

# **MONROE COUNTY REQUEST FOR PROPOSALS [RFP]**

Exterior Lighting Energy Reduction Plan

Release Date: July 6, 2012

Response Deadline: August 3, 2012



**Maggie Brooks**  
*County Executive*

Monroe County  
Department of Environmental Services  
50 West Main Street  
Rochester, NY 14614  
[monroecounty.gov](http://monroecounty.gov)

**NO RESPONSE FORM**

**If you choose not to respond to this Request for Proposals, please fax this form back to MONROE COUNTY at your earliest convenience, to the attention of:**

Meagan Brennan  
Monroe County Office of Purchasing & Central Services  
200 County Office Building  
Rochester, NY 14614  
Fax (585) 753-1104

**RFP** Exterior Lighting Energy Reduction Plan  
**Company:** \_\_\_\_\_  
**Address:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
**Contact:** \_\_\_\_\_  
**Contact Phone:** \_\_\_\_\_  
**Email:** \_\_\_\_\_

**Reason for No-Response:** \_\_\_\_\_  
Project capacity. \_\_\_\_\_  
Cannot bid competitively. \_\_\_\_\_  
Cannot meet delivery requirements. \_\_\_\_\_  
Cannot meet specifications. \_\_\_\_\_  
Do not want to do business with Monroe \_\_\_\_\_  
County. \_\_\_\_\_  
\*Other: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Suggested changes to RFP** \_\_\_\_\_  
Specifications for next \_\_\_\_\_  
Request for Proposals. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Other reasons for not responding might include insufficient time to respond, do not offer product or service, specifications too stringent, scope of work too small or large, unable to meet insurance requirements, cannot meet delivery or schedule requirements, etc

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## **SECTION 1 - INVITATION TO PARTICIPATE**

### **1.1 Purpose**

Monroe County (“the County”) is soliciting proposals from Energy Service Company (ESCO), or other similarly qualified, Respondents to implement a facilities improvement project at the Monroe County Pure Waters Wastewater Treatment Facilities. Prospective Respondents must offer a proposal that will meet the scope of services, qualifications and general description of work activities identified in this Request for Proposals (“RFP”).

In responding to this RFP, Respondents must follow the prescribed format as outlined in Section 3. By so doing, each Respondent will be providing the County comparable data submitted by other Respondents and, thus, be assured of fair and objective treatment in the County review and evaluation process.

Pending final approval from the Monroe County Legislature, the County’s objective is to enter into a one-year agreement with the option to renew for two (2) additional one-year terms.

### **1.2 RFP Coordinator; Issuing Office**

This RFP is issued for the County. The RFP Coordinator, identified below, is the sole point of contact regarding this RFP from the date of distribution until the selection of the successful Respondent.

Meagan Brennan  
Monroe County Purchasing and Central Services  
39 West Main Street  
Room 200  
Rochester, New York 14614  
Fax: (585) 753- 1104  
Email: mbrennan@monroecounty.gov

**Only those Respondents who have registered and received a copy of this RFP via the County website at [www.monroecounty.gov/bid/rfps](http://www.monroecounty.gov/bid/rfps) will receive addenda, if issued.**

### **1.3 Presentation and Clarification of the County's Intentions**

As a result of this RFP, the County intends to enter into a contract with the selected Respondent to supply the services described in Section 2. However, this intent does not commit the County to award a contract to any responding Respondent, or to pay any costs incurred in the preparation of the proposal in response to this request, or to procure or contract for any services. The County reserves the right, in its sole discretion, to (a) accept or reject in part or in its entirety any proposal received as a result of this RFP if it is in the best interest of the County to do so; (b) award one or more contracts to one or more qualified Respondents if necessary to achieve the objectives of this RFP and if it is in the best interest of the County to do so.

## 1.4 Time Line

The schedule of events for this RFP is anticipated to proceed as follows:

- ◆ This RFP will be distributed on July 6, 2012.
- ◆ **A pre-proposal meeting and walk-through inspection tour will be conducted for potential Respondents on Tuesday, July 17, 2012 at 10:00 AM. Individuals who would like to attend the tour must RSVP by July 13, 2012** to the RFP Coordinator at the email address provided in Section 1.2. The starting location for the tour is the Frank E. Vanlare Wastewater Plant, 1574 Lakeshore Boulevard, Rochester, NY, 14619. The tour will conclude at the Northwest Quadrant Wastewater Treatment Plant, 170 Payne Beach Road, Hilton, NY, 14468. The following information must be provided in the RSVP for all individuals expected to attend the tour:
  - Company name
  - Name
  - Title
  - Email Address
  - Phone Number
- ◆ All requests for RFP clarification must be submitted in writing to the RFP Coordinator at the email address provided in Section 1 and received no later than 3:00 PM EST on July 20, 2012.
- ◆ All questions will be answered and documented in writing as an Addendum to the RFP, and posted on the County web site. These will be sent out to all Respondents who received the original RFP on or before July 27, 2012.
- ◆ **Final RFP submissions must be received by 3:00 PM EST on August 3, 2012** at the address shown in Section 3.1. The right to withdraw will expire on this date and time.

## 1.5 An Overview of the Organization

The County is located in the Finger Lakes Region of New York State, where the Genesee River meets the south shore of Lake Ontario. The County has a population of over 735,000 residents. The County is comprised of 19 towns, 10 villages and the City of Rochester, the third largest city in New York State.

Monroe County government, with a workforce of approximately 4,600 full and part-time employees, has an annual operating budget close to \$1 Billion. County government provides a variety of services, including: public safety, health and human services, economic development, recreation, transportation and environmental services. The County also owns and operates the Greater Rochester International Airport and Seneca Park Zoo.

The County is a community of innovators on the cutting edge of scientific research and discovery; a community of entrepreneurs; home to some of the world's best-known brands and fastest growing companies; and, a community recognized for its leadership in arts, culture and higher education.

## **SECTION 2 – SCOPE OF WORK**

### **2.1 Overview**

The County is soliciting proposals from Respondents to implement an energy performance project in order to assist in making the exterior lighting systems at the Monroe County Pure Waters wastewater facilities function as efficiently as practical. The County expects that this will be done through the installation of new exterior lighting equipment and the implementation of optimally efficient operation and maintenance procedures. The County wishes to implement the proposed energy project on an energy performance contract basis in accordance with the New York State Energy Law, Article 9, attached hereto as Appendix B.

Respondents must provide a guaranteed savings agreement, i.e. savings, increased revenues, and/or guarantee payments which will equal or exceed the cost of the lease payments or debt service. It is expected that savings and/or guarantees provided by the selected Respondent will fully offset the project costs involved for the County. Respondents must submit with their proposal the attached Appendix C, Project Implementation Costs.

Respondents must detail their proposed arrangements for acquisition, financing, and ownership of equipment to be installed as part of this project that responsibly maximize the net economic benefit to the County or reduce the risk to the County.

The County is interested in Light-Emitting Diode (LED) technology and/or any combination of existing lighting technologies that maximizes cost savings while meeting the facilities lighting requirements.

### **2.2 Detailed Scope of Work**

The selected Respondent must work cooperatively with the County staff in coordinating this project. Respondents must detail a comprehensive performance services implementation plan including, but not limited to, the following:

1. The performance of an investment quality comprehensive performance audit.
2. The design and specifications of the proposed equipment and systems.
3. Services associated with the procurement, installation, and commissioning of new equipment and systems.
4. Preventive and emergency maintenance and servicing of the equipment installed.
5. Staff training.
6. Services in connection with the arrangement of program financing.
7. Savings/revenue enhancement performance guarantees.
8. Maximizing available incentives/rebates from government agencies and/or utility companies (e.g. NYSERDA).

A more detailed scope of work will be developed with the selected Respondent and Monroe County.

## **2.3 Facility Information**

### **A. Frank E. Vanlare Wastewater Treatment Plant**

*Exterior Lighting:* Exterior lighting at the Frank E. Vanlare Wastewater Treatment Plant is generally handled in two ways. Lighting is either on poles (mostly on roadways throughout the plant) or is mounted to buildings as wall packs (throughout the various process areas). Some lighting fixtures are mounted on catwalks, primarily in the tank areas of the plant. The exterior lights attached to buildings are generally controlled by photocells. The pole lights are controlled by a Lighting Contactor with a photocell.

The following is a breakdown of the process areas and the respective lighting:

Influent Pumping Facilities (Irondequoit Bay Pump Station):

- (12) 175 watt MVR wall pack fixtures
- (6) 250 watt HPS cobra head

Influent and Screening Facilities (Structure 46, ATF Screening, Aerated Grit, Non Aerated Grit):

- (28) 175 watt Metal Halide wall packs
- (4) 100 watt mercury vapor wall pack

Primary Settling Facilities (East Primaries, West Primaries):

- (18) 150 watt HPS wall packs
- (8) 100 watt Mercury vapor (Catwalk mounted)

Aeration Facilities:

- (15) 400 watt HPS pole mounted flood

Recirculation Pumping Facilities :

- (4) 100 flood fixture

Final Settling and Disinfection Facilities (Final Tanks, Disinfection process bldg.):

- (12) 150 watt HPS wall pack
- (8) 150 watt HPS pole mounted
- (6) 175 Metal Halide Wall Packs

Sludge Thickening and Holding Facilities (Thickener Tanks, Holding Tanks):

- (6) 175 Metal Halide Wall pack

Solids Handling Facilities (Day Tanks, Solids Bldg, Cake Outload facility):

- (14) 175 watt metal halide wall pack

Plant Support Facilities (Administration Bldg., Maintenance Bldg.):

- (6) 50 watt HPS wall pack
- (1) 400 watt HPS pole mounted

Plant wide Roadway Lighting:

- (84) 250 watt HPS cobra head
- (1) 175 Metal Halide pole mount

## **B. Northwest Quadrant Wastewater Treatment Plant**

*Exterior Lighting:* Exterior lighting at the Northwest Quadrant Wastewater Treatment Plant is generally handled in two ways. Lighting is either on poles (mostly on parking areas) or is mounted to buildings as wall packs (throughout the various process areas). Some lighting fixtures are mounted on catwalks, primarily in the tank areas of the plant. The exterior lights attached to buildings and the pole lights are generally controlled by photocells.

The original exterior lighting design at the plant provided eleven (11) 50' poles, each mounted with four (4) 1000-watt mercury vapor fixtures. These poles were mounted around the perimeter of the plant and provided a wash of light to the whole plant. These poles have since been abandoned in place and replaced with the lighting fixtures listed below.

As part of the exterior lighting system, there is a tunnel that runs the length of the plant (from Screening to Solids Handling). The tunnel is approximately 1000' long and is lit with 4' T12 40-watt fluorescent fixtures, spaced approximately every 12'. There are breaks in that style of lighting when the tunnel passes by the process control areas such as Aeration, Secondaries, Thickeners, etc. At those points, there are combinations of Metal Halide, High Pressure Sodium (HPS), and Fluorescent fixtures.

The following is a breakdown of the process areas and the respective exterior lighting:

Influent and Screening Facilities:  
(1) 400 watt HPS wall pack

Primary Settling Facilities:  
(4) 150 watt HPS wall pack

Aeration Facilities:  
(8) 150 watt HPS flood pole mounted

Final Settling and Disinfection Facilities:  
(5) 150 watt HPS wall pack  
(1) 400 watt HPS flood pole mount

Sludge Thickening and Holding Facilities:  
(2) 150 watt HPS wall pack

Solids Handling Facilities (Solids Handling, Cake Offload Facility):  
(3) 50 watt HPS wall pack  
(1) 150 watt HPS wall pack  
(7) 175 watt metal halide wall pack

Plant Support Facilities (Administration Bldg., Maintenance Bldg.):  
(7) LED Parking lot light pole mounted

Plant wide Roadway Lighting  
(1) 250 watt HPS cobra head

The following is a breakdown of the fixtures throughout the Tunnel:

Tunnel from Solids Building to Thickener Complex:  
(13) 4' Fluorescent

Thickener Complex 8 4' Fluorescent:  
(22) HID HPS/Metal Halide

Tunnel from Thickeners to Tertiary:  
(17) 4' Fluorescent

Tertiary Complex:  
(10) HID HPS/Metal Halide

Tunnel from Tertiary to Secondary:  
(18) 4' Fluorescent

Secondary Complex:  
(23) HID HPS/Metal Halide

Tunnel Secondary to Primary:  
(61) 4' Fluorescent

Primary Complex:  
(19) HID HPS/Metal Halide

Tunnel From Primary to Screen and Grit:  
(9) 4' Fluorescent

Tunnel From Admin to Secondary:  
(20) 4' Fluorescent

## SECTION 3 - SPECIFIC PROPOSAL REQUIREMENTS

### 3.1 Submission of Respondent's Proposal(s)

- A. Acceptance Period and Location:** To be considered, Respondents must submit a complete response to this RFP. Respondents not responding to all information requested in this RFP or indicating exceptions to those items not responded to may have their proposals rejected as being non-responsive.

Sealed proposals must be received at the address below on or before 3:00 p.m. Eastern Standard Time, on August 3, 2012.

Meagan Brennan  
Monroe County Purchasing and Central Services  
39 West Main Street  
Room 200  
Rochester, New York 14614  
Email address: mbrennan@monroecounty.gov

Refer to Section 3 for further detail regarding response formats and requirements. There will be no public opening of the proposals.

- B. Withdrawal Notification:** Respondents receiving this RFP who do not wish to submit a proposal should reply with the "No Response Form" [page 2 of this RFP] to be received by the indicated contact on the form no later than the proposal submission date. This RFP is the property of the County and may not be reproduced or distributed for purposes other than proposal submission without the written consent of the Monroe County Attorney.
- C. Required copies:** Respondents must submit one (1) signed original Proposal and five (5) complete copied sets of the signed original Proposal. **Proposals should be clearly marked as "Exterior Lighting Energy Reduction Plan."** The Respondent must also respond electronically in addition to submitting hardcopies of its proposal as provided above. The Respondent will make no other distribution of proposals. An official authorized to bind the Respondent to its provisions must sign the Proposal.
- D. Pricing Period:** For this RFP, the proposal must remain valid for a minimum of 180 days past the due date for receipt of RFPs.
- E. Economy of Preparation:** Proposals should be prepared as simply as possible and provide a straightforward, concise description of the Respondent's capabilities to satisfy the requirements of the RFP. Expensive bindings, color displays, promotional material, etc. are not necessary or desired. **Emphasis should be concentrated on accuracy, completeness, and clarity of content.** All parts, pages, figures, and tables should be numbered and clearly labeled. Vague terms such as "Respondent complies" or "Respondent understands" should be avoided.

### 3.2 Response Date

To be considered, sealed proposals must arrive on or before the location, time and date specified in Section 3.1.A. **Requests for extension of the submission date will not be granted.** Respondents mailing proposals should allow ample delivery time to assure timely receipt of their proposals

### 3.3 Clarification of RFP and Questions

Questions that arise prior to or during proposal preparation must be submitted **in writing or via email** pursuant to the instructions in Section 1 of this RFP. Questions and answers will be provided to all Respondents who have received RFPs and must be acknowledged in the RFP response. No contact will be allowed between the Respondent and any other member of the County with regard to this RFP during the RFP process unless specifically authorized in writing by the RFP Coordinator. Prohibited contact may be grounds for Respondent disqualification.

### 3.4 Addenda to the RFP

In the event it becomes necessary to revise any part of this RFP, addenda will be provided to all Respondents that received the original RFP. **An acknowledgment of such addenda, if any, must be submitted with the RFP response. Applicants will only receive notices of addenda by downloading the original RFP document via the Monroe County website at [www.monroecounty.gov](http://www.monroecounty.gov).**

### 3.5 Organization of Proposal

This section outlines the information that must be included in your proposal. Please respond with your information in the same order as the items in the section.

**A. Transmittal Letter.** Each response to the RFP should be accompanied by a letter of transmittal not exceeding one (1) page that summarizes key points of the proposal and which is signed by an officer of the firm authorized to commit the Respondent to the obligations contained in the proposal. The transmittal letter should also include a phone number, fax number and e-mail address for the Respondent's contact person.

**B. Table of Contents.** Include a Table of Contents at the beginning, which clearly outlines the contents of your proposal.

**C. Company Information.** Provide information related to your company and any companies you are proposing to use as sub-contractors. Specifically address the following:

1. Year the company was organized.
2. Identification of company ownership.

3. Financial history of the company covering the last three years. Attach the most recent copy of your latest financial statements prepared by an independent certified public accountant in accordance with generally accepted accounting principals. Also include the following information: current balance sheet, statement of revenues and expenses, statement of cash flows, and appropriate notes to these documents. 501(c)(3) organizations must submit their most recent Form 990.
4. Functions and location of your nearest regional office to Monroe County.
5. Anticipated growth of your organization including expansion of the client base and acquisitions
6. Any conflicts of interest that may affect the County's potential selection of, or entering into an agreement with, your organization, i.e. your organization currently holds an agreement with the County for other services, a relative of any employee if the Respondent is a member of the selection committee, etc.

**D. Experience.** Provide information that clearly demonstrates your organization's prior experience and background (both business and technical) in engagements similar to this project. This section must include:

1. A list of at least three prior successful Energy Reduction plans your organization has completed either as a consultant or contractor.
2. A list of all public sector clients in the State of New York, the dates of engagement for each client. Include the following information for each public sector client:
  - a. Name and address of the client;
  - b. Approximate annual budget;
  - c. Name and telephone number of contact person;
  - d. Summary of the savings and/or cost reductions obtained on behalf of the client as a result of your services.
2. Résumés for the key personnel to be involved in providing services to the County.

**E. Respondent's proposal.** Respondent must submit a detailed Project Narrative and Work Plan that describes:

- 1) its expertise and that of its proposed personnel and how its management procedures will ensure quality work is performed;
- 2) how its proposed services and proposed work plan will meet the tasks and deliverables as described in Section 2 of this Request for Proposals;
- 3) proposed quality control mechanisms that ensure a high level of quality and commitment to excellence.

**F. Cost Proposal.** Respondents must detail the proposed method of compensation for the services.

**G. Insurance Certificates.** Each Respondent must supply a copy of their current Certificate of Insurance showing the insurance coverage at or above those described in Section 4.13 of this RFP.

**H. Exceptions to General Information for the Respondent.** For all exceptions to Section 4, the Respondent must indicate on a separate sheet labeled "Exceptions Taken to the General Information for the Respondent," the section number of any requirement to which an exception is being taken and an explanation of their position.

**I. Exceptions to the Standard Monroe County Contract.** For all exceptions to the Standard Monroe County Contract, the Respondent must indicate on a separate sheet labeled "Exceptions Taken to the Standard Monroe County Contract," the section number of any requirement to which an exception is being taken and an explanation of their position. It is not intended that new contract wording be proposed by the Respondent, but rather that the Respondent explain their position so that the conflict can be evaluated. If no exceptions are noted, the Respondent is presumed to have agreed with all sections of the standard contract.

**J. Certification.** Proposals should include a letter from an authorized corporate officer certifying the accuracy of the information provided and guaranteeing the proposed prices.

### **3.6 Method of Evaluation**

**A. Evaluation Committee:** Selected personnel from the County will form the evaluation committee for this RFP. It will be the responsibility of this committee to evaluate all properly prepared and submitted proposals for the RFP and make a recommendation for award.

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

Upon review of proposals received in response to this RFP, the County expects to select a single Energy Services Company (ESCO), or similarly qualified Respondent, to provide comprehensive energy services as outlined in Section 2 above. If a viable project is identified, the selected Respondent and the County will then negotiate an energy performance contract to provide for the implementation of the proposed project.

Proposals will be evaluated and scored on the basis of the following criteria:

1. **Qualifications and Project Experience Rating**

Points will be awarded based on demonstrated experience with similar projects and responses from project references. Experience with similar projects will be understood to include development of design-build projects, performance contracts, or as a first tier subcontractor on a significant design-build/performance contract project.

2. Staffing Plan

Points will be awarded based on qualifications of proposed project team professionals, documented technical and project administration skills, and experience of the proposed project team. Only those individuals proposed to work directly on the subject project should be included in the Staffing Plan. Project teams that are primarily or completely composed of staff from the proposer will be ranked higher. Indicate what disciplines will be self-performed and supply resumes for all superintendents and foremen that will make up the self-performance team.

3. Technical Capability

Points will be awarded based on the approach your organization will take in delivering the comprehensive technical services required to audit, design, install, monitor and maintain the proposed energy efficiency improvements. Project teams that can deliver the aforementioned project services primarily or completely composed of staff from the proposer's organization will be ranked higher.

4. Financial Terms

The County is interested in selecting a Respondent that conducts business with a philosophy of full disclosure of all project costs.

Consideration will be given to proposals that responsibly maximize the net economic benefit to the County over the term of the energy services agreement, and that responsibly minimize the risk to the County in connection with the proposed transaction.

Factors that will be considered include: installation cost, the proposed term (length) of the energy services agreement, the approach to project financing, and the projected net dollar benefit to the County from entering into the transaction. It will be required that all respondents provide a parental guarantee. A commitment letter from the parent company will be required with this response.

5. Proposed Project Schedule

Proposals will be evaluated on the reasonableness, clear presentation, length and detail of the proposed project schedule. The proposal should include descriptions of how the proposer intends to achieve the project schedule.

6. Other Pertinent Criteria

Proposals may be evaluated based on other criteria, as determined by the Evaluation Committee, if necessary.

**C. Contract Approval Process:** Respondents must be aware that any contract resulting from this request for proposals is subject to prior approval by the Monroe County Legislature and the Monroe County Law Department.

### **3.7 Oral Presentation**

Respondents who submit a proposal may also be required to make an oral presentation of their proposal to the County. These presentations will provide an opportunity for the Respondent to clarify their proposal to ensure a thorough mutual understanding. At the same time, the County is under no obligation to offer any Respondent the opportunity to make such a presentation.

### **3.8 Investigations**

The County reserves the right to conduct any investigations necessary to verify information submitted by the Respondent and/or to determine the Respondent's capability to fulfill the terms and conditions of the RFP contract document. The County reserves the right to visit a prospective Respondent's place of business to verify the existence of the company and the management capabilities required to administer this agreement. The County will not consider Respondents that are in bankruptcy or in the hands of a receiver at the time of tendering a proposal or at the time of entering into a contract.

## **SECTION 4 - GENERAL INFORMATION FOR THE RESPONDENT**

### **4.1 Reservation of Rights**

The County reserves the right to refuse any and all proposals, in part, or in their entirety, or select certain products from various Respondent proposals, or to waive any informality or defect in any proposal should it be deemed to be in the best interest of the County. The County is not committed, by virtue of this RFP, to award a contract, or to procure or contract for services. The proposals submitted in response to this request become the property of the County. If it is in its best interest to do so, the County reserves the right to:

- A. Make selections based solely on the proposals or negotiate further with one or more Respondents. The Respondent selected will be chosen on the basis of greatest benefit to the County as determined by an evaluation committee.
- B. Negotiate contracts with the selected Respondents.
- C. Award a contract to more than one Respondent.

### **4.2 Contract Negotiation**

Negotiations may be undertaken with those Respondents whose proposals prove them to be qualified, responsible, and capable of fulfilling the requirements of this RFP. The contract that may be entered into will be the most advantageous to the County, price and other factors considered. The County reserves the right to consider proposals or modifications thereof received at any time before a contract is awarded, if such action is in the best interest of the County. Attached as RFP Appendix A is a copy of the Standard Monroe County Contract which contains mandatory provisions.

**Negotiations do not include further revisions to the mandatory provisions depicted in Appendix A.** Respondents must take exception as instructed in Section 3.5.I. if necessary. Any exceptions will be evaluated by the Monroe County Law department prior to proposal rating.

### **4.3 Acceptance of Proposal Content**

The contents of the proposal of the successful Respondent may become contractual obligations, should a contract ensue. Failure of a Respondent to accept these obligations may result in cancellation of the award. The awarded respondent will be required to provide Monroe County with a *Word* version of its final proposal.

### **4.4 Prime Responsibilities**

**The selected Respondent will be required to assume responsibility for all services offered in its proposal whether or not provided by them.** The selected Respondent will be liable, both individually and severally, for the performance of all obligations under the awarded contract and will not be relieved of non-performance of any of its subcontractors. Further, the County shall approve all subcontractors and will consider the selected Respondent to

be the sole point of contact with regard to contractual matters, including payment of any and all charges resulting from the contract.

#### **4.5 Property Rights**

For purposes of this RFP and for the contract, the term “Work” is defined as all data, records, files, information, work products, discs or tapes developed, produced or generated in connection with the services to be provided by the Respondent. The County and the Respondent intend the contract to be a contract for services and each considers the Work and any and all documentation or other products and results of the services to be rendered by the Respondent to be a work made for hire. In submitting a proposal in response to this RFP, the Respondent acknowledges and agrees that the Work (and all rights therein) belongs to and shall be the sole and exclusive property of the County.

The Respondent and the Respondent’s employees shall have no rights in or ownership of the Work and any and all documentation or other products and results of the services or any other property of the County. Any property or Work not specifically included in the Contract as property of the Respondent shall constitute property of the County.

In addition to compliance with the right to audit provisions of the contract, the Respondent must deliver to the County, no later than the twenty-four (24) hours after receipt of the County’s written request for same; all completed, or partially completed, Work and any and all documentation or other products and results of the services under such contract. The Respondent’s failure to timely deliver such work or any and all documentation or other products and results of the services will be considered a material breach of the contract. With the prior written approval of the County, this twenty-four (24) hour period may be extended for delivery of certain completed, or partially completed, work or other such information, if such extension is in the best interests of the County.

The Respondent will not make or retain any copies of the Work or any and all documentation or other products and results of the services provided under such Contract without the prior written consent of the County.

#### **4.6 Contract Payment**

Actual terms of payment will be the result of agreements reached between Monroe County and the Respondent selected.

#### **4.7 News Release**

News releases pertaining to this RFP or the services to which it relates will not be made without prior approval by the County and then only in coordination with the County Department of Communications and Special Events.

#### **4.8 Notification of Respondent Selection**

All Respondents who submit proposals in response to this RFP will be notified by the RFP Coordinator of acceptance or rejection of their proposal.

#### **4.9 Independent Price Determination**

- A. By submission of a proposal, the Respondent certifies, and in case of a joint proposal, each party thereto certifies as to its own organization, that in connection with the proposal:
- (1) The prices in the proposal have been arrived at independently without consultation, communication, or agreement, with any other Respondent or competitor for the purpose of restricting competition; and
  - (2) No attempt has been made or will be made by the Respondent to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.
- B. Each person signing the proposal certifies that:
- (1) They are the person in the Respondent's organization responsible within that organization for the decision as to prices being offered in the proposal and they have not participated and will not participate in any action contrary to A (1) and (2) above; or
  - (2) They are not the person in the Respondent's organization responsible within that organization for the decision as to prices being offered in the proposal but that he has been authorized in writing to act as agent for the persons responsible for such decisions in certifying that such persons have not participated, and will not participate, in any action contrary to A (1) and (2) above, and that as their agent, does hereby so certify; and that he has not participated, and will not participate in any action contrary to A (1) and (2) above.
- C. A proposal will not be considered for award if the sense of the statements required in the proposal has been altered so as to delete or modify A (1) and (2) above.

#### **4.10 Incurring Costs**

The County is not liable for any costs incurred by Respondent prior to the effective date of the contract.

#### **4.11 Material Submitted**

All right, title and interest in the material submitted by the Respondent as part of a proposal shall vest in Monroe County upon submission of the Respondent's proposal to Monroe County without any obligation or liability by Monroe County to the Respondent. Monroe County has the right to use any or all ideas presented by a Respondent.

Monroe County reserves the right to ownership, without limitation, of all proposals submitted. However, because Monroe County could be required to disclose proposals under the New York Freedom of Information Law (Public Officers Law §§ 84 – 90), Monroe County will, to the extent permitted by law,

seek to protect the Respondent's interests with respect to any trade secret information submitted as follows:

Pursuant to Public Officers Law § 87, Monroe County will deny public access to Respondent's proposal to the extent the information constitutes a trade secret, which if disclosed would cause substantial harm to the Respondent's competitive position, provided the Respondent identified the information it considers to be a trade secret and explains how disclosure would cause harm to the Respondent's competitive position.

#### **4.12 Indemnification**

The Respondent shall defend, indemnify and save harmless the County, its officers, agents, servants and employees from and against all liability, damages, costs or expenses, causes of actions, suits, judgments, losses, and claims of every name not described, including attorneys' fees and disbursements, brought against the County which may arise, be sustained, or occasioned directly or indirectly by any person, firm or corporation arising out of or resulting from the performance of the services by the Respondent, its agents or employees, the provision of any products by the Respondent, its agents or employees, arising from any act, omission or negligence of the Respondent, its agents or employees, or arising from any breach or default by the Respondent, its agents or employees under the Agreement resulting from this RFP. Nothing herein is intended to relieve the County from its own negligence or misfeasance or to assume any such liability for the County by the Respondent.

#### **4.13 Insurance Requirements**

The Respondent shall procure and maintain at their own expense until final completion of the work covered by the Contract, insurance for liability for damages imposed by law of the kinds and in the amounts hereinafter provided, issued by insurance companies authorized to do business in the State of New York, covering all operations under the Contract whether performed by the Respondent or by their subcontractors.

The successful Respondent shall furnish to the County a certificate or certificates of insurance in a form satisfactory to the County Attorney showing that he has complied with all insurance requirements set forth in the contract for services, that certificate or certificates shall provide that the policies shall not be changed or canceled until thirty (30) days written notice has been given to the County. Except for Workers' Compensation Insurance, no insurance required herein shall contain any exclusion of municipal operations performed in connection with the Contract resulting from this proposal solicitation. The kinds and amounts of insurance are as follows:

- A. **WORKERS' COMPENSATION AND DISABILITY INSURANCE:** A policy covering the operations of the Respondent in accordance with the provisions of Chapter 41 of the Laws of 1914, as amended, known as the Workers' Compensation Law, covering all operations under contract, whether performed by them or by their subcontractors. The Contract shall be void and of no effect unless the person or corporation making or executing same shall secure compensation coverage for the benefits of, and keep insured during the life of said Contract, such employees in compliance with the provisions of the Workers' Compensation Law

known as the Disability Benefits Law (chapter 600 of the Laws of 1949) and amendments hereto.

- B. LIABILITY AND PROPERTY DAMAGE INSURANCE issued to the Respondent naming Monroe County as an additional insured, and covering liability with respect to all work performed by him under the Contract. The policy must be endorsed by the insurance carrier to authorize the additional insured designation. The minimum limits for this policy for property damage and personal injury shall be \$1,000,000 per occurrence and \$3,000,000 aggregate covered under liability and damage property. All of the following coverage shall be included:

- Comprehensive Form
- Premises-Operations
- Products/Completed Operations
- Contractual Insurance covering the Hold Harmless Provision
- Broad Form Property Damage
- Independent Respondents
- Personal Injury

- C. CONTRACTOR'S GENERAL PROTECTIVE LIABILITY INSURANCE issued to the Respondent and covering the liability for damages imposed by law upon the said Respondent for the acts or neglect of each of his subcontractors with respect to all work performed by said subcontractors under the Contract.
- D. PROFESSIONAL LIABILITY INSURANCE covering errors and omissions of the Respondent with minimum limits of \$1,000,000 per occurrence and \$3,000,000 aggregate coverage.
- E. MOTOR VEHICLE INSURANCE issued to the Respondent naming Monroe County as an additional insured, and covering liability and property damage on the Respondent's vehicles in the amount of \$1,000,000 per occurrence. The policy must be endorsed by the insurance carrier to authorize the additional insured designation.

#### **4.14 Proposal Certification**

The Respondent must certify that all material, supervision, and personnel will be provided as proposed, at no additional cost above the proposal price. Any costs not identified and subsequently incurred by the County must be borne by the Respondent. This certification is accomplished by having the Proposal signed by an individual who has the authority to bind the Respondent.

## APPENDIX A

### SAMPLE STANDARD MONROE COUNTY CONTRACT

*The County contemplates that, in addition to all terms and conditions described in this RFP, final agreement between the County and the selected Respondent will include, without limitation, the terms contained in this Appendix A, Standard Monroe County Contract.*

*Respondents should note that, at a minimum, all the contractual provisions included in the sample contract herein will automatically be deemed part of the final Contract. Although such provisions will govern all proposals as submitted, the County may later amend such provisions. The sample contract is included so that all proposals will be governed by the same contractual terms*

THIS AGREEMENT, made this \_\_\_\_ day of \_\_\_\_\_, 20\_\_, by and between MONROE COUNTY, a municipal corporation, with offices at 39 West Main Street, Rochester, New York 14614, hereinafter referred to as the "COUNTY", and \_\_\_\_\_ with offices at \_\_\_\_\_, hereinafter referred to as the "CONTRACTOR".

#### WITNESSETH:

**WHEREAS**, the County is desirous of obtaining the services of the CONTRACTOR to perform the scope of work set forth in Section 1 hereof, and

**WHEREAS**, the COUNTY issued a Request for Proposal ("RFP"), and

**WHEREAS**, the CONTRACTOR has submitted a proposal, dated \_\_\_\_\_, to perform the requested services, and

**WHEREAS**, the County Legislature of the County of Monroe by Resolution Number \_\_\_\_ of 20\_\_, authorized the County Executive, or her designee, to enter into a contract for services as hereinafter described, and

**WHEREAS**, the CONTRACTOR is willing, able, and qualified to perform such services,

**NOW, THEREFORE**, in consideration of the mutual covenants and agreements hereinafter set forth the parties hereto mutually agree as follows:

#### I. SCOPE OF SERVICES

The Contractor shall perform the following services for the County:

- A.
- B.

#### II. TERM OF CONTRACT

The term of this Agreement shall be for the period of \_\_\_\_\_ through \_\_\_\_\_.

This Agreement shall remain in effect for the period specified above, unless it is terminated by either party hereto, upon 30 day's prior written notice sent by registered or certified mail to the County's \_\_\_\_\_ Director or the Contractor. This notice shall be sent to the respective party at the addresses first above set forth or at such other address as specified in writing by either party. Upon termination of this Agreement, the Contractor shall have no further responsibility to the County or to any other person with respect to those services specified in this Agreement. Upon termination of this Agreement, the County shall be obligated to pay the Contractor for services only performed through the date of termination. Following such payment, the County shall have no further obligations to the Contractor under this Agreement.

### **III. PAYMENT FOR SERVICES**

The County agrees to pay the Contractor, and the Contractor agrees to be paid, a sum in full satisfaction of all expenses and compensation due the Contractor not to exceed \_\_\_\_\_ (\$\_\_\_\_\_).

Payment by the County for the sum(s) herein contracted for shall be made upon the submission of properly executed Monroe County claim vouchers, supported with such information and documentation necessary to substantiate the voucher, approved by the County's Director of \_\_\_\_\_, or by his/her designee, and audited by the Controller of the County.

The County may audit records relating to expenses for services provided by the Contractor pursuant to this Agreement at any time during this Agreement and through and including twelve (12) months following this Agreement.

The Contractor shall prepare and make available such statistical and financial service and other records requested by the County. These records shall be subject at all reasonable times to inspection, review or audit by the County, the State of New York and other personnel duly authorized by the County. These records shall be maintained for the period set forth in the State regulations.

### **IV. AMENDMENTS**

This Agreement may be modified or amended only in writing duly executed by both parties. Any modification or amendment shall be attached to and become part of this Agreement. All notices concerning this Agreement shall be delivered in writing to the parties at the principal addresses as set forth above unless either party notifies the other of a change in address.

### **V. INSURANCE**

The Contractor will at its own expense, procure and maintain a policy or policies of insurance during the term of this Agreement. The policy or policies of insurance required are standard Workers' Compensation and Disability Insurance, if required by law; professional liability and general liability insurance (including, without limitation, contractual liability) with single limits of liability in the amount of \$1,000,000 per occurrence, and \$3,000,000 aggregate coverage; automobile liability insurance in the

amount of \$1,000,000 with a minimum of \$1,000,000 each occurrence, bodily injury, and property damage. Original certificates evidencing such coverage and indicating that such coverage will not be cancelled or amended in any way without thirty (30) days prior written notice to the County, shall be delivered to the County before final execution of this Agreement and original renewal certificates conforming to the requirements of this section shall be delivered to the County at least sixty (60) days prior to the expiration of such policy or policies of insurance. The Contractor's General Liability and Automobile Liability insurances shall provide for and name Monroe County as an additional insured. The policies must be endorsed by the insurance carrier to authorize the additional insured designation. All policies shall insure the County for all claims arising out of the Agreement. All policies of insurance shall be issued by companies in good financial standing duly and fully qualified and licensed to do business in New York State or otherwise acceptable to the County.

If any required insurance coverage contain aggregate limits or apply to other operations of the Contractor, outside of those required by this Agreement, the Contractor shall provide Monroe County with prompt written notice of any incident, claims settlement, or judgment against that insurance which diminishes the protection of such insurance affords Monroe County. The Contractor shall further take immediate steps to restore such aggregate limits or shall provide other insurance protection for such aggregate limits.

## **VI. INDEMNIFICATION**

The Contractor shall defend, indemnify and save harmless the County, its officers, agents, servants and employees from and against all liability, damages, costs or expenses, causes of actions, suits, judgments, losses, and claims of every name not described, including attorneys' fees and disbursements, brought against the County which may arise, be sustained, or occasioned directly or indirectly by any person, firm or corporation arising out of or resulting from the performance of the services by the Contractor, its agents or employees, the provision of any products by the Contractor, its agents or employees, arising from any act, omission or negligence of the Contractor, its agents or employees, or arising from any breach or default by the Contractor, its agents or employees under the Agreement resulting from this RFP. Nothing herein is intended to relieve the County from its own negligence or misfeasance or to assume any such liability for the County by the Contractor.

## **VII. INDEPENDENT CONTRACTOR**

For the purpose of this Agreement, the Contractor is and shall in all respects be considered an independent contractor. The Contractor, its individual members, directors, officers, employees and agents are not and shall not hold themselves out nor claim to be an officer or employee of Monroe County nor make claim to any rights accruing thereto, including, but not limited to, Workers' Compensation, unemployment benefits, Social Security or retirement plan membership or credit.

The Contractor shall have the direct and sole responsibility for the following: payment of wages and other compensation; reimbursement of the Contractor's employees' expenses; compliance with Federal, state and local tax withholding requirements pertaining to income taxes, Workers' Compensation, Social Security, unemployment

and other insurance or other statutory withholding requirements; and all obligations imposed on the employer of personnel. The County shall have no responsibility for any of the incidences of employment.

### **VIII. TITLE TO WORK**

- A. The title to all work performed by the Contractor and any unused materials or machinery purchased by the Contractor with funds provided by the County in order to accomplish the work hereunder shall become legally vested to the County upon the completion of the work required under this Agreement. The Contractor shall obtain from any subcontractors and shall transfer, assign, and/or convey to Monroe County all exclusive, irrevocable, or other rights to all work performed under this Agreement, including, but not limited to trademark and/or service mark rights, copyrights, publication rights, distribution rights, rights of reproduction, and royalties.
- B. No information relative to this Agreement shall be released by the Contractor or its employees for publication, advertising or for any other purpose without the prior written approval of the County. The Contractor hereby acknowledges that programs described herein are supported by this Agreement by the County and the Contractor agrees to state this fact in any and all publicity, publications and/or public information releases.

### **IX. EXECUTORY NATURE OF CONTRACT**

This Agreement shall be deemed executory only to the extent of the funding available and the County shall not incur any liability beyond the funds annually budgeted therefore. The County may make reductions in this Agreement for the loss/reduction in State Aid or other sources of revenues. If this occurs, the Contractor's obligations regarding the services provided under this Agreement may be reduced correspondingly.

### **X. NO ASSIGNMENT WITHOUT CONSENT**

The Contractor shall not, in whole or in part, assign, transfer, convey, sublet, mortgage, pledge, hypothecate, grant any security interest in, or otherwise dispose of this Agreement or any of its right, title or interest herein or its power to execute the Agreement, or any part thereof to any person or entity without the prior written consent of the County.

### **XI. FEDERAL SINGLE AUDIT ACT**

In the event the Contractor is a recipient through this Agreement, directly or indirectly, of any funds of or from the United States Government, Contractor agrees to comply fully with the terms and requirements of Federal Single Audit Act [Title 31 United States Code, Chapter 75], as amended from time to time. The Contractor shall comply with all requirements stated in Federal Office of Management and Budget Circulars A- 102, A-110 and A-133, and such other

circulars, interpretations, opinions, rules or regulations that may be issued in connection with the Federal Single Audit Act.

Of the amount specified in Section \_\_\_\_ of this Agreement, \_\_\_\_\_ (\$\_\_\_\_\_) of such amount or \_\_\_\_\_ (\_\_\_\_%) of such amount, is being passed-through the County from the United States Government under the following:

Award Name:

Award Number:

Award Year:

Name of Federal Agency:

Catalog of Federal Domestic Assistance (CFDA) Number:

The Award [ ] is [ ] is not related to Research and Development.

If on a cumulative basis the Contractor expends Five Hundred Thousand and no/100 Dollars (\$500,000.00) or more in federal funds in any fiscal year, it shall cause to have a single audit conducted, the Data Collection Form (defined in Federal Office of Management and Budget Circular A-133) shall be submitted to the County; however, if there are findings or questioned costs related to the program that is federally funded by the County, the Contractor shall submit the complete reporting package (defined in Federal Office of Management and Budget Circular A-133) to the County.

If on a cumulative basis the Contractor expends less than Five Hundred Thousand and no/100 Dollars (\$500,000.00) in federal funds in any fiscal year, it shall retain all documents relating to the federal programs for three (3) years after the close of the Contractor's fiscal year in which any payment was received from such federal programs.

All required documents must be submitted within nine (9) months of the close of the Contractor's fiscal year end to:

Monroe County Internal Audit Unit  
401 County Office Building  
39 West Main Street  
Rochester, New York 14614

The Contractor shall, upon request of the County, provide the County such documentation, records, information and data and response to such inquiries as the County may deem necessary or appropriate and shall fully cooperate with internal and/or independent auditors designated by the County and permit such auditors to have access to, examine and copy all records,

documents, reports and financial statements as the County deems necessary to assure or monitor payments to the Contractor under this Agreement.

The County's right of inspection and audit pursuant to this Agreement shall survive the payment of monies due to Contractor and shall remain in full force and effect for a period of three (3) years after the close of the Contractor's fiscal year in which any funds or payment was received from the County under this Agreement.

## **XII. RIGHT TO INSPECT**

Designated representatives of the County shall have the right to monitor the provision of services under this Agreement which includes having access at reasonable times and places to the Contractor's employees, reports, books, records, audits and any other material relating to the delivery of such services. The Contractor agrees to maintain and retain all pertinent records related to this Agreement for a period of ten (10) years after final payment.

## **XIII. JOB OPENINGS**

The Contractor recognizes the continuing commitment on the part of Monroe County to assist those receiving temporary assistance to become employed in jobs for which they are qualified, and the County's need to know when jobs become available in the community.

The Contractor agrees to notify the County when the Contractor has or is about to have a job opening within Monroe County. Such notice shall be given as soon as practicable after the Contractor has knowledge that a job opening will occur. The notice shall contain information that will facilitate the identification and referral of appropriate candidates in a form and as required by the Employment Coordinator. This would include at least a description of conditions for employment, including the job title and information concerning wages, hours per work week, location and qualifications (education and experience.)

Notice shall be given in writing to:

Employment Coordinator  
Monroe County Department of Human Services  
Room 535  
691 St. Paul St.  
Rochester, New York 14605  
Fax: (585) 753-6322  
Telephone: (585) 753-6308

The Contractor recognizes that this is an opportunity to make a good faith effort to work with Monroe County for the benefit of the community. Nothing contained in this provision, however, shall be interpreted as an obligation on the part of the Contractor to employ any individual who may be referred by or through the County for job openings as a result of the above notice. Any

decisions made by the Contractor to hire any individual referred by or through the County shall be voluntary and based solely upon the Contractor's job requirements and the individual's qualifications for the job, as determined by the Contractor.

#### **XIV. NON-DISCRIMINATION**

The Contractor agrees that in carrying out its activities under the terms of the Agreement that it shall not discriminate against any person due to such person's age, marital status, disability, genetic predisposition or carrier status, race, color, creed, sexual orientation, sex or national origin, and that at all times it will abide by the applicable provisions of the Human Rights Law of the State of New York as set forth in Section 290-301 of the Executive Law of the State of New York.

#### **XV. CONTRACTOR QUALIFIED, LICENSED, ETC.**

The Contractor represents and warrants to the County that it and its employees is duly and fully qualified under the laws of the state of its incorporation and of the State of New York, to undertake the activities and obligations set forth in this Agreement, that it possesses as of the date of its execution of this Agreement, and it will maintain throughout the term hereof, all necessary approvals, consents and licenses from all applicable government agencies and authority and that it has taken and secured all necessary board of directors and shareholders action and approval.

#### **XVI. CONFIDENTIAL INFORMATION**

For the purpose of this Agreement, "Confidential Information" shall mean information or material proprietary to the County or designated as "Confidential Information" by the County, and not generally known by non-County personnel, which Contractor may obtain knowledge of or access to as a result of a contract for services with the County. The Confidential Information includes, but is not limited to, the following types of information or other information of a similar nature (whether or not reduced to writing): methods of doing business, computer programs, computer network operations and security, finances and other confidential and proprietary information belonging to the County. Confidential Information also includes any information described above which the County obtained from another party which the County treats as proprietary or designates as Confidential Information, whether or not owned or developed by the County. Information publicly known and that is generally employed by the trade at the time that Contractor learns of such information or knowledge shall not be deemed part of the Confidential Information.

##### **1. Scope of Use**

- a. Contractor shall not, without prior authorization from Monroe County, acquire, use or copy, in whole or in part, any Confidential Information.

- b. Contractor shall not disclose, provide or otherwise make available, in whole or in part, the Confidential Information other than to those employees of Contractor who have executed a confidentiality agreement with the County, have a need to know such Confidential Information, and who have been authorized by Monroe County to receive such Confidential Information.
- c. Contractor shall not remove or cause to be removed, in whole or in part, from County facilities, any Confidential Information, without the prior written permission of Monroe County.
- d. Contractor shall take all appropriate action, whether by instruction, agreement or otherwise, to insure the protection, confidentiality and security of the Confidential Information and to satisfy its obligations under this Confidentiality Agreement.

## **2. Nature of Obligation**

- a. Contractor acknowledges that the County, because of the unique nature of the Confidential Information, would suffer irreparable harm in the event that Contractor breaches its obligation under this Agreement in that monetary damages would be inadequate to compensate the County for such a breach. The parties agree that in such circumstances, the County shall be entitled, in addition to monetary relief, to injunctive relief as may be necessary to restrain any continuing or further breach by Contractor, without showing or proving any actual damages sustained by the County.

## **XVII. GENERAL PROVISIONS**

This Agreement constitutes the entire Agreement between the County and the Contractor and supersedes any and all prior Agreements between the parties hereto for the services herein to be provided. The Agreement shall be governed by and construed in accordance with the laws of New York State without regard or reference to its conflict of law principles.

## **XVIII. FEDERAL, STATE AND LOCAL LAW AND REGULATIONS COMPLIANCE**

Notwithstanding any other provision in this Agreement, the Contractor remains responsible for ensuring that any service(s) provided pursuant to this Agreement complies with all pertinent provisions of Federal, State and local statutes, rules and regulations.

## **XIX. USAGE OF COMPUTER AND ELECTRONIC EQUIPMENT**

The Contractor acknowledges and agrees that usage of any computer hardware, computer software and/or electronic equipment used in the course of carrying out duties under this Agreement will be governed by all applicable laws, rules and regulations, including County policies and procedures.

**XX. MISCELLANEOUS**

The Contractor agrees to comply with all confidentiality and access to information requirements in Federal, State and Local laws and regulations.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement the last day and year written below.

**COUNTY OF MONROE**

By \_\_\_\_\_  
Maggie Brooks  
County Executive

**CONTRACTOR**

By \_\_\_\_\_

Name:

Title:

\_\_\_\_\_  
Contractor's Federal ID Number or  
Social Security Number

State of New York )  
 ) ss:  
County of Monroe )

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

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

State of New York )  
 ) ss:  
County of Monroe )

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

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

**SAMPLE CONTRACT APPENDIX A  
CERTIFICATION REGARDING  
DEBARMENT, SUSPENSION, AND RESPONSIBILITY**

The undersigned certifies, to the best of his/her knowledge and belief, that the Contractor and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
2. Have not within a three-year period preceding this transaction/application/proposal/ contract/agreement been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph 2 of this certification; and
4. Have not within a three-year period preceding this transaction/application/proposal/contract/agreement had one or more public transactions (Federal, State or local) terminated for cause or default.

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

\_\_\_\_\_  
[Print Name of Contractor]

By: \_\_\_\_\_  
[Print Signature]

\_\_\_\_\_  
[Print Name]

\_\_\_\_\_  
[Print Title/Office]

## **APPENDIX B**

### **NEW YORK STATE ENERGY LAW ARTICLE 9 - ENERGY PERFORMANCE CONTRACTS IN CONNECTION WITH PUBLIC BUILDINGS AND FACILITIES**

#### **§9-101. Purpose**

The purpose of this article is to obtain long-term energy and cost savings for agencies and municipalities by facilitating prompt incorporation of energy conservation improvements or energy production equipment, or both, in connection with buildings or facilities owned, operated or under the supervision and control of agencies or municipalities, in cooperation with providers of such services and associated materials from the private sector. Such arrangements will improve and protect the health, safety, security, and welfare of the people of the state by promoting energy conservation and independence, developing alternate sources of energy, and fostering business activity.

#### **§ 9-102. Definitions**

For the purposes of this article, the following words and phrases shall have the following meanings unless a different meaning is plainly required by the context.

1. "Owner" means any state department, agency, board, commission, office, or division.
2. "Municipality" means a municipal corporation, as defined in section two of the general municipal law, school district, board of cooperative educational services, fire district, district corporation or special improvement district governed by a separate board of commissioners.
3. "Public authority" means any public authority, public benefit corporation, or the port authority of New York and New Jersey, to the extent its facilities are located within the state of New York.
4. "Energy performance contract" means an agreement for the provision of energy services, including but not limited to electricity, heating, ventilation, cooling, steam or hot water, in which a person agrees to install, maintain or manage energy systems or equipment to improve the energy efficiency of, or produce energy in connection with, a building or facility in exchange for a portion of the energy savings or revenues.

#### **§ 9-103. Energy performance contracts**

1. Notwithstanding any other provision of law, any agency, municipality, or public authority, in addition to existing powers, is authorized to enter into energy performance contracts of up to thirty-five years duration, provided, that the duration of any such contract shall not exceed the reasonably expected useful life of the energy facilities or equipment subject to such contract.
2. Any energy performance contract entered into by any agency or municipality shall

contain the following clause: "This contract shall be deemed executory only to the extent of the monies appropriated and available for the purpose of the contract, and no liability on account therefore shall be incurred beyond the amount of such monies. It is understood that neither this contract nor any representation by any public employee or officer creates any legal or moral obligation to request, appropriate or make available monies for the purpose of the contract."

3. In the case of a school district or a board of cooperative educational services, an energy performance contract shall be an ordinary contingent expense, and shall in no event be construed as or deemed a lease or lease-purchase of a building or facility, for purposes of the education law.
4. Agencies, municipalities, and public authorities are encouraged to consult with and seek advice and assistance from the New York state energy research and development authority concerning energy performance contracts.
5. Notwithstanding any other provision of law, in order to convey an interest in real property necessary for the construction of facilities or the operation of equipment provided for in an energy performance contract, any agency, municipality or public authority may enter into a lease of such real property to which it holds title or which is under its administrative jurisdiction as is necessary for such construction or operation, with an energy performance contractor, for the same length of time as the term of such energy performance contract, and on such terms and conditions as may be agreeable to the parties thereto and are not otherwise inconsistent with law, and notwithstanding that such real property may remain useful to such agency, municipality or public authority for the purpose for which such real property was originally acquired or devoted or for which such real property is being used.
6. In lieu of any other competitive procurement or acquisition process that may apply pursuant to any other provision of law, an agency, municipality, or public authority may procure an energy performance contractor by issuing and advertising a written request for proposals in accordance with procurement or internal control policies, procedures, or guidelines that the agency, municipality, or public authority has adopted pursuant to applicable provisions of the state finance law, the executive law, the general municipal law, or the public authorities law, as the case may be.
7. Sections one hundred three and one hundred nine-b of the general municipal law shall not apply to an energy performance contract for which a written request for proposals is issued pursuant to subdivision six of this section.
8. In the case of a school district or a board of cooperative educational services, an energy performance contract shall be developed and approved pursuant to the requirements of this section and pursuant to regulations promulgated by the commissioner of education in consultation with the New York state energy research and development authority. Such regulations shall include, but shall not be limited to: a list of the appropriate type of projects that qualify as energy performance contracts; an approval process that includes review of the type and nature of the proposed project, the scope and nature of the work to be performed, and a detailed breakdown of the energy savings to be derived each year and for the duration of the energy performance contract; and a process for ensuring that districts have obtained financing at the lowest cost possible. Such regulations shall require that all energy performance contracts which contain maintenance and monitoring charges as part of the energy performance contract price state such maintenance and monitoring charges separately in the contract in a clear and

conspicuous manner. Such regulations shall not apply to energy performance contracts entered into prior to the effective date of such regulations, nor shall they apply to energy performance contracts for which a request for proposals was issued prior to such effective date.

Added L. 1985, c. 733, § 2; amended L. 1989, c. 638, §§ 1,2; amended L. 1994, c. 368, §§ 1,2; amended L.1995, c.83, §47; amended L. 1997, c. 436, §78.

**APPENDIX C**

**PROJECT IMPLEMENTATION COSTS**

Respondents must complete this Appendix to the best of their ability and attach it to their proposal. An electronic version of this Appendix may be obtained by email request to mbrennan@monroecounty.gov.

<b>Total Project Cost</b>	Less than \$750,000	\$750,001 to \$1,500,000	Greater than \$1,500,001
<u>Comprehensive Energy Audit:</u>	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
<u>Construction Mark-up (1)</u>			
Design and Specifications (A/E Fees)	<u>0.0 %</u>	<u>0.0 %</u>	<u>0.0 %</u>
Administration	<u>0.0 %</u>	<u>0.0 %</u>	<u>0.0 %</u>
Cost of Risk	<u>0.0 %</u>	<u>0.0 %</u>	<u>0.0 %</u>
Construction Management	<u>0.0 %</u>	<u>0.0 %</u>	<u>0.0 %</u>
Hazardous Waste Administration	<u>0.0 %</u>	<u>0.0 %</u>	<u>0.0 %</u>
Profit	<u>0.0 %</u>	<u>0.0 %</u>	<u>0.0 %</u>
Training	<u>0.0 %</u>	<u>0.0 %</u>	<u>0.0 %</u>
Other: _____	<u>0.0 %</u>	<u>0.0 %</u>	<u>0.0 %</u>
Total	<b>0.0 %</b>	<b>0.0 %</b>	<b>0.0 %</b>
<u>Ongoing Project Management Costs</u>			
Annual Service Agreement/Maintenance Cost	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
Annual Savings Measurement and	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
Other Service Fee	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
<u>Other Project Information</u>			
Escalation rate for Service	<u>0.0 %/yr</u>	<u>0.0 %/yr</u>	<u>0.0 %/yr</u>
Escalation rate for M&V	<u>0.0 %/yr</u>	<u>0.0 %/yr</u>	<u>0.0 %/yr</u>
Escalation rate for Energy	<u>0.0 %/yr</u>	<u>0.0 %/yr</u>	<u>0.0 %/yr</u>
Escalation rate for O&M Savings	<u>0.0 %/yr</u>	<u>0.0 %/yr</u>	<u>0.0 %/yr</u>

**Note 1.** For the purpose of calculating construction mark-up percentages, the unburdened construction cost shall be defined as the value of the final construction cost paid for facility improvements without any additional mark-up by the Respondent. Construction shall be defined as the cost of the facility improvement work and shall not include any of the activities listed above as overheads.

**Note 2.** The County has the option to obtain all project costs and have each cost element reviewed for reasonableness by an independent third party.