall meet the following specifications: a. A Social Security Trace shall be performed to verify that provided social security number is valid. This trace will provide address records of the employee associated with the number, which shall then be used for the associated criminal records search; and b. A search shall be performed of all criminal records (felony and misdemeanor) for all counties in which the individual is known to have resided, under his or her current name as well as under any alias or maiden names assigned to the Social Security Number. Such criminal records search should extend as far back in time as the records of each particular county permit, which may vary by state and/or county. With respect to individuals assigned to SUNY-DMC continuously for a year or more, Bidder shall re-perform the checks described hereinabove at least once annually, and shall provide SUNY-DMC with a copy of the resulting reports.
- d. Pre-employment Training/Programs. Bidder shall ensure that all of its employees attend the required SUNY-DMC New Employee Orientation program, as well as all mandatory annual in-service training, including, but not limited to, Health Insurance Portability and Accountability Act and Fire Safety Training.

**State University of New York
Notary Acknowledgement**

(ACKNOWLEDGEMENT BY INDIVIDUAL)

STATE OF NEW YORK)
COUNTY OF) ss.:

On this _____ day of _____, 20___, before me personally came _____, to me known and known to me to be the person described in and who executed the foregoing instrument and he/she acknowledged to me that he/she executed the same.

Notary Public

(ACKNOWLEDGEMENT BY UNINCORPORATED ASSOCIATION)

STATE OF NEW YORK)
COUNTY OF) ss.:

On this _____ day of _____, 20___, before me personally came _____, to me known and known to me to be the person who executed the above instrument, who, being duly sworn by me, did for himself/herself depose and say that he/she is a member of the firm of _____ and that he/she executed the foregoing instrument in the firm name of _____ and that he/she had authority to sign same, and he/she did duly acknowledge to me that he/she executed the same as the act and deed of said firm of _____ for the uses and purposes mentioned therein.

Notary Public

(ACKNOWLEDGEMENT BY CORPORATION)

STATE OF NEW YORK)
COUNTY OF) ss.:

On this ___ day of _____, 20___, before me personally came _____, to me known, who being duly sworn, did depose and say that he/she resides in _____; that he/she is the _____ (title) of _____ (firm), the corporation described in and which executed the foregoing 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.

Notary Public

THIS PAGE MUST BE SIGNED IN THE ORIGINAL AND MUST ACCOMPANY EACH COPY OF YOUR BID.

Attachment 1: Bid Submission Checklist

RFP 15-13 ICD-10 IMPLEMENTATION TESTING AND IMPLEMENTATION ASSISTANCE

√	Description
<input type="checkbox"/>	RFP (page 1) Summary Information Form
<input type="checkbox"/>	Notary Acknowledgement Form
<input type="checkbox"/>	Attachment 1: Bid Submission Checklist
<input type="checkbox"/>	Attachment 2: Bidder Qualifications Submission Form
<input type="checkbox"/>	If required: Narrative addressing ability and experience
<input type="checkbox"/>	Attachment 3: Procurement Lobbying Act Certification
<input type="checkbox"/>	Attachment 4: Non-Collusive Bidding Certification
<input type="checkbox"/>	<p>Vendor Responsibility:</p> <p>File either the required Vendor Responsibility Questionnaire online via the New York State VendRep System or complete and submit a paper questionnaire.</p> <p>Select one:</p> <p><input type="checkbox"/> completed online questionnaire</p> <p><input type="checkbox"/> paper copy of questionnaire included in Bid.</p>
<input type="checkbox"/>	MWBE Form 104: Equal Opportunity Policy Statement
<input type="checkbox"/>	MWBE Form 107: Utilization Form
<input type="checkbox"/>	MWBE Form 108: EEO Staffing Plan

Attachment 2: Bidder Qualifications Submission Form

RFP 15-13 ICD-10 IMPLEMENTATION TESTING AND IMPLEMENTATION ASSISTANCE

Minimum Bidder Qualifications:

Minimum Qualification Description	Bidder Response
1.	
2.	

References:

References					
	Company Name:	Address:	Contact Name, email address, Phone #	Length of time as your customer	Estimated Total Annual Sales
1.					
2.					
3					

Contract Terminations					
Company Name:	Address:	Contact Name, email address, Phone #	Date of Contract Termination	Reason for Contract Termination	

Attachment 3: Procurement Lobbying Act Certification

State Finance Law §§139-j and 139-k, enacted by Ch. 1 L. 2005, as amended by Ch. 596 L. 2005, effective January 1, 2006, regulate lobbying on government procurement, including procurements by State University to obtain commodities and services and to undertake real estate transactions.

Generally, the law restricts communications between a potential vendor or a person acting on behalf of the vendor, including its lobbyist, to communications with the officers and employees of the procuring agency designated in each solicitation to receive such communications. Further, the law prohibits a communication (a "Contact") which a reasonable person would infer as an attempt to unduly influence the award, denial or amendment of a contract. These restrictions apply to each contract in excess of \$15,000 during the "restricted period" (the time commencing with the earliest written notice of the proposed procurement and ending with the later of approval of the final contract by the agency, or, if applicable, the State Comptroller). The agency must record all Contacts, and, generally, must deny an award of contract to a vendor involved in a knowing and willful Contact. Each agency must develop guidelines and procedures regarding Contacts and procedures for the reporting and investigation of Contacts. The agency's procurement record must demonstrate compliance with these new requirements.

Accordingly, neither a potential vendor nor a person acting on behalf of the vendor should contact any individual at State University other than the person designated in this solicitation as State University's Designated Contact, nor attempt to unduly influence award of the contract. State University will make a record of all Contacts, and such records of Contact will become part of the procurement record for this solicitation. A determination that a vendor or a person acting on behalf of the vendor has made intentionally a Contact or provided inaccurate or incomplete information as to its past compliance with State Finance Law §§139-j and 139-k is likely to result in denial of the award of contract under this solicitation. Additional sanctions may apply.

The University's Procedures are available at:
http://www.suny.info/policies/groups/public/documents/policies/pub_suny_pp_039630.htm

Please complete the following:

- As defined in State Finance Law §§ 139-j (1)(a), has a governmental agency made a determination of non-responsibility with respect to the Offeror within the previous four years where such a finding was due to a violation of State Finance Law §§ 139-j or the intentional provision of false or incomplete information with respect to previous determinations of non-responsibility? NO YES If yes, attach explanation
- Has a governmental entity terminated or withheld a procurement contract with the Offeror because of violations of State Finance Law §§ 139-j or the intentional provision of false or incomplete information with respect to previous determinations of non-responsibility? NO YES If yes, attach explanation

CERTIFICATION:

By signing below the Bidder affirms and certifies that it: (1) has reviewed and understands the Policy and Procedure of SUNY, related to SFL §§ 139-j and 139-k, (2) agrees to comply with SUNY's procedure relating to Contacts with respect to this procurement, and (3) has provided information that is complete, true, and accurate with respect to SFL §§ 139-j and 139-k. Bidder understands that SUNY reserves the right to terminate any resulting contract in the event it is found that the certification filed by the Bidder in accordance State Finance Law §§139-j and 139-k was intentionally false or intentionally incomplete. Upon such finding, SUNY may exercise its termination right by providing written notification to the Bidder in accordance with the written notification terms of the contract.

Firms Name and Address:	
FEIN #:	
Telephone Number: () -	

Fax Number: (____) ____-____	
Email Address:	
Bidder's Name and Title:	
Bidder's Signature:	
Date:	

Attachment 4: Non-Collusive Bidding Certification

By Submission Of This Bid, Bidder And Each Person Signing On Behalf Of Bidder Certifies, And In The Case Of Joint Bid, Each Party Thereto Certifies As To Its Own Organization, Under Penalty Of Perjury, That To The Best Of His/Her Knowledge And Belief:

1. The prices of this bid have been arrived at independently, without collusion, consultation, communication, or agreement, for the purposes 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.

A Bid Shall Not Be Considered For Award Nor Shall Any Award Be Made Where [1], [2], [3] Above Have Not Been Complied With; Provided However, That If In Any Case The Bidder(S) Cannot Make The Foregoing Certification, The Bidder Shall So State And Shall Furnish Below A Signed Statement Which Sets Forth In Detail The Reasons Therefore:

[AFFIX ADDENDUM TO THIS PAGE IF SPACE IS REQUIRED FOR STATEMENT.]

Subscribed to under penalty of perjury under the laws of the State of New York, this _____ day of _____, 20____ as the act and deed of said corporation of partnership.

**IF BIDDER(S) (ARE) A PARTNERSHIP, COMPLETE THE FOLLOWING:
NAMES OF PARTNERS OR PRINCIPALS LEGAL RESIDENCE**

_____	_____
_____	_____
_____	_____
_____	_____

IF BIDDER(S) (ARE) A CORPORATION, COMPLETE THE FOLLOWING:

NAME LEGAL RESIDENCE

President:

Secretary:

Treasurer:

President:

Secretary:

Treasurer

Identifying Data

Potential Contractor	
Address	
Telephone	
Name of Responsible Corporate Officer	
Title of Responsible Corporate Officer	
Signature:	

Joint or combined bids by companies or firms must be certified on behalf of each participant.

 Legal name of person, firm or corporation

 Legal name of person, firm or corporation

By _____

By _____

Name:

Name:

Title:

Title:

Address:

Address:

EXHIBIT A: State University of New York Standard Contract Clauses

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

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

2. PROHIBITION AGAINST ASSIGNMENT

Except for the assignment of its right to receive payments subject to Article 5-A of the State Finance Law, the Contractor selected to perform the services herein are prohibited in accordance with Section 138 of the State Finance Law from assigning, transferring, conveying, subletting or otherwise disposing of its rights, title or interest in the contract without the prior written consent of SUNY and attempts to do so are null and void. Notwithstanding the foregoing, SUNY may, with the concurrence of the New York Office of State Comptroller, waive prior written consent of the assignment, transfer, conveyance, sublease or other disposition of a contract let pursuant to Article XI of the State Finance Law if the assignment, transfer, conveyance, sublease or other disposition is due to a reorganization, merger or consolidation of Contractor's its business entity or enterprise and Contractor so certifies to SUNY. SUNY retains the right, as provided in Section 138 of the State Finance Law, to accept or reject an assignment, transfer, conveyance, sublease or other disposition of the contract, and to require that any Contractor demonstrate its responsibility to do business with SUNY.

3. COMPTROLLER'S APPROVAL. (a) In

accordance with Section 112 of the State Finance Law, Section 355 of New York State Education Law, and 8 NYCRR 316, Comptroller's approval is not required for the following contracts: (i) materials; (ii) equipment and supplies, including computer equipment; (iii) motor vehicles; (iv) construction; (v) construction-related services; (vi) printing; and (vii) goods for State University health care facilities, including contracts for goods made with joint or group purchasing arrangements.

(b) Comptroller's approval is required for the following contracts: (i) contracts for services not listed in Paragraph (3)(a) above made by a State University campus or health care facility certified by the Vice Chancellor and Chief Financial Officer, if the contract value exceeds \$250,000; (ii) contracts for services not listed in Paragraph (3)(a) above made by a State University campus not certified by the Vice Chancellor and Chief Financial Officer, if the contract value exceeds \$50,000; (iii) contracts for services not listed in Paragraph (3)(a) above made by health care facilities not certified by the Vice Chancellor and Chief Financial Officer, if the contract value exceeds \$75,000; (iv) contracts whereby the State University agrees to give something other than money, when the value or reasonably estimated value of such consideration exceeds \$10,000; (v) contracts for real property transactions if the contract value exceeds \$50,000; (vi) all other contracts not listed in Paragraph (3)(a) above, if the contract value exceeds \$50,000, e.g. SUNY acquisition of a business and New York State Finance Article 11-B contracts and (vii) amendments for any amount to contracts not listed in Paragraph (3)(a) above, when as so amended, the contract exceeds the threshold amounts stated in Paragraph (b) herein. 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.

(c) Any contract that requires Comptroller approval shall not be valid, effective or binding

upon the State University until it has been approved by the Comptroller and filed in the Comptroller's office.

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

5. NON-DISCRIMINATION REQUIREMENTS.

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 SUNY of any SUNY-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 on the submission of competitive bids, Contractor affirms, under penalty of perjury, and each person signing on behalf of Contractor, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that 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 it to SUNY a non-collusive bidding certification on Contractor's behalf.

8. INTERNATIONAL BOYCOTT PROHIBITION.

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

9. SET-OFF RIGHTS. The State shall have all of

its common law, equitable and statutory rights of set-off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of set-off any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies 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, 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 SUNY and its representatives and entities 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. SUNY 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 SUNY 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, SUNY's or the State's right to discovery in any pending or future litigation.

11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION.

Identification Number(s). Every invoice or New York State Claim for Payment submitted to the State University of New York 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 University of New York 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 State University of New York 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.

(a) 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:

(1) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, and will undertake or

continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(2) at SUNY's request, 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

(3) 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.

(b) Contractor will include the provisions of "1", "2" and "3", 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 sub-contractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. SUNY 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, SUNY 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 Exhibit A, the terms of this Exhibit 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 State Finance Law §165 (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 Section 165 of the State Finance Law. Any such use must meet with the approval of the State, otherwise, the bid may not be considered responsive. Under bidder certification, 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 Contractor and any individual or legal entity in which the Contractor holds a ten percent or greater ownership interest and any individual or legal entity that holds a ten percent or greater ownership interest in the Contractor either (a) have no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165(5) of the 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
30 South Pearl St., 7th Floor
Albany, NY 12245
Tel: 518-292-5100
Fax: 518-292-5884
email: 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
<https://ny.newnyccontracts.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 SUNY;

(b) The Contractor has complied with the Federal Equal Employment 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 Search 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 SUNY may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with SUNY 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 of 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. Contact the NYS Department of Economic Development, Division for Small Business, 30 South Pearl Street, Albany, New York 12245, 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, the Contractor shall timely, accurately and properly comply with the requirement to submit an annual employment report for the contract to SUNY, the Department of Civil Service and the State Comptroller.

24. PURCHASES OF APPAREL AND SPORTS EQUIPMENT. In accordance with State Finance Law Section 165(7), SUNY may determine that a bidder on a contract for the purchase of apparel or sports equipment is not a responsible bidder as defined in State Finance Law Section 163 based on (a) the labor standards applicable to the manufacture of the apparel or sports equipment, including employee compensation, working conditions, employee rights to form unions and the use of child labor; or (b) bidder's failure to provide information sufficient for SUNY to determine the labor conditions applicable to the manufacture of the apparel or sports equipment.

25. 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.

26. 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 SUNY 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 SUNY determines that such action is in the best interests of the State.

27. 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.oqs.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.

THE FOLLOWING PROVISIONS SHALL APPLY ONLY TO THOSE CONTRACTS TO WHICH A HOSPITAL OR OTHER HEALTH SERVICE FACILITY IS A PARTY

28. Notwithstanding any other provision in this contract, the hospital or other health service facility remains responsible for insuring that any service provided pursuant to this contract complies with all pertinent provisions of Federal, state and local statutes, rules and regulations. In the foregoing sentence, the word "service" shall be construed to refer to the health care service rendered by the hospital or other health service facility.

29. (a) In accordance with the 1980 Omnibus Reconciliation Act (Public Law 96-499), Contractor hereby agrees that until the expiration of four years after the furnishing of services under this agreement, Contractor shall make available upon written request to the Secretary of Health and Human Services, or upon request, to the Comptroller General of the United States or any of their duly authorized representatives, copies of this contract, books, documents and records of the Contractor that are necessary to certify the nature and extent of the costs hereunder.

(b) If Contractor carries out any of the duties of the contract hereunder, through a subcontract having a value or cost of \$10,000 or more over a twelve-month period, such subcontract shall contain a clause to the effect that, until the expiration of four years after the furnishing of such services pursuant to such subcontract, the subcontractor shall make available upon written request to the Secretary of Health and Human Services or upon request to the Comptroller General of the United States, or any of their duly authorized representatives, copies of the subcontract and books, documents and records of the subcontractor that are necessary to verify the nature and extent of the costs of such subcontract.

(c) The provisions of this section shall apply only to such contracts as are within the definition established by the Health Care Financing Administration, as may be amended or modified from time to time.

EXHIBIT A-1: State University of New York Affirmative Action Clauses

1. **DEFINITIONS.** The following terms shall be defined in accordance with Section 310 of the Executive Law:

STATE CONTRACT herein referred to as "State Contract", shall mean: (a) a written agreement or purchase order instrument, providing for a total expenditure in excess of twenty-five thousand dollars (\$25,000.00), whereby the State University of New York ("University") is committed to expend or does expend funds in return for labor, services including but not limited to legal, financial and other professional services, supplies, equipment, materials or an combination of the foregoing, to be performed for, or rendered or furnished to the University; (b) a written agreement in excess of one hundred thousand dollars (\$100,000.00) whereby the University is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; and (c) a written agreement in excess of one hundred thousand dollars (\$100,000.00) whereby the University as an 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.

SUBCONTRACT herein referred to as "Subcontract", shall mean any agreement for a total expenditure in excess of \$25,000 providing for services, including non-staffing expenditures, supplies or materials of any kind between a State agency and a prime contractor, in which a portion of the prime contractor's obligation under the State contract is undertaken or assumed by a business enterprise not controlled by the prime contractor.

WOMEN-OWNED BUSINESS ENTERPRISE herein referred to as "WBE", shall mean a business enterprise, including a sole proprietorship, partnership or corporation that is: (a) at least fifty-one percent (51%) owned by one or more United States citizens or permanent resident aliens who are women; (b) an enterprise in which the ownership interest of such women is real, substantial and continuing; (c) an enterprise in which such women ownership has and exercises the authority to control independently the day-to-day business decisions of the enterprise; (d) an enterprise authorized to do business in this state and independently owned and operated; (e) an enterprise owned by an individual or individuals, whose ownership, control and operation are relied upon for certification, with a personal net worth that does not exceed three million five hundred thousand dollars (\$3,500,000), as adjusted annually on the first of January for inflation according to the consumer price index of the previous year; and (f) an enterprise that is a small business pursuant to subdivision twenty of this section.

A firm owned by a minority group member who is also a woman may be certified as a minority-owned business enterprise, a

women-owned business enterprise, or both, and may be counted towards either a minority-owned business enterprise goal or a women-owned business enterprise goal, in regard to any Contract or any goal, set by an agency or authority, but such participation may not be counted towards both such goals. Such an enterprise's participation in a Contract may not be divided between the minority-owned business enterprise goal and the women-owned business enterprise goal.

MINORITY-OWNED BUSINESS ENTERPRISE herein referred to as "MBE", shall mean a business enterprise, including a sole proprietorship, partnership or corporation that is: (a) at least fifty-one percent (51%) owned by one or more minority group members; (b) an enterprise in which such minority ownership is real, substantial and continuing; (c) an enterprise in which such minority ownership has and exercises the authority to control independently the day-to-day business decisions of the enterprise; (d) an enterprise authorized to do business in this state and independently owned and operated; (e) an enterprise owned by an individual or individuals, whose ownership, control and operation are relied upon for certification, with a personal net worth that does not exceed three million five hundred thousand dollars (\$3,500,000.00), as adjusted annually on the first of January for inflation according to the consumer price index of the previous year; and (f) an enterprise that is a small business pursuant to subdivision twenty of this section.

MINORITY GROUP MEMBER shall mean a United States citizen or permanent resident alien who is and can demonstrate membership in one of the following groups: (a) Black persons having origins in any of the Black African racial groups; (b) Hispanic persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American of either Indian or Hispanic origin, regardless of race; (c) Native American or Alaskan native persons having origins in any of the original peoples of North America. (d) Asian and Pacific Islander persons having origins in any of the Far East countries, South East Asia, the Indian Subcontinent or Pacific Islands.

CERTIFIED ENTERPRISE OR BUSINESS shall mean a business verified as a minority or women-owned business enterprise pursuant to section 314 of the Executive Law. A business enterprise which has been approved by the New York Division of Minority & Women Business Development ("DMWBD") for minority or women-owned enterprise status subsequent to verification that the business enterprise is owned, operated, and controlled by minority group members or women, and that also meets the financial requirements set forth in the regulations.

2. **TERMS.** The parties to the attached State Contract agree to be bound by the following provisions which are made a part hereof (the word "Contractor" herein refers to any party other than the University:

1(a) Contractor and its Subcontractors shall undertake or continue existing programs of affirmative action to ensure that minority group

members and women are afforded equal employment opportunities without discrimination. For these purposes, affirmative action 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.

(b) Prior to the award of a State Contract, the Contractor shall submit an equal employment opportunity (EEO) policy statement to the University within the time frame established by the University.

(c) As part of the Contractor's EEO policy statement, the Contractor, as a precondition to entering into a valid and binding State Contract, shall agree to the following in the performance of the State Contract: (i) The Contractor will not discriminate against any employee or applicant for employment, will undertake or continue existing programs of affirmative action 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 on State Contracts; (ii) 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; (iii) At the request of the University 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, and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein.

(d) Except for construction contracts, prior to an award of a State Contract, the Contractor shall submit to the contracting agency a staffing plan of the anticipated work force to be utilized on the State Contract or, where required, information on the Contractor's total work force, including apprentices, broken down by specified ethnic background, gender, and Federal occupational categories or other appropriate categories specified by the contracting agency. The form of the staffing plan shall be supplied by the contracting agency. If Contractor fails to provide a staffing plan, or in the alternative, a description of its entire work force, the University may reject Contractor's bid, unless Contractor either commits to provide such information at a later date or provides a reasonable justification in writing for its failure to provide the same.

(e) After an award of a State Contract, the Contractor shall submit to the University a workforce utilization report, in a form and manner required by the agency, of the work force actually utilized on the State Contract, broken down by specified ethnic background, gender, and Federal occupational categories or other appropriate categories specified by the University.

(f) The Contractor shall include the provisions of this section in every Subcontract

in such a manner that the requirements of the provisions will be binding upon each Subcontractor as to work in connection with the State Contract, including the requirement that Subcontractors shall undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination, and, when requested, provide to the Contractor information on the ethnic background, gender, and Federal occupational categories of the employees to be utilized on the State Contract.

(g) To ensure compliance with the requirements of this paragraph, the University shall inquire of a Contractor whether the work force to be utilized in the performance of the State Contract can be separated out from the Contractor's and/or Subcontractors' total work force and where the work of the State Contract is to be performed. For Contractors who are unable to separate the portion of their work force which will be utilized for the performance of this State Contract, Contractor shall provide reports describing its entire work force by the specified ethnic background, gender, and Federal Occupational Categories, or other appropriate categories which the agency may specify.

(h) The University may require the Contractor and any Subcontractor to submit compliance reports, pursuant to the regulations relating to their operations and implementation of their affirmative action or equal employment opportunity program in effect as of the date the State Contract is executed.

(i) If a Contractor or Subcontractor does not have an existing affirmative action program, the University may provide to the Contractor or Subcontractor a model plan of an affirmative action program. Upon request, the Director of DMWBD shall provide a contracting agency with a model plan of an affirmative action program.

(j) Upon request, DMWBD shall provide the University with information on specific recruitment sources for minority group members and woman, and contracting agencies shall make such information available to Contractors

2. Contractor must provide the names, addresses and federal identification numbers of certified minority- and women-owned business enterprises which the Contractor intends to use to perform the State Contract and a description of the Contract scope of work which the Contractor intends to structure to increase the participation by Certified minority- and/or women-owned business enterprises on the State Contract, and the estimated or, if known, actual dollar amounts to be paid to and performance dates of each component of a State Contract which the Contractor intends to be performed by a certified minority- or woman-owned business enterprise. In the event the Contractor responding to University solicitation is joint venture, teaming agreement, or other similar arrangement that includes a minority- and women owned business enterprise, the Contractor must submit for review and approval: i. the name, address, telephone number and federal identification of each partner or party to the agreement; ii. the federal identification number of the joint venture or entity established to respond to the solicitation, if applicable; iii. A copy of the joint venture, teaming or other similar arrangement which describes the percentage of interest owned by each party to the agreement and the

value added by each party, iv. A copy of the mentor-protégé agreement between the parties, if applicable, and if not described in the joint venture, teaming agreement, or other similar arrangement.

3. PARTICIPATION BY MINORITY GROUP MEMBERS AND WOMEN. The University shall determine whether Contractor has made conscientious and active efforts to employ and utilize minority group members and women to perform this State Contract based upon an analysis of the following factors:

(a) Whether Contractor established and maintained a current list of recruitment sources for minority group members and women, and whether Contractor provided written notification to such recruitment sources that contractor had employment opportunities at the time such opportunities became available.

(b) Whether Contractor sent letters to recruiting sources, labor unions, or authorized representatives of workers with which contractor has a collective bargaining or other agreement or understanding requesting assistance in locating minority group members and women for employment.

(c) Whether Contractor disseminated its EEO policy by including it in any advertising in the news media, and in particular, in minority and women news media.

(d) Whether Contractor has attempted to provide information concerning its EEO policy to Subcontractors with which it does business or had anticipated doing business.

(e) Whether internal procedures exist for, at a minimum, annual dissemination of the EEO policy to employees, specifically to employees having any responsibility for hiring, assignment, layoff, termination, or other employment decisions. Such dissemination may occur through distribution of employee policy manuals and handbooks, annual reports, staff meetings and public postings.

(f) Whether Contractor encourages and utilizes minority group members and women employees to assist in recruiting other employees.

(g) Whether Contractor has apprentice training programs approved by the N.Y.S. Department of Labor which provides for training and hiring of minority group members and women.

(h) Whether the terms of this section have been incorporated into each Subcontract which is entered into by the Contractor.

4. PARTICIPATION BY MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES. Based upon an analysis of the following factors, the University shall determine whether Contractor has made good faith efforts to provide for meaningful participation by minority-owned and women-owned business enterprises which have been certified by DMWBD:

(a) Whether Contractor has actively solicited bids for Subcontracts from qualified M/WBEs, including those firms listed on the Directory of Certified Minority and Women-Owned Business Enterprises, and has documented its good faith efforts towards meeting minority and women owned business enterprise utilization plans by providing, copies of solicitations, copies of any advertisements for participation by certified minority- and women-owned business enterprises timely published in appropriate

general circulation, trade and minority- or women-oriented publications, together with the listing(s) and date(s) of the publications of such advertisements; dates of attendance at any pre-bid, pre-award, or other meetings, if any, scheduled by the University, with certified minority- and women-owned business enterprises, and the reasons why any such firm was not selected to participate on the project.

(b) Whether Contractor has attempted to make project plans and specifications available to firms who are not members of associations with plan rooms and reduce fees for firms who are disadvantaged.

(c) Whether Contractor has utilized the services of organizations which provide technical assistance in connection with M/WBE participation.

(d) Whether Contractor has structured its Subcontracts so that opportunities exist to complete smaller portions of work.

(e) Whether Contractor has encouraged the formation of joint ventures, partnerships, or other similar arrangements among Subcontractors.

(f) Whether Contractor has requested the services of the Department of Economic Development (DED) to assist Subcontractors' efforts to satisfy bonding requirement.

(g) Whether Contractor has made progress payments promptly to its Subcontractors.

(h) Whether the terms of this section have been incorporated into each Subcontract which is entered into by the Contractor. It shall be the responsibility of Contractor to ensure compliance by every Subcontractor with these provisions.

5. GOALS. (a) GOALS FOR MINORITY AND WOMEN WORK FORCE PARTICIPATION.

(i) The University shall include relevant work force availability data, which is provided by the DMWBD, in all documents which solicit bids for State Contracts and shall make efforts to assist Contractors in utilizing such data to determine expected levels of participation for minority group members and women on State Contracts.

(ii) Contractor shall exert good faith efforts to achieve such goals for minority and women's participation. To successfully achieve such goals, the employment of minority group members and women by Contractor must be substantially uniform during the entire term of this State Contract. In addition, Contractor should not participate in the transfer of employees from one employer or project to another for the sole purpose of achieving goals for minority and women's participation.

(b) GOALS FOR MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES PARTICIPATION.

For all State Contracts in excess of \$25,000.00 whereby the University is committed to expend or does expend funds in return for labor, services including but not limited to legal, financial and other professional services, supplies, equipment, materials or a combination of the foregoing or all State Contracts in excess of \$100,000.00 whereby the University is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon, Contractor shall exert good faith efforts to

achieve a participation goal of _____ percent (____%) for Certified Minority-Owned Business Enterprises and _____ percent (____%) for Certified Women-Owned Business Enterprises.

6. ENFORCEMENT. The University will be responsible for enforcement of each Contractor's compliance with these provisions. Contractor, and each Subcontractor, shall permit the University access to its books, records and accounts for the purpose of investigating and determining whether Contractor or Subcontractor is in compliance with the requirements of Article 15-A of the Executive Law. If the University determines that a Contractor or Subcontractor may not be in compliance with these provisions, the University may make every reasonable effort to resolve the issue and assist the Contractor or Subcontractor in its efforts to comply with these provisions. If the University is unable to

resolve the issue of noncompliance, the University may file a complaint with the DMWBD.

7. DAMAGES FOR NON COMPLIANCE.

Where the University 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 liquidated damages to the University. Such liquidated damages shall be calculated as an amount equaling the difference between:

a. All sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and

b. All sums actually paid to MWBEs for work performed or materials supplied under the Contract.

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 University, Contractor shall pay such liquidated damages to the University within sixty (60) days after such damages are assessed, 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 University.

APPENDIX 1

ICD10 APPLICATION READINESS SYSTEM DOCUMENT

APPENDIX 1



Category	Application	Vendor	Function	DMC Release	ICD-10 Release	Vendor Current Release	Release needed by end of 2015	ICD10 Ready
Phase I								
Clinical Patient Management	Health Information System (3M) – Coding, Classification & Reimbursement System	3M	Electronic coding, reference and reimbursement system	7.2.1.24				Y
Clinical Patient Management	Chartlink	3M	Part of 3M HIS	7.2.1.24				Y
Revenue Cycle	Eagle2000	Siemens	Financial management and patient accounting computer software.	6.1.52		6.1.53		Y
Finance/Administration/ERP	Accupac	Siemens	Managed Care Calculation Program This is part of the EAGLE product					Y
Revenue Cycle	EMEVS	Siemens	Electronic Medicaid Eligibility Verification System. This is part of the EAGLE product	6.1.52		6.1.53		Y
Revenue Cycle	ePremis/Relay/McKesson	Emdeon	Revenue and payment cycle management and clinical information exchange solutions, connecting payers, providers and patients	5		5	5	Y
Clinical Patient Management	HealthBridge	Allscripts	Inpatient EMR (Allscripts Sunrise Clinical Manager)	6.1	6.1			N
Clinical Patient Management	Allscripts Enterprise Patient Index (EPI)	Allscripts	Enterprise Master Patient Index	6.1	6.1			N
Clinical Patient Management	Pharmacy	Allscripts	Pharmacy Management System					
Clinical Patient Management	T-System (ED System)	T-System	ED documentation and coding system (EMR)	4.1.2.10 SP2	4.1.2.10 SP2	4.1.2.10	4.1.2.10 SP3	Y

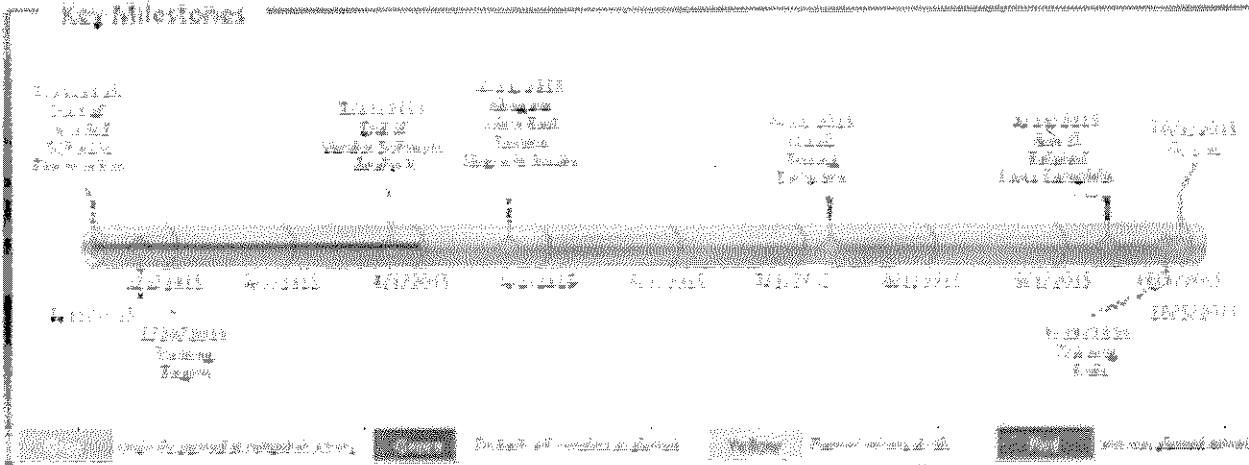
Appendix 1

Phase II								
Clinical Patient Management	PACS / RIS	FUJI	PACS: Pictorial Archive, RIS: Radiology Information System - Go-live scheduled for June 2015	6.3.1.12	6.3.3	6.3.3		N
Clinical Patient Management	Endo Works	Olympus	Endoscopy Information Management Solution	7.4.42 patch 19 KB 16	7.4.42 patch 23 KB 23			N
Clinical Patient Management	PACS / RIS	FUJI	PACS: Pictorial Archive, RIS: Radiology Information System	6.3.1.12	6.3.3	6.3.3		N
Clinical Patient Management	General Electric (GE) Centricity	GE	Cardiology EMR - Upgrade currently in process with go-live date of June 2015	4.207	4.213	4.215		N
Clinical Patient Management	General Electric (GE) MUSE	GE	Cardiology PACs - Upgrade currently in process with go-live date of June 2015	4.207	4.213	4.215		N
Clinical Patient Management	Office Practicum	Connexin Software	Star Clinic Patient Registration/EMR System - Being migrated to HealthBridge	8.1	OP14			N
Physician Systems	TransChart	TransChart, Inc.	Streamlines getting data into and out of EMR, lab systems and program reports. Manage complex workflows, and supports increasingly detailed needs for quality reporting and program analysis.					Y
Clinical Patient Management	Cerner Laboratory Information Systems (LIS)	Cerner	Lab orders and resolving system	2012.01.06				Y
Clinical Patient Management	CoPath	Cerner	Pathology order and resulting system	2012.1.1.18 7				Y
Clinical Patient Management	MOSIAQ IMPAC	ELEKTRA	Patient information management system that centralizes radiation oncology, particle therapy and medical oncology patient data into a single user interface	2.0.0U6				Y
Clinical Patient Management	ORSOS	McKesson	Operating Room Scheduling System	2.6.0.4				Y
Clinical Patient Management	Epilepsy	Natus	Contract for upgrade to latest version and hardware signed 3-15					
Clinical Patient Management	ObTraceVue	Philips	Fetal Monitoring System - Upgrade contract in negotiation	F.00.13 Sp2	n/a			n/a



Status Report

Project Name

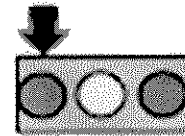


Project Description:
 Narrative Describing Project

Recent Accomplishments:
 Narrative describing project accomplishments

Upcoming Key Activities:
 Narrative describing upcoming activities

Overall Project Status As of
 March 2015, 2015



Key Risks and Issues:
 • No risks to report

Required Decisions and Guidance:
 Agency Stakeholder Review and Approval

Project Status is Green
 • On Live scheduled for 10/1/15

COST PROPOSAL FORM

5 PAGES



Cost Proposal Form

Procurement# RFP 15-13 Title: ICD10 Implementation:
Testing/Assistance

Vendor must complete and include this sheet with its response to this procurement. Attach additional sheets as necessary.

Company Name: _____ Point of Contact: _____
Street Address: _____ eMail Address: _____
City/State/Zip: _____ Telephone Number: _____
Fax Number: _____

Instructions: Vendor shall indicate below its proposed *not to exceed cost* for implementing its proposed Program in the manner described in this procurement and in accordance with the terms of its Proposal (including, but not limited to using the proposed staff).

Please complete the Bidders Cost Proposal Spreadsheet. Print out the entire document and attach to this Bidder Certification Form, and sign below.

CERTIFICATION: By submission of this proposal, the proposer and any person signing on its behalf (in case of joint proposals, each party thereto) hereby certifies under penalty of perjury, that to the best of his or her knowledge and belief:

1. The prices in this proposal 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 proposer, bidder or with any competitor;
2. Unless otherwise required by law, the prices which have been quoted in this proposal have not been knowingly disclosed by the proposer and will not knowingly be disclosed by the proposer prior to opening, directly or indirectly, to any other proposer, bidder or to any competitor;
3. No attempt has been made or will be made by the proposer to induce any other person, partnership or corporation to submit or not to submit a proposal for the purpose of restricting competition.
4. The attached State University of New York standard contract clauses contained in Exhibit "A" and Exhibit "A-1" are made a part of this RFP and by submitting this proposal the proposer accepts the terms contained therein.

By:

(Proposer's Officer Signature) (Officer's Printed Name) (Officer's Title) (Date)

COST PROPOSALS MUST BE SUBMITTED IN SEPARATE SEALED PACKAGES CLEARLY LABELED ON THE EXTERIOR WITH THE RFP NUMBER, TITLE, PHASE NUMBER.

COST PROPOSAL MATRIX FOR PHASE I BID

Name of Vendor: _____

PHASE I. Assessment

Vendor shall perform the Phase I services in accordance with the terms hereof, for at the below rates. Please provide the title for each resource in the corresponding box.

	Proposed Hourly Rate	Estimated Work Effort (hrs)	Estimated Expenses (travel & meal)	Compensation Cap for duration of Phase I.
Resource 1				
Resource 2				
Resource 3				
Resource 4				
Resource 5				
Resource 6				
Resource 7				

* Should additional resources be required, please supply additional pages listing said resources' title, hourly rate, estimated work effort, estimated expenses, and compensation cap.

Total Compensation for Services: _____

Total Estimated Expenses: _____

GRAND TOTAL ("not-to-exceed"): _____

COST PROPOSAL MATRIX FOR PHASE I BID

Name of Vendor: _____

PHASE II. Remediation, Segment 1

Vendor shall perform the Phase II services in accordance with the terms hereof, for at the below rates. Please provide the title for each resource in the corresponding box.

	Proposed Hourly Rate	Estimated Work Effort (hrs)	Estimated Expenses (travel & meal)	Compensation Cap for duration of Phase I.
Resource 1				
Resource 2				
Resource 3				
Resource 4				
Resource 5				
Resource 6				
Resource 7				

* Should additional resources be required, please supply additional pages listing said resources' title, hourly rate, estimated work effort, estimated expenses, and compensation cap.

Total Compensation for Services: _____

Total Estimated Expenses: _____

GRAND TOTAL ("not-to-exceed"): _____

COST PROPOSAL MATRIX FOR PHASE I BID

Name of Vendor: _____

PHASE II. Remediation, Segment 2

Vendor shall perform the Phase II services in accordance with the terms hereof, for at the below rates. Please provide the title for each resource in the corresponding box.

	Proposed Hourly Rate	Estimated Work Effort (hrs)	Estimated Expenses (travel & meal)	Compensation Cap for duration of Phase I.
Resource 1				
Resource 2				
Resource 3				
Resource 4				
Resource 5				
Resource 6				
Resource 7				

* Should additional resources be required, please supply additional pages listing said resources' title, hourly rate, estimated work effort, estimated expenses, and compensation cap.

Total Compensation for Services: _____

Total Estimated Expenses: _____

GRAND TOTAL ("not-to-exceed"): _____

COST PROPOSAL MATRIX FOR PHASE I BID

Name of Vendor: _____

PHASE II. Remediation, Segment 3

Vendor shall perform the Phase II services in accordance with the terms hereof, for at the below rates. Please provide the title for each resource in the corresponding box.

	Proposed Hourly Rate	Estimated Work Effort (hrs)	Estimated Expenses (travel & meal)	Compensation Cap for duration of Phase I.
Resource 1				
Resource 2				
Resource 3				
Resource 4				
Resource 5				
Resource 6				
Resource 7				

* Should additional resources be required, please supply additional pages listing said resources' title, hourly rate, estimated work effort, estimated expenses, and compensation cap.

Total Compensation for Services: _____

Total Estimated Expenses: _____

GRAND TOTAL ("not-to-exceed"): _____

ATTACHMENTS:

BAA – 6 Pages

DRA - 4 Pages

Travel Policy – 6 Pages

Bid/Proposal Vendor Initial Response Form – 1 Page

SUNY DOWNSTATE MEDICAL CENTER BUSINESS ASSOCIATE AGREEMENT

THIS BUSINESS ASSOCIATE AGREEMENT is made by and between THE STATE UNIVERSITY OF NEW YORK ("SUNY"), an educational corporation organized and existing under the laws of the State of New York, having its principal offices located at State University Plaza, Albany, New York 12246, acting for and on behalf of

SUNY DOWNSTATE MEDICAL CENTER
"Covered Entity"

with its address at:

**450 Clarkson Avenue
Brooklyn, NY 11203**

Re. Contract Number/Purchase Order Number: _____

and

"Business Associate"

with its principal offices at

Street Address

City State Zip

Facsimile Number: _____

Covered Entity and Business Associate, collectively, may hereinafter be referred to as the "Parties," as in the parties to this Agreement.

The Parties have entered into one or more certain agreements (each and together, the "Underlying Agreement") under which the Business Associate uses and/or discloses PHI in its performance of the Services described below. The Parties are committed to complying with the Standards for Privacy of Individually Identifiable Health Information (the "Privacy Rule") and the Standards for Security of Electronic Protected Health Information (the "Security Rule") under the Health Insurance Portability and Accountability Act of 1996 ("HIPAA") including the 2013 HIPAA Omnibus Rule. This Agreement, in conjunction with the Privacy and Security Rules, sets forth the terms and conditions pursuant to which PHI (electronic and non-electronic) that is created, received, maintained, or transmitted by, the Business Associate from or on behalf of Covered Entity, will be handled between the Business Associate and Covered Entity and with third parties during the term of their Underlying Agreement and after its termination. The Parties agree as follows:

1. PERMITTED USES AND DISCLOSURES OF PHI

1.1 **Services.** Pursuant to the Underlying Agreement, Business Associate provides services ("Services") for Covered Entity that involve the use and disclosure of PHI. Except as otherwise specified herein,

the Business Associate may make any and all uses of PHI necessary to perform its obligations under the Underlying Agreement. All other uses not authorized by this Agreement are prohibited. Moreover, Business Associate may disclose PHI for the purposes authorized by this Agreement only: (a) to its employees, subcontractors and agents, in accordance with Section 2.1(d), or (b) as otherwise permitted by or as required by the Privacy or Security Rule.

1.2 **Business Activities of the Business Associate.** Unless otherwise limited herein and if such use or disclosure of PHI would not violate the Privacy or Security Rules if done by the Covered Entity, the Business Associate may:

- (a) use the PHI in its possession for its proper management and administration and to fulfill any present or future legal responsibilities of the Business Associate provided that such uses are permitted under state and federal confidentiality laws.
- (b) disclose the PHI in its possession to third parties for the purpose of its proper management and administration or to fulfill any present or future legal responsibilities of the Business Associate, provided that the Business Associate represents to Covered Entity, in writing, that (i) the disclosures are required by law, as provided for in 45 CFR § 103 or (ii) the Business Associate has received from the third party written assurances regarding its confidential handling of such PHI as required under 45 CFR § 164.504(e)(4) and § 164.314, and the third party notifies the Business Associate of any instances of which it is aware in which the confidentiality of the information has been breached.
- (c) Business Associate may provide data aggregation services relating to the health care operations of the Covered Entity.

1.3 Business Associate understands and agrees that its access to Protected Health Information stored in databases and information systems at the Covered Entity is subject to review and audit by the Covered Entity or agents of the State of New York at any time, that remote audits of such access may occur at any time, if remote access exists, that on-site audits of such access will be conducted during regular business hours, and that any review or audit may occur with or without prior notice by the Covered Entity.

2. RESPONSIBILITIES OF THE PARTIES WITH RESPECT TO PHI

2.1 **Responsibilities of the Business Associate.** With regard to its use and/or disclosure of PHI, the Business Associate hereby agrees to do the following:

- (a) Not use or disclose PHI other than as permitted or required by the Agreement or as required by law;

- (b) Use appropriate safeguards, and comply with Subpart C of 45 CFR Part 164 with respect to electronic PHI, to prevent use or disclosure of PHI other than as provided for by the Agreement;
- (c) Report, in writing, to Covered Entity within five (5) business days any use or disclosure of PHI not provided for by the Agreement of which it becomes aware, including breaches of unsecured PHI as required at 45 CFR 164.410, and any security incident of which it becomes aware, and cooperate with the Covered Entity in any mitigation or breach reporting efforts; this notice shall be deemed sufficient if it is delivered to the Parties at their respective addresses listed above and the Privacy Officer using the following contact information:

**SUNY Downstate Medical Center
Office of Compliance & Audit Services
Attn: Privacy Officer
450 Clarkson Ave., Box 1248
Brooklyn, NY 11203**

**Telephone Number: (718) 270 - 4033
Facsimile Number: (718) 270 - 4312
(Please confirm receipt)**

- (d) In accordance with 45 CFR 164.502(e)(1)(ii) and 164.308(b)(2), if applicable, to ensure that any subcontractors that create, receive, maintain, or transmit PHI on behalf of the Business Associate agree to the same restrictions, conditions, and requirements that apply to the Business Associate with respect to such information;
- (e) Except as provided in this subsection, ensure that any agent or subcontractor to whom the Business Associate provides PHI, as well as Business Associate, shall not export PHI beyond the borders of the United States of America. If the Business Associate or its agent or subcontractor exports PHI beyond the borders of the United States of America, then, subject to the United States and New York State export control and foreign outsourcing laws, rules and regulations, the Business Associate will provide to Covered Entity prior to such export, a reasonable assurance, evidenced in writing, that the Business Associate, subcontractor, or agent will comply with the privacy and security obligations of Business Associate the set forth either in this Agreement or in applicable law, rules and regulations with respect to such PHI.
- (f) Agrees to provide the Covered Entity, at the Covered Entity's request, a list of all agents and subcontractors that create, receive, maintain, or transmit PHI on behalf of Business Associate.
- (g) Within five (5) business days of a request from Covered Entity, make available PHI in a designated record set, if applicable, to Covered Entity, as necessary to satisfy Covered Entity's obligations under 45 CFR 164.524.

- (h) Within five (5) business days of a request from Covered Entity, make any amendment(s) to PHI, if applicable, in a designated record set as directed or agreed to by the Covered Entity pursuant to 45 CFR 164.526, or take other measures as necessary to satisfy Covered Entity's obligations under 45 CFR 164.526.
- (i) As applicable, maintain and make available the information required to provide an accounting of disclosures as necessary to satisfy Covered Entity's obligations under 45 CFR 164.528.
- (j) To the extent Business Associate is to carry out one or more of Covered Entity's obligation(s) under Subpart E of 45 CFR Part 164, comply with the requirements of Subpart E that apply to the Covered Entity in the performance of such obligation(s).
- (k) Upon request, may make its internal practices, books, and records available to the Secretary and to the Covered Entity for purposes of determining compliance with the HIPAA Rules.
- (l) Comply with minimum necessary requirements under the HIPAA Rules.

2.2 Business Associate hereby acknowledges and agrees that Covered Entity has notified Business Associate that Business Associate is required to comply with the confidentiality, Disclosure and re-Disclosure requirements of 10 NYCRR Part 63 to the extent such requirements may be applicable.

2.3 If, in the performance of the Services, Business Associate extends, renews, or continues credit to patients or regularly allows patients to defer payment for services including setting up payment plans in connection with one or more covered accounts, as defined at 15 USC 1681m(e)(4), the Business Associate must comply with the Federal Trade Commission's "Red Flag" Rules, if applicable, or develop and implement a written identity theft prevention program designed to identify, detect, mitigate and respond to suspicious activities that could indicate that identity theft has occurred in the Business Associate practice or business.

2.4 Business Associate acknowledges that if Business Associate or any of its agents or subcontractors violate any Security provision as Required By Law specified in subparagraph 2.1(b) above, sections 1176 and 1177 of the Social Security Act 42 USC §1320d-5, 1320d-6 shall apply to Business Associate with respect to such violation in the same manner that such sections apply to Covered Entity if it violates such Security provision, thus resulting in civil or criminal penalties.

2.5 Covered Entity and Business Associate recognize that unsecured PHI may contain the social security numbers, financial account information or driver's license number or non-driver identification card number ("private information" as defined in the New York State Information Security Breach and Notification Act, as amended ("ISBNA"), General Business Law § 889-aa; State Technology Law § 208). Subject to the issue of

interim final regulations by the Secretary and any periodic updates thereof all of which are incorporated by reference in this Agreement, in the event of a Breach of unsecured PHI containing an Individual's private information, Business Associate shall, in addition to notifying Covered Entity as required under in subparagraph 2.1(c), comply with the provisions of the New York State ISBNA. Business Associate shall be liable for the costs associated with such Breach if caused by the Business Associate's negligent or willful acts or omissions, or the negligent or willful acts or omissions of Business Associate's agents, officers, employees or subcontractors.

3. RESPONSIBILITIES OF COVERED ENTITY.

3.1 With regard to the use and/or disclosure of PHI by the Business Associate, Covered Entity hereby agrees:

- (a) to inform the Business Associate of any limitations in the form of notice of privacy practices that Covered Entity provides to individuals pursuant to 45 CFR §164.520, to the extent that such limitation may affect Business Associate's use or disclosure of PHI.
- (b) to inform the Business Associate of any changes in, or revocation of, the permission by an individual to use or disclose PHI, to the extent that such limitation may affect Business Associate's use or disclosure of PHI.
- (c) to notify the Business Associate, in writing and in a timely manner, of any restriction on the use or disclosure of PHI that Covered Entity has agreed to or is required to abide by under 45 CFR 164.522, to the extent that such restriction may impact in any manner the use and/or disclosure of PHI by the Business Associate under this Agreement, except if the Business Associate will use or disclose PHI for (and the Underlying Agreement includes provisions for) data aggregation or management and administration and legal responsibilities of the Business Associate.
- (d) Covered Entity will not request Business Associate to use or disclose PHI in any manner that would not be permissible under the Privacy and Security Rule if done by the Covered Entity.

4. REPRESENTATIONS AND WARRANTIES

4.1 Mutual Representations and Warranties of the Parties. Each Party represents and warrants to the other Party:

- (a) that it is duly organized, validly existing, and in good standing under the laws of the jurisdiction in which it is organized or licensed, it has the full power to enter into this Agreement and to perform its obligations hereunder, and that the performance by it of its obligations under this Agreement have been duly authorized by all necessary corporate or other actions and will not violate any provision of any license, corporate charter or bylaws.
- (b) that neither the execution of this Agreement, nor its performance hereunder, will directly or indirectly violate or interfere with the terms of another

agreement to which it is a party, or give any governmental entity the right to suspend, terminate, or modify any of its governmental authorizations or assets required for its performance hereunder. Each Party represents and warrants to the other Party that it will not enter into any agreement the execution and/or performance of which would violate or interfere with this Agreement.

- (c) that it is not currently the subject of a voluntary or involuntary petition in bankruptcy, does not currently contemplate filing any such voluntary petition, and is not aware of any claim for the filing of an involuntary petition.
- (d) that all of its employees and members of its workforce, whose services may be used to fulfill obligations under this Agreement are or shall be appropriately informed of the terms of this Agreement and are under legal obligation to each Party, respectively, by contract or otherwise, sufficient to enable each Party to fully comply with all provisions of this Agreement including, without limitation, the requirement that modifications or limitations that Business Associate has agreed to adhere to with regards to the use and disclosure of PHI of any individual that materially affects and/or limits the uses and disclosures that are otherwise permitted under the Standard will be communicated to the Business Associate, in writing, and in a timely fashion.
- (e) that it will reasonably cooperate with the other Party in the performance of the mutual obligations under this Agreement.
- (f) that neither the Party, nor its shareholders, members, directors, officers, agents, employees or members of its workforce have been excluded or served a notice of exclusion or have been served with a notice of proposed exclusion, or have committed any acts which are cause for exclusion, from participation in, or had any sanctions, or civil or criminal penalties imposed under, any federal or state healthcare program, including but not limited to Medicare or Medicaid, or have been convicted, under federal or state law (including without limitation a plea of nolo contendere or participation in a first offender deferred adjudication or other arrangement whereby a judgment of conviction has been withheld), of a criminal offense related to (i) the neglect or abuse of a patient, (ii) the delivery of an item or service, including the performance of management or administrative services related to the delivery of an item or service, under a federal or state healthcare program, (iii) fraud, theft, embezzlement, breach of fiduciary responsibility, or other financial misconduct in connection with the delivery of a healthcare item or service or with respect to any act or omission in any program operated by or financed in whole or in part by any federal, state or local government agency, (iv) the unlawful, manufacture, distribution, prescription or dispensing of a controlled substance, or (v) interference with or obstruction of any investigation into any criminal offense.

4.2 Each Party further agrees to notify the other Party immediately after the Party becomes aware that any of the foregoing representation and warranties may be inaccurate or may become incorrect at any time during the term of this Agreement.

5. TERMS AND TERMINATION

5.1 **Term.** The Term of this Agreement shall commence on the Effective Date, and shall terminate on the termination date of the relevant Underlying Agreement or on the date Covered Entity terminates this Agreement for cause as authorized in paragraph 5.2 of this Section, whichever is sooner.

5.2 **Termination for Cause.** Business Associate authorizes termination of this Agreement by Covered Entity, if Covered Entity determines Business Associate has violated a material term of the Agreement and Business Associate has not cured the breach or ended the violation within the time specified by Covered Entity.

5.3 **Obligations of Business Associate upon Termination.** Business Associate agrees to return or destroy all PHI pursuant to 45 CFR § 164.504(e)(2)(i). Prior to doing so, the Business Associate further agrees to recover any PHI in the possession of its subcontractors or agents. If it is not feasible for the Business Associate to return or destroy said PHI, the Business Associate will notify Covered Entity in writing and the Covered Entity may disagree with the Business Associate's determination. Said notification shall include: (a) a statement that the Business Associate has determined that it is not feasible to return or destroy the PHI in its possession, and (b) the specific reasons for such determination. Business Associate further agrees to extend any and all protections, limitations and restrictions contained in this Agreement to the Business Associate's use and/or disclosure of any PHI retained after the termination of this Agreement, and to limit any further uses and/or disclosures to the purposes that make the return or destruction of the PHI infeasible. If it is infeasible for the Business Associate to obtain from a subcontractor or agent any PHI in the possession of the subcontractor or agent, the Business Associate must provide a written explanation to Covered Entity and require such subcontractor or agent to agree to extend any and all protections, limitations and restrictions contained in this Agreement to the subcontractor's and/or agent's use and/or disclosure of any PHI retained after the termination of this Agreement, and to limit any further uses and/or disclosures to the purposes that make the return or destruction of the PHI infeasible.

5.4 **Automatic Termination.** This Agreement will automatically terminate without any further action of the Parties upon the termination or expiration of the Underlying Agreement.

6. CONFIDENTIALITY

6.1 **Confidentiality Obligations.** In the course of performing under this Agreement, each Party may receive, be exposed to or acquire the Confidential Information including but not limited to, all information, data, reports,

records, summaries, tables and studies, whether written or oral, fixed in hard copy or contained in any computer data base or computer readable form, as well as any information identified as confidential ("Confidential Information") of the other Party. For purposes of this Agreement, "Confidential Information" shall not include PHI, the security of which is the subject of this Agreement and is provided for elsewhere. The Parties including their employees, agents, representatives and subcontractors: (a) shall not disclose to any third party the Confidential Information of the other Party except as otherwise permitted by this Agreement, (b) only permit use of such Confidential Information by employees, agents, representatives and subcontractors having a need to know in connection with performance under this Agreement, and (c) advise each of their employees, agents, representatives and subcontractors of their obligations to keep such Confidential Information confidential. Notwithstanding anything to the contrary herein, each Party shall be free to use, for its own business purposes, any ideas, suggestions, concepts, know-how or techniques contained in information received from each other that directly relates to the performance under this Agreement. This provision shall not apply to Confidential Information: (d) after it becomes publicly available through no fault of either Party; (e) which is later publicly released by either Party in writing; (f) which is lawfully obtained from third parties without restriction; or (g) which can be shown to be previously known or developed by either Party independently of the other Party.

7. INSURANCE AND INDEMNIFICATION

7.1 **Insurance.** Business Associate will procure and maintain in effect during the term of this Agreement: (a) general liability insurance coverage with minimum limits of \$1 million per occurrence and \$3 million aggregate; and (b) as applicable, professional liability insurance coverage within minimum limits of \$1 million per occurrence and \$3 million in aggregate; and (c) workers' compensation insurance coverage within statutory limits of state law in which Business Associate is located. Upon request, Business Associate shall provide evidence of continuous coverage to Covered Entity.

7.2 **Indemnification.** The Business Associate agrees to indemnify, defend and hold harmless Covered Entity and Covered Entity's employees, trustees, officers, agents and other members of its workforce from any costs, damages, expenses, judgments, losses, and attorney's fees arising from any breach of this Agreement by Business Associate or any of its agents or subcontractors, or arising from any negligent or wrongful acts or omissions of Business Associate or any of its agents or subcontractors, including failure to perform its obligations under the Privacy Rule. The Business Associate's indemnification obligation shall survive the expiration or termination of this Agreement for any reason.

8. MISCELLANEOUS

8.1 **Business Associate.** For purposes of this Agreement, Business Associate shall include the named Business Associate herein. However, in the event that the

Business Associate is otherwise a Covered Entity under the Privacy or Security Rule, that entity may appropriately designate a health care component of the entity, pursuant to 45 CFR § 164.504(a), as the Business Associate for purposes of this Agreement.

8.2 Survival. The respective rights and obligations of Business Associate and Covered Entity under this Agreement, shall survive termination of this Agreement indefinitely.

8.3 Amendments; Waiver. This Agreement may not be modified, nor shall any provision hereof be waived or amended, except in a writing duly signed by authorized representatives of the Parties. A waiver with respect to one event shall not be construed as continuing, or as a bar to or waiver of any right or remedy as to subsequent events. The Parties agree to take such action as is necessary to amend this Agreement from time to time as is necessary for compliance with the requirements of the HIPAA Rules and any other applicable law.

8.4 Interpretation. Any ambiguity in this Agreement shall be interpreted to permit compliance with the HIPAA Rules.

8.5 No Third Party Beneficiaries. Nothing expressed or implied in this Agreement is intended to confer, nor shall anything herein confer, upon any person other than the Parties and the respective successors or assigns of the Parties, any rights, remedies, obligations, or liabilities whatsoever.

8.6 Notices. Any notices to be given hereunder to a Party shall be made via U.S. Mail or express courier to such Party's address given above, and/or (other than for the delivery of fees) via facsimile to the facsimile telephone numbers listed above. A copy of any such notice shall also be given in the same manner to the Privacy Officer listed above. Each Party named above may change its address and that of its representative for notice by the giving of notice thereof in the manner hereinabove provided.

8.7 Counterparts; Facsimiles. This Agreement may be executed in any number of counterparts, each of which shall be deemed an original. Facsimile copies hereof shall be deemed to be originals.

8.8 Disputes. If any controversy, dispute or claim arises between the Parties with respect to this Agreement, the Parties shall make good faith efforts to resolve such matters informally.

8.9 LIMITATION OF LIABILITY. COVERED ENTITY SHALL NOT BE LIABLE TO BUSINESS ASSOCIATE FOR ANY INCIDENTAL, CONSEQUENTIAL, SPECIAL, OR PUNITIVE DAMAGES OF ANY KIND OR NATURE, WHETHER SUCH LIABILITY IS ASSERTED ON THE BASIS OF CONTRACT, TORT (INCLUDING NEGLIGENCE OR STRICT LIABILITY), OR OTHERWISE, EVEN IF THE OTHER PARTY HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH LOSS OR DAMAGES.

8.10 Changes in Law. The Parties recognize that this Agreement is at all times subject to applicable state, local, and federal laws. The Parties further recognize that this Agreement may become subject to amendments in such laws and regulations and to new legislation. Any provisions of law that invalidate, or are otherwise inconsistent with, the material terms and conditions of this Agreement, or that would cause one or both of the Parties hereto to be in violation of law, shall be deemed to have superseded the terms of this Agreement and, in such event, the Parties agree to use their best efforts to modify in an executed written agreement the terms and conditions of this Agreement to be consistent with the requirements of such law(s) in order to effectuate the purposes and intent of this Agreement within thirty (30) days of receipt of notice from one Party to the other Party setting forth the proposed changes. If the Parties fail to so modify this Agreement, then either Party may, by giving the other an additional sixty (60) days written notice, terminate this Agreement, unless this Agreement would terminate earlier by its terms. In the event amendments or changes in existing law, general instructions, or new legislation, rules, regulations, or decisional law preclude or substantially preclude a contractual relationship between the Parties similar to that expressed in this Agreement, then, under such circumstances, where renegotiation of the applicable terms of this Agreement would be futile, either Party may provide the other at least sixty (60) days advance written notice of termination of this Agreement, unless this Agreement would terminate earlier by its terms. Upon termination of this Agreement as hereinabove provided, neither Party shall have any further obligation hereunder except for (a) obligations occurring prior to the date of termination, and (b) obligations, promises or covenants contained herein which are expressly made and intended either to arise upon the termination of this Agreement or to extend beyond the term of this Agreement.

8.11 Construction of Terms. The terms of this Agreement shall be construed in light of any applicable interpretation or guidance on HIPAA and/or the Privacy Rule issued by the Department of Health and Human Services of the Office of Civil Rights from time to time.

8.12 Contradictory Terms. Any provision of the Underlying Agreement that is directly contradictory to one or more terms of this Agreement ("Contradictory Term") shall be superceded by the terms of this Agreement as of the Effective Date of this Agreement to the extent and only to the extent of the contradiction, only for the purpose of the Covered Entity's compliance with the Privacy Rule and only to the extent that it is reasonably impossible to comply with both the Contradictory Term and the terms of this Agreement.

8.13 Governing Law. This Agreement and any Underlying Agreement shall be governed by New York law notwithstanding any conflicts of law provisions to the contrary.

9. DEFINITIONS.

9.1 The following terms used in this Agreement shall have the same meaning as those terms in the HIPAA

4/10/15

Rules: Breach, Data Aggregation, Designated Record Set, Disclosure, Health Care Operations, Individual, Minimum Necessary, Notice of Privacy Practices, Protected Health Information, PHI, Required By Law, Secretary, Security Incident, Subcontractor, Unsecured Protected Health Information, and Use.

9.2 Specific definitions include:

- (a) Business Associate. "Business Associate" shall generally have the same meaning as the term "business associate" at 45 CFR 160.103, and in reference to the party to this Agreement, shall mean the Party identified as the Business Associate above.
- (b) Covered Entity. "Covered Entity" shall generally have the same meaning as the term "Covered Entity" at 45 CFR 160.103, and in reference to the party to this agreement, shall mean the Party identified as the Covered Entity above.
- (c) HIPAA Rules. "HIPAA Rules" shall mean the Privacy, Security, Breach Notification, and Enforcement Rules at 45 CFR Part 160 and Part 164.
- (d) Electronic Protected Health Information or Electronic PHI. "Electronic PHI" shall mean PHI which is transmitted by Electronic Media (as defined in the HIPAA Security and Privacy Rule) or maintained in Electronic Media.
- (e) Privacy Officer. "Privacy Officer" shall have the meaning as set out in its definition at 45 CFR § 164.530(a)(1) as such provision is currently drafted and as it is subsequently updated, amended or revised, and in reference to this Agreement, shall mean the person identified as the Privacy Officer above.
- (f) Privacy Rule. "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 CFR part 160 and part 164.
- (g) Security Rule. "Security Rule" shall mean the Standards for Security of Electronic Protected Health Information at 45 CFR Parts 160, 162, and 164.
- (h) A reference in this Agreement to a section in the HIPAA Rules means the section as in effect or as amended.

IN WITNESS WHEREOF, each of the undersigned has caused this Agreement to be duly executed in its name and on its behalf.

THE STATE UNIVERSITY OF NEW YORK on behalf of COVERED ENTITY

By: _____

Print Name: Astra Bain-Dowell

Print Title: Executive Vice-President and
Chief Operating Officer

Date: _____

Contract Number/Purchase Order Number: _____

BUSINESS ASSOCIATE

By: _____

Print Name: _____

Print Title: _____

Date: _____

SUNY Downstate Medical Center: Compliance with Deficit Reduction Act of 2005

SUNY Downstate Medical Center Health Science Center at Brooklyn (DMC) is committed to conducting business in compliance with all applicable laws. To this end, we have an extensive Compliance Program in place to be followed by all employees and certain persons or entities with which we have contractual agreements.

As a participant in the Medicaid Program, we are obligated to comply with the terms and requirements of the Deficit Reduction Act of 2005 (DRA). In accordance with the DRA, we have adopted written policies for all employees that provide detailed information about the Federal & New York False Claims Acts, the Program Fraud Civil Remedies Act, other relevant state laws, the whistleblower protections under such laws and DMC's policies for detecting and preventing waste, fraud and abuse.

The DRA also requires that we provide this information to all contractors and agents for your adoption. Accordingly, we are providing you with this exhibit which contains information regarding the applicable laws, as well as our Compliance Program which sets forth, in detail, our compliance policies and procedures for detecting and preventing fraud, waste and abuse. In addition, DMC has a Code of Ethics & Business Conduct that outlines the expected legal and ethical conduct of its personnel.

Please note that the Compliance Program and related materials are living documents that are subject to change as new regulations become effective and as policies & procedures are revised. In order to ensure that you are utilizing the most up-to-date version, you may always access our Compliance materials on our website at www.downstate.edu/compliance.

DMC has established a 24/7 Compliance Line as a mechanism for reporting activities, confidentially and anonymously, that may involve ethical violations or criminal conduct:

DMC COMPLIANCE LINE:
877-349-SUNY (telephone report)
OR
"COMPLIANCE LINE" link on the bottom of DMC's web- page:
www.downstate.edu (web report)

DMC has a no tolerance policy for employees, agents, or vendors who are involved in any unlawful activity. To that end, we expect that you share our goals of eradicating fraud and abuse and, therefore, will comply with your obligations under the DRA.

The following is a summary of the Federal & New York False Claims Acts, the Program Fraud Civil Remedies Act and other relevant State laws as posted on the Office of Medicaid Inspector General's Provider Compliance website:
http://www.omig.state.ny.us/data/images/stories/relevant_fca_statutes_122209.pdf

I. FEDERAL LAWS

1) Federal False Claims Act (31 USC §§3729-3733)

The False Claims Act ("FCA") provides, in pertinent part, as follows:

§ 3729. False claims

- (a) Liability for certain acts. --
 - (1) In general.—Subject to paragraph (2), any person who—
 - (A) knowingly presents, or causes to be presented, a false or fraudulent claim for payment or approval;
 - (B) knowingly makes, uses, or causes to be made or used, a false record or statement material to a false or fraudulent claim;
 - (C) conspires to commit a violation of subparagraph (A), (B), (D), (E), (F), or (G);
 - (D) has possession, custody, or control of property or money used, or to be used, by the Government and knowingly delivers, or causes to be delivered, less than all of that money or property;
 - (E) is authorized to make or deliver a document certifying receipt of property used, or to be used, by the Government and, intending to defraud the Government, makes or delivers the receipt without completely knowing that the information on the receipt is true;
 - (F) knowingly buys, or receives as a pledge of an obligation or debt, public property from an officer or employee of the

Government, or a member of the Armed Forces, who lawfully may not sell or pledge property; or

- (G) knowingly makes, uses, or causes to be made or used, a false record or statement material to an obligation to pay or transmit money or property to the Government, or knowingly conceals or knowingly and improperly avoids or decreases an obligation to pay or transmit money or property to the Government, is liable to the United States Government for a civil penalty of not less than \$5,000 and not more than \$10,000, as adjusted by the Federal Civil Penalties Inflation Adjustment Act of 1990 (28 U.S.C. 2461) note; Public Law 104-410, plus 3 times the amount of damages which the Government sustains because of the act of that person.
- (2) Reduced damages.—If the court finds that—
 - (A) the person committing the violation of this subsection furnished officials of the United States responsible for investigating false claims violations with all information known to such person about the violation within 30 days after the date on which the defendant first obtained the information;
 - (B) such person fully cooperated with any Government investigation of such violations; and
 - (C) at the time such person furnished the United States with the information about the violation, no criminal prosecution, civil action, or administrative action had commenced under this title with respect to such violation, and the person did not have actual knowledge of the existence of an investigation into such violation, the court may assess not less than 2 times the amount of damages which the Government sustains because of the act of that person.
- (3) Costs of civil actions.—A person violating this subsection shall also be liable to the United States Government for the costs of a civil action brought to recover any such penalty or damages.

(b) Definitions.—For purposes of this section—

(1) the terms “knowing” and “knowingly” —

(A) mean that a person, with respect to the information—

- (i) has actual knowledge of the information;
- (ii) acts in deliberate ignorance of the truth or falsity of the information; or
- (iii) acts in reckless disregard of the truth or falsity of the information; and

(B) require no proof of specific intent to defraud;

(2) the term “claim” —

(A) means any request or demand, whether under a contract or otherwise, for money or property and whether or not the United States has title to the money or property, that—

- (i) is presented to an officer, employee, or agent of the United States; or
- (ii) is made to a contractor, grantee, or other recipient, if the money or property is to be spent or used on the Government's behalf or to advance a Government program or interest, and if the United States Government—

- (I) provides or has provided any portion of the money or property requested or demanded; or
- (II) will reimburse such contractor, grantee, or other recipient for any portion of the money or property which is requested or demanded; and

(B) does not include requests or demands for money or property that the Government has paid to an individual as compensation for Federal employment or as an income subsidy with no restrictions on that individual's use of the money or property;

(3) the term “obligation” means an established duty, whether or not fixed, arising from an express or implied contractual,

grantor-grantee, or licensor-licensee relationship, from a fee-based or similar relationship, from statute or regulation, or from the retention of any overpayment; and

(4) the term “material” means having a natural tendency to influence, or be capable of influencing, the payment or receipt of money or property.

(c) Exemption from disclosure.—Any information furnished pursuant to subsection (a)(2) shall be exempt from disclosure under section 552 of title 5.

(d) Exclusion.—This section does not apply to claims, records, or statements made under the Internal Revenue Code of 1986.

While the False Claims Act imposes liability only when the claimant acts “knowingly,” it does not require that the person submitting the claim have actual knowledge that the claim is false. A person who acts in reckless disregard or in deliberate ignorance of the truth or falsity of the information, also can be found liable under the Act. 31 U.S.C. 3729(b).

In sum, the False Claims Act imposes liability on any person who submits a claim to the federal government, or submits a claim to entities administering government funds, that he or she knows (or should know) is false. An example may be a physician who submits a bill to Medicare for medical services she knows she has not provided. The False Claims Act also imposes liability on an individual who may knowingly submit a false record in order to obtain payment from the government. An example of this may include a government contractor who submits records that he knows (or should know) are false and that indicate compliance with certain contractual or regulatory requirements. The third area of liability includes those instances in which someone may obtain money from the federal government to which he may not be entitled, and then uses false statements or records in order to retain the money. An example of this so-called “reverse false claim” may include a hospital which obtains interim payments from Medicare or Medicaid throughout the year, and then knowingly files a false cost report at the end of the year in

order to avoid making a refund to the Medicare or Medicaid program.

In addition to its substantive provisions, the FCA provides that private parties may bring an action on behalf of the United States. 31 U.S.C. 3730 (b). These private parties, known as “*qui tam* relators,” may share in a percentage of the proceeds from an FCA action or settlement.

Section 3730(d)(1) of the FCA provides, with some exceptions, that a *qui tam* relator, when the Government has intervened in the lawsuit, shall receive at least 15 percent but not more than 25 percent of the proceeds of the FCA action depending upon the extent to which the relator substantially contributed to the prosecution of the action. When the Government does not intervene, section 3730(d)(2) provides that the relator shall receive an amount that the court decides is reasonable and shall not be less than 25 percent and not more than 30 percent.

3. Administrative Remedies for False Claims (31 USC Chapter 38, §§ 3801 – 3812)

This statute allows for administrative recoveries by federal agencies. If a person submits a claim that the person knows is false or contains false information, or omits material information, the agency receiving the claim may impose a penalty of up to \$5,000 for each claim. The agency may also recover twice the amount of the claim.

Unlike the False Claims Act, a violation of this law occurs when a false claim is submitted rather than when it is paid. Also unlike the False Claims Act, the determination of whether a claim is false and the imposition of fines and penalties is made by the administrative agency, not by prosecution in the federal court system.

II. NEW YORK STATE LAWS

New York State False Claim Laws fall under the jurisdiction of both New York's civil and administrative laws, as well as its criminal laws. Some apply to recipient false claims and some apply to provider false claims. The majority of these statutes are specific to healthcare or Medicaid. Yet, some of the “common law” crimes apply to areas of interaction with the government and so, are

applicable to health care fraud and will be listed in this section.

A. CIVIL AND ADMINISTRATIVE LAWS

1) New York False Claims Act (State Finance Law §§187-194)

The New York False Claims Act is similar to the Federal False Claims Act. It imposes penalties and fines upon individuals and entities who knowingly file false or fraudulent claims for payment from any state or local government, including health care programs such as Medicaid. It also has a provision regarding reverse false claims similar to the federal FCA such that a person or entity will be liable in those instances in which the person obtains money from a state or local government to which he may not be entitled and then uses false statements or records in order to retain the money.

The penalty for filing a false claim is six to twelve thousand dollars per claim plus three times the amount of the damages which the state or local government sustains because of the act of that person. In addition, a person who violates this act is liable for costs, including attorneys' fees, of a civil action brought to recover any such penalty.

The Act allows private individuals to file lawsuits in state court, just as if they were state or local government parties, subject to various possible limitations imposed by the NYS Attorney General or a local government. If the suit eventually concludes with payments back to the government, the person who started the case can recover twenty-five to thirty percent of the proceeds if the government did not participate in the suit, or fifteen to twenty-five percent if the government did participate in the suit.

2) Social Services Law, Section 145-b – False Statements

It is a violation to knowingly obtain or attempt to obtain payment for items or services furnished under any Social Service program, including Medicaid, by use of a false statement, deliberate concealment or other fraudulent scheme or device. The state or local Social Services district may recover three times the amount incorrectly paid. In addition, the Department of Health may impose a civil penalty of up to ten thousand dollars per violation. If repeat violations occur within five

years, a penalty of up to thirty thousand dollars per violation may be imposed if the repeat violations involve more serious violations of Medicaid rules, billing for services not rendered, or providing excessive services.

3) Social Services Law, Section 145-c – Sanctions

If any person applies for or receives public assistance, including Medicaid, by intentionally making a false or misleading statement, or intending to do so, the needs of the individual or that of his family shall not be taken into account for the purpose of determining his or her needs or that of his family for six months if a first offense, for twelve months if a second offense (or if benefits wrongfully received are at least one thousand dollars but not more than three thousand nine hundred dollars), for eighteen months if a third offense (or if benefits wrongfully received are in excess of three thousand nine hundred dollars), and five years for any subsequent occasion of any such offense.

B. CRIMINAL LAWS

1) Social Services Law, Section 145 - Penalties

Any person who submits false statements or deliberately conceals material information in order to receive public assistance, including Medicaid, is guilty of a misdemeanor.

2) Social Services Law, Section 366-b – Penalties for Fraudulent Practices

- a. Any person who obtains or attempts to obtain, for himself or others, medical assistance by means of a false statement, concealment of material facts, impersonation or other fraudulent means is guilty of a class A misdemeanor.
- b. Any person who, with intent to defraud, presents for payment a false or fraudulent claim for furnishing services, knowingly submits false information to obtain greater Medicaid compensation, or knowingly submits false information in order to obtain authorization to provide items or services is guilty of a class A misdemeanor.

3) Penal Law Article 155 - Larceny

The crime of larceny applies to a person who, with intent to deprive another of his property, obtains, takes or withholds the property by means of trick, embezzlement, false pretense, false promise, including a scheme to defraud, or other similar behavior. This statute has been applied to Medicaid fraud cases.

- a. Fourth degree grand larceny involves property valued over \$1,000. It is a class E felony.
- b. Third degree grand larceny involves property valued over \$3,000. It is a class D felony.
- c. Second degree grand larceny involves property valued over \$50,000. It is a class C felony.
- d. First degree grand larceny involves property valued over \$1 million. It is a class B felony.

4) Penal Law Article 175 – False Written Statements

Four crimes in this Article relate to filing false information or claims and have been applied in Medicaid fraud prosecutions:

- a. §175.05 – Falsifying business records involves entering false information, omitting material information or altering an enterprise's business records with the intent to defraud. It is a class A misdemeanor.
- b. §175.10 – Falsifying business records in the first degree includes the elements of the §175.05 offense and includes the intent to commit another crime or conceal its commission. It is a class E felony.
- c. §175.30 – Offering a false instrument for filing in the second degree involves presenting a written instrument, including a claim for payment, to a public office knowing that it contains false information. It is a class A misdemeanor.
- d. §175.35 – Offering a false instrument for filing in the first degree includes the elements of the second degree offense and must include an intent to defraud the state or a political subdivision. It is a class E felony.

5) Penal Law Article 176 – Insurance Fraud

This law applies to claims for insurance payments, including

Medicaid or other health insurance, and contains six crimes

- a. Insurance Fraud in the 5th degree involves intentionally filing a health insurance claim knowing that it is false. It is a class A misdemeanor.
- b. Insurance fraud in the 4th degree is filing a false insurance claim for over \$1,000. It is a class E felony.
- c. Insurance fraud in the 3rd degree is filing a false insurance claim for over \$3,000. It is a class D felony.
- d. Insurance fraud in the 2nd degree is filing a false insurance claim for over \$50,000. It is a class C felony.
- e. Insurance fraud in the 1st degree is filing a false insurance claim for over \$1 million. It is a class B felony.
- f. Aggravated insurance fraud is committing insurance fraud more than once. It is a class D felony.

6) Penal Law Article 177 – Health Care Fraud

This statute, enacted in 2006, applies to health care fraud crimes. It was designed to address the specific conduct by health care providers who defraud the system including any publicly or privately funded health insurance or managed care plan or contract, under which any health care item or service is provided. Medicaid is considered to be a single health plan under this statute.

This law primarily applies to claims by providers for insurance payment, including Medicaid payment, and it includes six crimes.

- a. Health care fraud in the 5th degree – A person is guilty of this crime when, with intent to defraud a health plan, he or she knowingly and willfully provides materially false information or omits material information for the purpose of requesting payment from a health plan. This is a class A misdemeanor.
- b. Health care fraud in the 4th degree – A person is guilty of this crime upon filing such false claims on more than one occasion and annually receives more than three thousand dollars. This is a class E felony.
- c. Health care fraud in the 3rd degree – A person is guilty of this crime upon filing such false claims on more than one occasion and annually receiving over ten thousand dollars. This is a class D felony.

- d. Health care fraud in the 2nd degree – A person is guilty of this crime upon filing such false claims on more than one occasion and annually receiving over fifty thousand dollars. This is a class C felony.
- e. Health care fraud in the 1st degree – A person is guilty of this crime upon filing such false claims on more than one occasion and annually receiving over one million dollars. This is a class B felony.

III. WHISTLEBLOWER PROTECTION

1) Federal False Claims Act (31 U.S.C. §3730(h))

The Federal False Claims Act provides protection to *qui tam* relators (individuals who commence a False Claims action) who are discharged, demoted, suspended, threatened, harassed, or in any other manner discriminated against in the terms and conditions of their employment as a result of their furtherance of an action under the FCA. 31 U.S.C. 3730(h). Remedies include reinstatement with comparable seniority as the *qui tam* relator would have had but for the discrimination, two times the amount of any back pay, interest on any back pay, and compensation for any special damages sustained as a result of the discrimination, including litigation costs and reasonable attorneys' fees.

2) New York State False Claims Act (State Finance Law §191)

The New York State False Claims Act also provides protection to *qui tam* relators (individuals who commence in a False Claims action) who are discharged, demoted, suspended, threatened, harassed, or in any other manner discriminated against in the terms and conditions of their employment as a result of their furtherance of an action under the Act. Remedies include reinstatement with comparable seniority as the *qui tam* relator would have had but for the discrimination, two times the amount of any back pay, interest on any back pay, and compensation for any special damages sustained as a result of the discrimination, including litigation costs and reasonable attorneys' fees.

3) New York State Labor Law, Section 740

An employer may not take any retaliatory action against an employee if the employee discloses information about the employer's policies, practices or activities to a regulatory, law enforcement or other similar agency or public official. Protected disclosures are those that assert that the employer is in violation of the law that creates a substantial and specific danger to the public health and safety or which constitutes health care fraud under Penal Law §177 (knowingly filing, with intent to defraud, a claim for payment that intentionally has false information or omissions). The employee's disclosure is protected only if the employee first brought up the matter with a supervisor and gave the employer a reasonable opportunity to correct the alleged violation. If an employer takes a retaliatory action against the employee, the employee may sue in state court for reinstatement to the same, or an equivalent position, any lost back wages and benefits and attorneys' fees. If the employer is a health provider and the court finds that the employer's retaliatory action was in bad faith, it may impose a civil penalty of \$10,000 on the employer.

4) New York State Labor Law, Section 741

A health care employer may not take any retaliatory action against an employee if the employee discloses certain information about the employer's policies, practices or activities to a regulatory, law enforcement or other similar agency or public official. Protected disclosures are those that assert that, in good faith, the employee believes constitute improper quality of patient care. The employee's disclosure is protected only if the employee first brought up the matter with a supervisor and gave the employer a reasonable opportunity to correct the alleged violation, unless the danger is imminent to the public or patient and the employee believes in good faith that reporting to a supervisor would not result in corrective action. If an employer takes a retaliatory action against the employee, the employee may sue in state court for reinstatement to the same, or an equivalent position, any lost back wages and benefits and attorneys' fees. If the employer is a health care provider and the court finds that the employer's retaliatory action was in bad faith, it may impose a civil penalty of \$10,000 on the employer.

Exhibit D

Travel and Expense Reimbursement Policy and Guidelines

SUNY Downstate Medical Center Contractor Orientation and Policies

Welcome to SUNY Downstate Medical Center (DMC). As you know, we are here to assist the hospital to regain its financial health while improving the quality of medical care to patients and reducing operational costs. IT is at a critical juncture in this turnaround effort as we must provide an enriched application portfolio, robust methodologies and solid Infrastructure. Through a high degree of professionalism, experience and technical expertise we can bring together SUNY DMC with IT, and navigate this critical transformation. To this end, and to help orient you to the work in the DMC environment, we want to insure that you follow all applicable New York State guidelines for NYS institutions, as well as, all DMC / IT travel policies. These guidelines are provided below.

Policies and Guidelines

Any travel, expense, or on-site/off-site situations not covered by this policy should be submitted in writing to the CIO or the CIO's Sr. Administrative Assistant to secure approval, if expense reimbursement and/or hours billed are expected to be paid by DMC.

1. Hours

1.1. Onsite Hours

- 1.1.1. Contractors must be available to work onsite Monday through Friday for a minimum of eight (8) hours each day; however, the CIO/Office of the CIO (i.e. Sr. Assistant) may approve working remotely on Fridays, under certain circumstances. (Requests must be submitted in writing)
- 1.1.2. All local Contractors residing in NY, NJ and CT should expect to be on-site on Fridays.
- 1.1.3. Contractors residing outside the NY, NJ and CT environs shall arrive at SUNY DMC no later than 10:00 AM ET Monday.
- 1.1.4. Contractors shall be present in the office until at least 4:00 PM ET Fridays. Unless otherwise approved to leave Thursday at 4:00pm or after.
- 1.1.5. In the event that unusual circumstances are present for a contractor, preventing full compliance with the above onsite hours, approval from the CIO or the Office of the CIO shall be required.

1.2. Offsite Hours

- 1.2.1. In select cases, the CIO or the Office of the CIO (i.e., Sr. Assistant) may approve Contractors working remotely on Fridays with written approval from the CIO or Sr. Admin. Such employees will work a full eight (8) hours and must be available by telephone and email via PC throughout the day (i.e. between the hours of 8:30 AM and 5:00 PM ET – the business hours of DMC). In such cases, DMC reserves the right to have Contractors work on-site on Fridays, if in DMC's sole decision, it is necessary to accomplish DMC's business and IT goals.
- 1.2.2. Contractors may work remotely from the client site on other weekdays (i.e. from Monday through Thursday) only with the explicit, prior written authorization of the SUNY DMC CIO or the Office

of the CIO. Such employees will work a full eight (8) hours and must be available by telephone and email via PC continuously throughout the day (i.e. between the hours of 8:30 AM and 5:00 PM ET – the business hours of DMC)

1.2.3. Remote work, not approved by the Office of the CIO (CIO or Sr. Admin) will not be reimbursed (i.e., non DMC activities, vacation, personal time off, etc.).

2. Reporting

Fixed Management Requirements

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
<ul style="list-style-type: none"> Check email twice a day for priority issues and respond to operational issues at all times according to priority of the pending issue 	<ul style="list-style-type: none"> For traveling consultants, arrive no later than 10:00AM in DMC Office For Local consultants (NY, NJ & CT), consultants arrive by 8:30AM 	<ul style="list-style-type: none"> Office Hours 8:30AM to 5:00PM ET 	<ul style="list-style-type: none"> Office Hours 8:30AM to 5:00PM Submit Project Status Report and Consultant Weekly Task Management Sheet to the CIO, Director of Systems Development and the Assistant CIO no later than 5:00PM 	<ul style="list-style-type: none"> Office Hours 8:30AM to 5:00PM Traveling Consultants may leave at 4:00PM Consultants, with approval to not be on-site on Friday, cannot leave before 4:00PM without written permission from the CIO or his Office 	<ul style="list-style-type: none"> Local New York consultants will be in office 8:30AM to 5:00PM Update Project Plan 12:00PM Traveling consultants, who were granted prior written approval will Work Remotely 8:30AM to 5:00PM Project Status review meetings as needed 	<ul style="list-style-type: none"> Check email twice a day for priority issues and respond to operational issues at all times according to priority of the pending issue Hours and Expenses submitted to CIO Sr. Assistant no later than 5:00PM ET

Other Report Requirements

2.1. Contractors are required to submit Weekly Project Status and Weekly Task Management Reports to the Office of the CIO (Sr. Admins-A. Abidor/T. Coar) and the Director of Systems (Fred Brinkel) by 12:00 PM ET on Friday.

2.1.1. Email to the following: john.dooley@downstate.edu, dilip.nath@downstate.edu, fred.brinkel@downstate.edu, anna.abidor@downstate.edu, and tracy.coar@downstate.edu with subject "Weekly Project Status"

2.2. Hours and Expenses are to be recorded in Replicon, (<https://login.replicon.com/Default.aspx>) and submitted weekly no later than 5:00PM ET on Saturday.

2.2.1. Email Excel expense form on Saturday by 5:00pm with "clear" scanned copy of receipts to anna.abidor@downstate.edu, john.dooley@downstate.edu with subject "Weekly Time and Expenses"

2.3. Contractors are to respond to all emails during the business week within 2 hours of receipt, Monday to Friday. On Saturday and Sunday Contractors shall check their email minimally twice a day or more frequently for priority issues and respond to all operational issues according to the nature of their priority. Contractors are to have all emails forwarded to their smart phones.

2.4. Contractors shall submit a Weekly Project Status Report by noon each Friday of the business week. Status report should outline the project, scope, deliverables, status and timeline of each project assigned to them. Status template will be provided by the Office of the CIO.

2.4.1. If project is behind the original assigned timeline, status report shall include concise explanation to clarify the reasons why project may be delayed and suggest remediation plan.

3. Transportation/ Hotel Accommodation Guidelines

3.1. Contractors are entitled to reimbursement for staying at an approved hotel. Hotel rates are negotiated and when making reservations, Contractors should request the SUNY Downstate Medical Center rate or use an appropriate rate code. Approved hotels are:

Hotel Indigo

229 Duffield St.

Brooklyn, NY 11201

(718) 254-7800

(Request SUNY Downstate Medical Center rate)

Brooklyn Marriott Hotel

333 Adams St.

Brooklyn, NY 11201

718-246-7000

(Rate Code: Q21)

Aloft Hotel

216 Duffield St.

Brooklyn NY 11201

(718) 256-3833

(Rates no greater than the current prevailing rate for the Brooklyn Marriott Hotel)

Note: Quarterly rates for all three (3) hotels will be forwarded to Contractors by the Office of the CIO (Sr. Assistant)

3.2. Contractors must provide to the hotel, at check-in, the New York State Department of Taxation and Finance Exemption Certificate (Form ST-129)

http://www.tax.ny.gov/pdf/current_forms/st/st129_fill_in.pdf

Note: State and local hotel taxes will not be reimbursed by SUNY Downstate Medical Center

Transportation to Client Site

3.3. Public transportation (e.g. MTA Subway 5 Train) shall be used. With advanced written approval from the CIO, a taxi may be used. The use of "luxury" or limousine transportation is excluded from reimbursement.

- 3.4. Parking and toll expenses, including hotel parking, will be reimbursed, when reasonable and documented with a detailed receipt. Parking tickets, fines, car washes or valet service will not be reimbursed.
- 3.5. Car rentals are excluded from reimbursement.
- 3.6. Airfare will be reimbursed as a business travel expense. Airline should be booked at least two (2) weeks or more in advance to receive best possible rates. Baggage fees will not be reimbursed except where airlines have mandatory fees for checked bags.
 - 3.6.1. Air tickets should be the lowest possible rates, and should be limited to no more than one stop-over in order to eliminate possible delays. First class and/or Business class travel will not be compensated, unless given written advanced approval from the CIO.
 - 3.6.2. Contractors may expense advanced travel costs in advance of actual travel so long as the expense is accompanied with an explanation of planned travel dates. (No more than two trips will be expensed at one time)
 - 3.6.3. As the winter months are challenging for New York area travel, flights should be scheduled to arrive the Sunday preceding the Monday scheduled work week.
 - 3.6.4. Airlines flight change fees will only be reimbursed in special circumstances where business change requirements are present and documentable with prior written approval from the CIO.

4. Expenses/ Reimbursements

- 4.1. Meals will be reimbursed based on actual expense including wait-service tip (see guidelines). Daily meal reimbursement will not exceed the per diem rate established by the United States General Services Administration for New York City (currently \$71.00 per day). Additionally contractors shall use the following guidelines, extracted from the GSA site when expensing meals:

Daily Total	Breakfast	Lunch	Dinner	Tips
\$71	\$12	\$18	\$36	\$5

Expenses should not exceed the above captioned individual rates (inclusive of tipping). Expenses exceeding the above government guidelines will be subject to review and denial.

- 4.2. Contractors will submit time and expenses to the CIO for approval through your provider firm. See the aforementioned reporting requirements.
- 4.3. All expenses should be documented to IRS, SUNY DMC, and New York State regulations and standards.

Miscellaneous / Tipping Expenses

- 4.4. Tips are acceptable for reimbursement for taxi fare (15% but not to exceed \$15.00) and valet parking (not to exceed \$2).
- 4.5. Tips cannot exceed 20% for evening dinner, 15% for lunch, 10% for breakfast and 15% for taxis. No tipping for Hotel housekeeping, doorman, valets, etc. will be permitted.

- 4.6. Any taxi fares over \$25.00 must be paid with a credit card – not cash. A detailed credit card receipt is needed to claim the taxi fare.
- 4.7. Dry cleaning expenses will not be reimbursed unless the Contractor is required to be on-site and away from home for more than 6 days. (Need to be pre-approved by the Office of the CIO).
- 4.8. All credit card receipts and meal receipts should be detailed.
- 4.9. Transportation cost to/from DMC with the exception of subway fares are non-reimbursable. Transportation cost for meals and entertainment will not be reimbursed.

5. Non-covered Expenses

There will be no reimbursement for the expense of alcoholic beverages. If consumed, alcoholic beverages shall be charged to a separate receipt and will be considered a personal expense and shall not be submitted with your expense claims.

Alcoholic beverages reflected on a reimbursable meal receipt will cause the entire expense to be denied.

Please note that the State clearly prohibits the purchase of a vendor's meal, or the purchase of a State employee's or other Contractor(s) meal, at the vendor's expense. All food and non-alcoholic beverages reimbursement is limited to the contractor alone. Contractors will not be reimbursed when purchasing meals for others.

Cumulative meal cost guidelines are not acceptable and will not be reimbursed.

6. Receipts:

- 6.1. Itemized receipts are necessary for all expenses with the exception of subway fares. All other expenses, of any kind, require a receipt if you are to expect reimbursement.
- 6.2. An itemized receipt for every meal is required. Again, as a reminder, no alcoholic beverages are reimbursable and should you want an alcoholic beverage it should be on a separate receipt – not submitted for reimbursement.
- 6.3. Meal receipts should be detailed outlining all items.

Violations of these guidelines and limits will result in the entire expense item being rejected and deducted. Repeated offenses of expense or travel booking policies, other lapses of prudent and frugal judgment travel and/or expenditures can and will result in termination of services.

The appearance of conflict of interest or abusive practices is cause for dismissal.

SUNY Downstate IT Travel Template Expense Report

Trip Purpose:

Period Ending:
(always use Saturday date)

Name:

Mileage Rate:

Detailed Expenses

Hours & Transpo	Sun	Mon	Tues	Wed	Thurs	Fri	Sat	Totals	DMC	Consultant
	12/26/14	12/27/14	12/28/14	12/29/14	12/30/14	12/31/14	01/01/15		Paid	Paid
Billable Hours	0.00	0.00	0.00	0.00	0.00	0.00	0.00			
Transpo Charges										
Miles Driven										
Reimbursement	\$0.0000	\$0.0000	\$0.0000	\$0.0000	\$0.0000	\$0.0000	\$0.0000			
Parking and Tolls										
Auto Rental										
Auto Rental Fuel										
Taxi/Limo										
Other (Rail or Bus)										
Airfare										
Totals								0.00	0.00	0.00
Lodging	Sun	Mon	Tues	Wed	Thurs	Fri	Sat	Totals		
Lodging										
Other										
Totals								0.00	0.00	0.00
Meals	Sun	Mon	Tues	Wed	Thurs	Fri	Sat	Totals		
Breakfast										
Lunch										
Dinner										
Other										
Totals								0.00	0.00	0.00
Miscellaneous	Sun	Mon	Tues	Wed	Thurs	Fri	Sat	Totals		
Supplies										
Phone, Fax										
Other										
Other-Tips										
Other										
Totals								0.00	0.00	0.00

Detailed Expense Record

Date	Place Name and Location	Business Purpose	Amount

Summary of Expenses

Total Expenses	\$0.00
Less Cash Advance	
Less SUNY DMC Charges	\$0.00
Amount Due to Consultant	\$0.00
Amount Due to DMC	

Submitted By: Date:

Approved By: Date:



Bid/ Proposal Vendor Initial Response Form

All vendors receiving this procurement solicitation are expected to return this document as soon as they have determined whether or not they will participate in this procurement.

Procurement Number RFP 15-13 and Title: ICD10 Implementation Testing/Assistance

This Vendor intends to SUBMIT a Bid/Proposal: Complete this section.

By completing this section, your company will be expected to submit a bid, which shall be considered if satisfactorily completed in compliance with all instructions therein. Please identify the expected primary company representatives (reps) that will be preparing the proposal:

Vendor Rep Name(s)	Phone	eMail Address
_____	_____	_____
_____	_____	_____
_____	_____	_____

This Vendor intends to NOT SUBMIT a Bid/Proposal: Complete this section.

Reason for Not Bidding (Check all that apply):

- Size of this contract is not within the interest of this vendor.
- Contract work not within the specialty of the contractor.
- Insufficient amount of time to prepare a proposal.
- Too busy to entertain additional business at this time.
- Other (explain in the comment section below):

Comments? (use additional sheets if necessary):

ALL VENDORS- Complete this section:

Vendor Business Name: _____

Federal Tax ID No. _____

Address: _____

Phone: _____

City, State, Zip: _____

Fax: _____

Insert the date Vendor received this Bid/ Proposal solicitation: _____

Check only if business is a qualified: MBE or WBE. If yes, Is vendor interested as a potential sub-contractor in this procurement? YES NO.

Vendor Rep Signature

Vendor Rep Printed Name

Title

Date

Submit completed copy to SUNY-DMC via mail: **Contracts Dept. MSC 63; 450 Clarkson Ave.; Brooklyn, NY 11203-2098**, or via fax to (718) 270-3342, or via eMail to: **maureen.crystal@downstate.edu** and **lisandra.reid@downstate.edu**