



**Battery Park
City Authority**

REQUEST FOR PROPOSALS
FOR
CAPITAL, BOND, AND INVESTMENT TRACKING AND
REPORTING SOFTWARE

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I. SUMMARY

Battery Park City Authority d/b/a Hugh L. Carey Battery Park City Authority ("BPCA") requests proposals (individually a "Proposal" and collectively the "Proposals") from software vendors (individually a "Proposer" and collectively the "Proposers") to provide BPCA with capital expenditure tracking and reporting and bond fund drawdown management software and implementation services (Scope A) and/or investment reconciliation and reporting software and implementation services (Scope B). Proposers may submit a Proposal for Scope A, Scope B, or both Scopes. Scope A and Scope B services shall include, but not be limited to, the following:

- **Scope A:** Capital Expenditure Tracking and Reporting and Bond Fund Drawdown Management. Scope A services shall include, but not be limited to: (1) capital expenditure tracking and reporting, including multi-year budgeting, funding source management, work order and allowance tracking, amendment tracking, real-time cost visibility, and configurable report generation by fund, project, fiscal year, and expenditure type; and (2) bond fund drawdown management, including tracking of bond disbursements, timing, and restrictions, drawdown request processing, approval workflows, historical drawdown reporting, and bond fund sustainability reporting.
- **Scope B:** Investment Reconciliation and Reporting. Scope B services shall include, but not be limited to: investment reconciliation and reporting, including portfolio management, trade entry and approval workflows, reconciliation of positions and transactions against custodial and advisor records, interest income tracking, book versus market valuation, and GASB-compliant footnote generation.

For both Scopes, services shall further include integration with BPCA's current general ledger system (Microsoft Dynamics GP) and its future successor ERP platform, including bidirectional data flows, scheduled imports and exports, and audit-ready logging.

A detailed scope of work for which the selected Proposer will be responsible is attached as **Exhibit A** (the "Work").

Created in 1968, BPCA is a New York State public benefit corporation responsible for financing, developing, constructing, maintaining, and operating Battery Park City as a richly diversified mixed use community providing residential and commercial space, with related amenities such as parks, plazas, recreational areas, and a waterfront esplanade. A summary of BPCA's structure, mission, and history, as well as the Battery Park City project area, may be viewed at: <http://bpca.ny.gov/>. Public information regarding BPCA's finances, budget, internal controls, guidelines, and policies may be viewed at: <http://bpca.ny.gov/public-information/>

New York State-certified Minority-Owned Business Enterprises ("MBE"), Women-Owned Business Enterprises ("WBE") and Service-Disabled Veteran-Owned Business Enterprises ("SDVOB") are encouraged to submit Proposals.

II. GENERAL PROVISIONS

This request for Proposals, including attachments, exhibits, and any amendments or addenda (collectively, the "RFP" or the "Solicitation") is subject to the rights reserved by BPCA, including, but not limited to BPCA's right to:

- Reject any or all Proposals received in response to the Solicitation;
- Withdraw the Solicitation at any time, at the Authority's sole discretion;
- Make an award under the Solicitation in whole or in part;
- Disqualify any Proposer whose conduct and/or Proposal fails to conform to the requirements of the Solicitation;
- Seek clarifications and/or revisions of a Proposal or any part of a Proposal;

- Use information obtained by the Authority through site visits; interviews; investigation of a Proposer’s qualifications, experience, ability or financial standing; and any other material or information provided by or received from the Proposer during the RFP process;
- Prior to the review of Proposals, direct Proposers to submit modifications to their Proposals addressing any subsequent amendments to the Solicitation;
- Request that Proposers submit best and final offers (“BAFOs”) after review and/or negotiation of Proposals;
- Change any of the scheduled dates contained in this RFP;
- Waive any non-material requirements of this RFP;
- Negotiate with any one or multiple Proposers within the scope of the Solicitation and in the best interests of the Authority;
- Conduct contract negotiations with any additional Proposer(s) if the Authority is unable to finalize contractual terms with the first selected Proposer;
- Utilize any and all ideas submitted in the Proposals received regardless of whether a contract is ultimately awarded pursuant to this RFP; and
- Require clarification at any time during the RFP process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of a Proposal and/or to determine a Proposer’s compliance with the requirements of the Solicitation.

BPCA is not liable or responsible in any way for any expenses incurred in the preparation of a Proposal in response to this RFP.

All information submitted in response to this RFP is subject to the Freedom of Information Law, Article 6 of the New York State Public Officers Law (“FOIL”), which requires public access to certain documents possessed by BPCA, unless a specific exemption applies. Proposers shall identify any information in their respective Proposals that they consider to be confidential and exempt from FOIL by clearly marking such information as confidential. Notwithstanding the foregoing, BPCA, is obligated to disclose information consistent with the requirements of FOIL, NYS Public Officers Law Section 87 and, to the extent that BPCA: (a) receives a request under FOIL for a Proposal submitted pursuant to this RFP; and (b) determines in its sole discretion that any information marked as confidential does not meet any of the exemptions contained in the applicable portions of the Public Officer’s Law, then BPCA will notify the Proposer of the information it intends to provide in response to the FOIL request and Proposer will have ten (10) business days to submit a written statement to BPCA explaining why such information should be exempt from disclosure under FOIL.

III. TIMETABLE & DESIGNATED CONTACT

A. Key Dates

Subject to change at BPCA’s discretion, the following are key dates for this RFP:

- RFP issued: MONDAY, JUNE 29, 2026
- Deadline to submit questions to BPCA: FRIDAY, JULY 10, 2026 by 4:00 p.m. (by email only)

All questions regarding this RFP should be submitted in writing via email : to the BPCA’s designated contact “Designated Contact”: Shinay Stewart, at shinay.stewart@bpca.ny.gov

- BPCA’s response to substantive questions: FRIDAY, JULY 17, 2026. Responses will be provided in the form of an addendum to be posted to the Authority’s website: <https://bpca.ny.gov/apply/rfp-opp/>
- PROPOSAL DUE DATE: FRIDAY, JULY 24, 2026 by 3:00 p.m. (the “Due Date”)

- Anticipated contract start date: SEPTEMBER 2026

B. Anticipated Contract Term

The anticipated term of the contract awarded pursuant to this RFP (the “Contract”) will be three (3) years with two (2) one-year renewal options which may be exercised by BPCA in its sole discretion upon notice to the vendor to whom the Contract is awarded in advance of the expiration of the initial three-year term. BPCA reserves the right to terminate the Contract at any time, with or without cause, in accordance with the terms of the Contract. BPCA’s sample form of contract is attached as Exhibit E.

IV. GENERAL REQUIREMENTS

A. Minimum Qualification Requirements

The following are the minimum qualification requirements for this RFP. Proposals that fail to meet these requirements will be rejected.

- 1) The proposer must be lawfully authorized to do business in the State of New York; and
- 2) **For Scope A:** The Proposer must have successfully implemented its proposed software solution for capital project tracking and reporting and bond fund management for at least three (3) clients. After implementation, such system must have been in production use for at least 12 months. At least one (1) such client is strongly preferred to be a government entity, public authority, or nonprofit organization. BPCA recognizes that certain functionality may have not been in production for 12 months, and Proposers are encouraged to clearly identify any such areas in their Proposal, as well as evidence of successful implementation.

For Scope B: The Proposer must have successfully implemented its proposed software solution for investment reconciliation and reporting for at least three (3) clients. After implementation, such system must have been in production use for at least 12 months. At least one (1) such client is strongly preferred to be a government entity, public authority, or nonprofit organization. BPCA recognizes certain functionality may have not been in production for 12 months, and Proposers are encouraged to clearly identify any such areas in their Proposal, as well as evidence of successful implementation.

For both Scopes: The Proposer's software solution must be cloud-based and must support integration with Microsoft Dynamics GP and other ERP software platforms.

Proposers submitting for both Scopes must satisfy the applicable minimum qualifications for each Scope independently; however, the same client references may be used to satisfy the requirements of both Scopes, provided the referenced implementations are relevant to each respective Scope.

B. MBE/WBE/SDVOB Participation, Joint Ventures, and Sub-contracting Goals

Contractor requirements and procedures for business participation opportunities for New York State certified MBEs/WBEs/SDVOBs and equal employment opportunity requirements relating to minority group members and women are attached as Exhibit C. Please note that BPCA has not set any required goals for MBE/WBE/SDVOB participation for this solicitation; however, MBE, WBE and SDVOB firms are encouraged to submit proposals and, where possible, Proposers are encouraged to utilize such firms for any subcontracting opportunities that may become available at any point during the term of the Contract.

C. Restricted Period

New York State's State Finance Law sections 139-j and 139-k apply to this RFP, restricting Proposers' contacts with BPCA. Proposers are restricted from making any contact (defined as oral, written or electronic communications with BPCA under circumstances where a reasonable person would infer that a communication was intended to influence BPCA's conduct or decision with respect to a procurement) relating to this RFP with anyone other than the Designated Contact, as specified in Section III.A., or MBE/WBE/SDVOB Designated Contact, as specified in Section IV.B (if applicable), from the time of Proposer's receipt of notice of this RFP through the date of the Final Award as defined in BPCA's Procurement Guidelines (the "Restricted Period"). BPCA employees must record certain contacts during the Restricted Period, including, but not limited to, any oral or written communications that could reasonably be seen as intended to influence BPCA's conduct or award of this RFP. Upon notice of an improper contact, BPCA shall make a determination regarding the Proposer's eligibility to continue participating in this RFP.

D. Submission of Proposals

Proposals must be received by BPCA no later than Proposal Due Date set forth above.

- Each Proposer must e-mail their Technical Proposal to the following e-mail address: technicalproposals@bpca.ny.gov

The Technical Proposal must be clearly labeled as **"Proposal Enclosed –CAPITAL, BOND, AND INVESTMENT TRACKING AND REPORTING SOFTWARE."**

- Each Proposer must also e-mail their Cost Proposal to the following e-mail address: costproposals@bpca.ny.gov

The Cost Proposal must be separately attached and clearly labeled as **"Cost Proposal - CAPITAL, BOND, AND INVESTMENT TRACKING AND REPORTING SOFTWARE."**

- **Each Proposer is responsible for the successful delivery and receipt of their Proposal. BPCA is not accepting Proposals sent via messenger, overnight courier, or certified mail to BPCA offices.** If a Proposer has already sent a Proposal via one of these methods, please e-mail the Proposal to the above e-mail address by the Due Date. If a Technical Proposal's file size is too large to submit by e-mail, the Proposer must make alternate electronic accommodations (e.g., linking to a file sharing website), which shall also be transmitted through technicalproposals@bpca.ny.gov. Please contact the Designated Contact prior to the Due Date in order to ensure successful transmission of the documents prior to the Due Date.
- Proposals *must* arrive at the time and place specified herein. Please leave ample time for submission. Late Proposals, no matter the cause of their lateness, will NOT be accepted. Hard copy or faxed Proposals will NOT be accepted. A Proposer may, after submitting a Proposal, amend its Proposal by submitting an amended Proposal, clearly labeled **"Amended Proposal - CAPITAL, BOND, AND INVESTMENT TRACKING AND REPORTING SOFTWARE,"** as long as the amended Proposal is submitted by the Due Date.

V. PROPOSAL FORMAT AND CONTENTS

A. Proposal Format

The Proposal must:

- Be formatted to 8½” x 11” sized pages;
- Have numbered pages; and
- Must be in Adobe PDF, Microsoft Word or Excel format.

B. Proposal Content

In addition to the separately sealed Cost Proposal, described in Section VII below, each Proposal must include the following in the order listed, which shall comprise the Proposer’s Technical Proposal:

- 1) **Executive Summary.** Proposers shall provide an Executive Summary of no more than ten (10) single-sided pages that provides a high-level overview of the Proposal. The Executive Summary is intended to introduce the Proposer and summarize the key aspects of the Proposal for a general audience and should not assume familiarity with the Proposer's product or platform. Detailed responses to the topics summarized in the Executive Summary are expected in the body of the Proposal in response to the questions set forth in Exhibit B.II. Proposers should not repeat verbatim in the body of their Proposal what has already been stated in the Executive Summary, but should provide fuller detail and supporting information in response to each applicable question. The Executive Summary shall include, at a minimum, the following:
 - A brief description of the Proposer's organization, including its history, size, ownership structure, and relevant experience in providing software solutions to government entities, public authorities, or nonprofit organizations.
 - An identification of the Scope(s) to which the Proposer is responding (Scope A, Scope B, or both) and a concise summary of the proposed solution(s) for each.
 - A brief description of the Proposer's qualifications and demonstrated experience implementing software solutions relevant to the Scope(s) for which the Proposer is responding, including a summary of comparable client engagements.
 - A high-level overview of the Proposer's implementation approach, including any functionality that is newly developed, planned for development, or that would require customization to meet BPCA's requirements.
 - For Proposers responding to both Scopes, a summary of the anticipated benefits of implementing both solutions together, including any efficiencies, integration advantages, or operational synergies that BPCA could expect to realize.
 - A brief description of the Proposer's ongoing support model and commitment to long-term client success.
 - Any other information the Proposer believes is relevant to BPCA's evaluation of the Proposal that is not otherwise addressed in the body of the Proposal.
- 2) A response to the questions set forth in Exhibit B.II.
- 3) Completed Proposal Submission Packet, attached to this RFP as Exhibit B. Note: responses to the questions set forth in Exhibit B.II may be incorporated into the Proposal separately from the rest of Exhibit B.
- 4) Appendices:
 - a. Attach professional biographies for all key team members you intend to assign to this engagement as identified in Exhibit B.II question B.2.g

- b. A detailed list identifying any and all exceptions taken to BPCA’s standard form of contract, attached as Exhibit E, explaining the reasons for such exceptions. Such exceptions must be detailed in an appendix to your Proposal labeled, “Appendix: Objections to BPCA Form of Contract.” BPCA will consider any exceptions submitted in evaluating the Proposals but is under no obligation to accept them.

NOTE: EXCEPTIONS THAT ARE NOT SUBMITTED WITH THE PROPOSAL WILL NOT BE CONSIDERED. BPCA will not accept any additional exceptions to the Contract after submission of the Proposals and reserves the right to reject Proposals based on non-conformance with the standard form of Contract.

5) Additional Documentation:

a. Financial Statements:

Provide a copy of your firm’s most recent Audited Financial Statements (within the last year) or where an audited financial statement is not available, the most recent tax return. In the event you do not have an audited financial statement you must provide a statement to that effect and summary financial information for the calendar year most recently ended certified by an authorized officer.

b. Copy of the Proposer’s Internal Revenue Service (“IRS”) W9 form (<https://www.irs.gov/pub/irs-pdf/fw9.pdf>)

c. Separate attachments:

- A completed Exhibit H: Requirements Response Template, in Microsoft Excel format.

BPCA reserves the right to reject any Proposals that fail to include any required item described in this Section V. B., including an appendix, if applicable.

VI. INSURANCE REQUIREMENTS

A. General Requirements

The selected Proposer will be required to obtain and provide proof of the types and amounts of insurance listed below: (i) as a condition precedent to the award of the contract for the work; and (ii) continuing throughout the entire term of the Contract. The insurance policies listed below must also conform to the applicable terms of the Contract, as shown in BPCA’s sample form of contract attached as Exhibit E, which is included for reference only. Any insurance categories and/or amounts shown in this Section which differ from those shown in Exhibit E shall control.

The total cost of the required insurance in paragraphs B and C below must be incorporated into the Cost Proposal. The additional insured protection afforded BPCA and the State of New York must be on a primary and non-contributory basis. All policies must include a waiver of subrogation in favor of BPCA and the State of New York, and no policies may contain any limitations / exclusions for New York Labor Law claims.

All of the carriers that provide the below required insurance must provide direct written notice of cancellation or non-renewal to BPCA and the State of New York at least 30 days before such cancellation or non-renewal is effective, except for cancellations due to non-payment of premium, in which case 10 days written notice is acceptable.

B. Insurance Requirements for the Selected Proposer

The selected Proposer will be required to obtain and provide proof of the types and amounts of insurance listed below: (i) as a condition precedent to the award of the contract for the Project; and (ii) continuing throughout the entire Term. The insurance policies listed below must also conform to the applicable terms of the Contract, as shown in BPCA's sample form of contract attached as Exhibit E, which is included for reference only. Any insurance categories and/or amounts shown in this Section which differ from those shown in Exhibit E shall control.

- **Commercial General Liability Insurance**, written on ISO Form CG 00 01 or its equivalent and with no modification to the contractual liability coverage provided therein, shall be provided on an occurrence basis and limits shall not be less than:
 - \$1,000,000 per occurrence
 - \$2,000,000 general aggregate which must apply on a per location / per project basis
 - \$2,000,000 products/completed operations aggregate

BPCA, BPCPC, and the State of New York must be protected as additional insureds on ISO Form CG 2010 (11/85) or its equivalent on policies held by the selected Proposer and any of its subcontractors. Should the Proposer's work include construction activities of any kind then the Proposer must maintain Products / Completed Operations coverage for no less than three years after the construction work is completed, and continue to include Additional Insured protection for BPCA & The State of New York for the prescribed timeframe. Securing the required limits via a combination of primary and umbrella/excess liability policies is allowed. The General Aggregate limit must apply on a per project basis on the primary General Liability policy should a combination of primary and Umbrella/Excess liability policies be utilized to secure the required total limits of coverage.

- **Automobile Liability Insurance** with a combined single limit of not less than \$1,000,000. Coverage must apply to the Proposer's owned, hired, and non-owned vehicles and protect BPCA and the State of New York as additional insured.
- **Workers' Compensation, Employer's Liability, and Disability Benefits** shall not be less than statutory limits, including United States Longshore and Harbor Workers Act coverage as applicable to the operations of the Proposer.
- **Data Breach and Privacy/Cyber Liability:** Contractors are required to maintain during the term of this Contract and as otherwise required herein, Network and Privacy/Cyber Liability Insurance, including coverage for failure to protect confidential information and failure of the security of the Contractor's computer systems or the Authorized Users' systems due to the actions of the Contractor which results in unauthorized access to the Authorized User(s) or their data. Said insurance shall be maintained with a limit of not less than \$1,000,000

Said insurance shall provide coverage for damages arising from, but not limited to the following:

- Breach of duty to protect the security and confidentiality of nonpublic proprietary

- corporate information;
 - Personally identifiable nonpublic information (e.g., medical, financial, or personal in nature in electronic or non-electronic form);
 - Privacy notification costs, breach response sublimit should be at least 50% of the liability limit
 - Regulatory defense and penalties;
 - Website media liability; and
 - Cyber theft of customer's property, including but not limited to money and securities.
 - Computer network systems attacks
 - Denial or loss of service
 - Introduction, implantation or spread of malicious software code
 - Unauthorized access and use of computer systems
 - Other necessary and customary coverages.
- **Technology Errors and Omissions insurance** with a limit of not less than \$1,000,000 for damages arising from computer related services including, but not limited to, the following:
 - Consulting;
 - Data processing;
 - Programming;
 - System integration;
 - Hardware or software development;
 - Installation;
 - Distribution or maintenance;
 - Systems analysis or design;
 - Training; and
 - Staffing or other support services.

If policy or policies are written on a claims-made basis, coverage must be in place for a period of at least 12 months after the completion or termination of the Agreement.

Certificates of Insurance and Additional Insured Endorsements reflecting applicable limits, sub-limits, self-insured retention or deductibles will be provided to BPCA. BPCA will be named as an Additional Insured and will be provided with a waiver of subrogation by endorsement to the required Cyber Liability policy. All insurance carrier(s) must carry an A.M. Best rating of at least A-, Class VIII.

C. Insurance Requirements for all Subcontractors

Any subcontractor(s) utilized by the selected Proposer will be required to obtain the types and amounts of insurance listed below: (i) as a condition of commencing any Work; and (ii) continuing throughout the duration of the subcontractor's Work. The insurance policies listed below must also conform to the applicable terms of the Contract, as shown in BPCA's sample form of contract attached:

- **Commercial General Liability Insurance**, written on ISO Form CG 00 01 or its equivalent and with no modification to the contractual liability coverage provided therein, shall be provided on an occurrence basis and limits shall not be less than:

- \$1,000,000 per occurrence
- \$2,000,000 general aggregate which must apply on a per location / per project basis
- \$2,000,000 products/completed operations aggregate

BPCA, BPCPC, and the State of New York must be protected as additional insureds on ISO Form CG 2010 (11/85) or its equivalent on policies held by all subcontractors. Should the subcontractor's work include construction activities of any kind then the subcontractor must maintain Products / Completed Operations coverage for no less than three years after the construction work is completed and continue to include Additional Insured protection for BPCA & The State of New York for the prescribed timeframe. Securing the required limits via a combination of primary and umbrella/excess liability policies is allowed. The General Aggregate limit must apply on a per project basis on the primary General Liability policy should a combination of primary and Umbrella/Excess liability policies be utilized to secure the required total limits of coverage.

- **Automobile Liability Insurance** with a combined single limit of not less than \$1,000,000. Coverage must apply to the subcontractor's owned, hired, and non-owned vehicles and protect BPCA and the State of New York as additional insured.
- **Workers' Compensation, Employer's Liability, and Disability Benefits** shall not be less than statutory limits, including United States Longshore and Harbor Workers Act coverage as applicable to the operations of the subcontractor.
- **Subcontractors will also be required to obtain all other insurances listed in Section (B) unless otherwise approved in writing by BPCA prior to commencement of any Subcontractor's work.**

VII. COST PROPOSAL; FORMAT AND REQUIRED INCLUSIONS

Each Proposer must complete and submit a Cost Proposal, in the form attached as **Exhibit G: Cost Proposal Template** and pursuant to the instructions in this Section of the RFP. Each Cost Proposal must contain a completed version of all relevant worksheets/tabs contained in Exhibit G for the scope(s) for which the Proposer is submitting a Proposal.

For each scope being proposed on, the Proposer shall complete the relevant worksheets within the Cost Proposal template, setting forth a Firm Fixed Implementation Fee and fixed annual software licensing, hosting, maintenance, and support fees for each year of the term, including the two option years, which shall cover all services described in this RFP.

The Firm Fixed Implementation Fee represents a one-time cost for that scope, and shall include all labor, project management, system configuration, integration, data migration, testing, training, documentation, and go-live support necessary to implement the proposed solution, along with any associated travel.

The selected Proposer shall not invoice or be compensated in excess of the Firm Fixed Implementation Fee without prior written authorization from BPCA. Within Exhibit G, the implementation services portion of the Firm Fixed Implementation Fee must be broken down by phase, supported by the role, rate, and estimated-hour detail requested in the corresponding T&M Detail worksheet. Those phase-level amounts must be supported by, and reconcile to, their corresponding entries on the Costs tab within the variance tolerance reflected in the edit checks built into Exhibit G; the fixed fee need not

equal the T&M buildup exactly, and the Proposer should explain in the comments column any item the edit checks flag as exceeding the tolerance. The remaining one-time costs, including any associated travel, are stated directly on the Costs tab and are not part of the T&M buildup or the reconciliation. Proposers shall also, in the fields provided in Exhibit G, provide a brief narrative describing the assumptions underlying their Firm Fixed Implementation Fee.

Payment of the Firm Fixed Implementation Fee will be made on a milestone basis, tied to BPCA's acceptance of defined deliverables. Each milestone payment shall represent a fixed portion of the total fee, and the sum of all milestone payments shall not exceed the Firm Fixed Implementation Fee. BPCA will retain up to 10% of each milestone payment, to be released only upon final system acceptance following the post-go-live stabilization period. The final milestone definitions, acceptance criteria, retainage, and corresponding payment amounts will be determined with the selected Proposer during Contract negotiations. Annual software licensing, hosting, maintenance, and support fees shall be invoiced in accordance with the Contract. The Cost Proposal must be submitted per the requirements stated in Section IV.D.

VIII. SELECTION PROCESS

A. Evaluation

Each timely submitted Proposal will be reviewed for compliance with the form and content requirements of this RFP. A committee of BPCA employees selected by BPCA (the "Committee") will then review and evaluate the Proposals in accordance with the evaluation criteria set forth below. While only Committee members will score the evaluation criteria, the Committee may consult an outside expert for advisement on the evaluation of matters requiring technical expertise. Before final selection, BPCA must determine that the proposed selected Proposer is responsible, in accordance with applicable law and BPCA's Procurement Guidelines, which may be viewed at: <http://bpca.ny.gov/public-information/>.

B. Interviews

BPCA reserves the right to decide whether to interview any or all of the Proposers. The Committee may conduct interviews for many reasons, including to further assess a Proposer's ability to perform the Work or provide specific services, or to seek information related to any other evaluation criteria. The proposed Lead PM, as well all other key personnel proposed to perform the Work, must be available to participate in the interview.

C. Evaluation Criteria for Selection

BPCA reserves the right to award a contract for Scope A only, Scope B only, or both Scopes, using the criteria enumerated below. Each Scope proposed on will be evaluated and scored independently in accordance with the criteria contained below.

1) Technical Evaluation

Proposals will be evaluated independently for each Scope using the Technical Evaluation Criteria set forth below.

- A) Overall quality of solution, including functionality, capabilities, reporting and audit capability, user interface, integration capabilities, security and cloud hosting environment45%

- B): Implementation approach and qualifications of implementation team, including relevant experience and demonstrated success with comparable clients.....**25%**
 - C) Quality and responsiveness of ongoing customer support and maintenance model....**25%**
 - D) New York State Certified M/WBE or SDVOB Certification.....**5%**
- 2) Cost Proposal evaluation.
- 3) Where a Proposer submits a response to both Scopes, BPCA will also consider the overall value of a combined solution as part of its final award determination. In evaluating the combined solution, BPCA will consider, among other factors:
- A) The degree to which a single-vendor solution reduces implementation risk, administrative burden, and operational complexity for BPCA.
 - B) The integration advantages of a unified platform, including shared data architecture, consistent user experience, and streamlined reporting across both Scopes.
 - C) The operational synergies and efficiencies that BPCA could expect to realize over the life of the contract from a combined implementation.
 - D) The Proposer's demonstrated ability to successfully deliver both Scopes to a comparable client.

D. Basis for Contract Award

BPCA reserves the right to award one or multiple Contracts pursuant to this RFP. BPCA will evaluate responses to each Scope independently and, for each Scope, may award a Contract to the highest technically rated Proposer whose Proposal is determined to be responsive and in the best interests of BPCA, subject to a determination that the Cost Proposal is fair, reasonable, and provides the best value to BPCA given the requirements of the project.

Where one Proposer submits a response to both Scopes, in addition to its independent evaluation of each response, BPCA will also consider the overall value of a combined solution as part of its best-value determination. BPCA may, in its sole discretion, determine that the benefits of a combined solution warrants selection of a single vendor for both Scopes, notwithstanding that a different Proposer may have achieved a higher technical score on one or both individual Scope evaluation(s).

BPCA is not obligated to make any award hereunder, and reserves the right to make a single combined award, an award of individual Contracts based on Scope A and Scope B separately or, in the event BPCA determines it to be in its best interest, to withdraw the RFP altogether either before or after review of Proposals and make no Contract award.

IX. NON-COLLUSION

By submitting a Proposal, each Proposer warrants and represents that any ensuing Contract has not been solicited or secured directly or indirectly in a manner contrary to the laws of the State of New York, and that said laws have not been violated and shall not be violated as they relate to the procurement or the performance of the Contract by any conduct, including the paying or giving of any fee, commission, compensation, gift, or gratuity or consideration of any kind, directly or indirectly, to any member of the board of directors, employee, officer or official of BPCA.

X. IRAN DIVESTMENT ACT

By submitting a Proposal or by assuming the responsibility of any Contract awarded hereunder, each Proposer certifies 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” list (“Prohibited Entities List”) posted on the New York State Office of General Services website at: <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> and further certifies that it will not utilize any subcontractor/consultant that is identified on the Prohibited Entities List on this Contract. The selected Proposer agrees that should it seek to renew or extend any Contract awarded hereunder, it must provide the same certification at the time the Contract is renewed or extended. The selected Proposer also agrees that any proposed assignee of the Contract will be required to certify that it is not on the Prohibited Entities List before BPCA may approve a request for assignment of the Contract.

During the term of any Contract awarded hereunder, should BPCA receive information that a person (as defined in State Finance Law §165-a) is in violation of the above-referenced certifications, BPCA 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 New York State Iran Divestment Act of 2012 within 90 days after the determination of such violation, then BPCA shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, seeking compliance, recovering damages, or declaring the selected Proposer in default of the awarded Contract.

BPCA reserves the right to reject any request for renewal, extension, or assignment for an entity that appears on the Prohibited Entities List prior to the renewal, extension, or assignment of the Contract, and to pursue a responsibility review with the selected Proposer should it appear on the Prohibited Entities List hereafter.

XI. EXECUTIVE ORDER 16

Pursuant to Executive Order 16 dated March 17, 2022, all State agencies and authorities are prohibited from entering into any new contract or renewing any existing contract with an entity conducting business operations in Russia. As part of this RFP, each firm is required to certify that the firm is not an ‘entity conducting business operations in Russia.’ Certification under Executive Order No. 16 can be found in Section XIV of Exhibit B: Proposal Submission Packet.

EXHIBIT A

(Scope of Work)

Overview

The Battery Park City Authority, d/b/a Hugh L. Carey Battery Park City Authority ("BPCA" or the "Authority"), is a New York State public benefit corporation. BPCA is seeking proposals from qualified software vendors to provide cloud-based software solutions and related implementation, integration, and support services to automate certain financial management functions currently managed primarily using spreadsheets.

This Scope of Work covers two distinct but related Scopes, each of which may be procured independently or in combination:

- **Scope A:** Capital Expenditure Tracking & Reporting & Bond Fund Drawdowns
- **Scope B:** Investment Reconciliation & Reporting

Proposers may respond to Scope A, Scope B, or both Scopes. BPCA reserves the right to award a contract for Scope A only, Scope B only, or both Scopes, to one or more vendors, as determined to be in the best interests of the Authority.

BPCA's current general ledger software is Microsoft Dynamics GP, which is hosted in a cloud environment. Vendor support for Dynamics GP is scheduled to end after December 31, 2029. BPCA anticipates transitioning to a successor general ledger system, which has not yet been selected. Solutions implemented under this procurement must be compatible with Microsoft Dynamics GP during the transition period and designed to support integration with BPCA's future ERP system. The anticipated number of initial users for each Scope is 20 or fewer.

All processes covered by Scope A and Scope B are currently managed through internal BPCA processes and tools, primarily Microsoft Excel. BPCA has identified both Scopes as equal priorities for near-term implementation

The following additional context applies to both Scopes and should inform Proposers' responses:

- **Microsoft Dynamics GP Integration:** BPCA's Dynamics GP environment is cloud-hosted. BPCA is not prescribing a specific integration method and invites Proposers to describe all available native integration approaches and their recommended methodology, including API-based, file-based, or other exchange methods. Direct database-level integration should not be assumed.
- **Approval Workflows:** All approval workflows are performed by internal BPCA staff. No external parties, including bond trustees, city agencies, auditors, or advisors, are required to participate in approval workflows within the system.

Scope A: Capital Expenditure Tracking and Reporting and Bond Fund Drawdown Management

BPCA requires a software solution to replace spreadsheet-based processes currently used to track and report on capital expenditures and manage bond fund drawdowns. The solution must provide a centralized, auditable platform for tracking expenditures by bond fund and bond issuance, managing capital project budgets and payments, processing bond drawdown requests, and producing required reports for internal management, bond fund compliance, and stakeholder review.

The solution must support BPCA's capital project lifecycle from project setup through close-out, including multi-year budgeting, retainage, work orders, allowances, and contract amendments. It must integrate with Microsoft Dynamics GP and be designed to support integration with BPCA's future ERP system.

The following additional context applies specifically to Scope A:

- **Procure:** Procure is not currently the system of record for construction management data relevant to capital project tracking. For purposes of this procurement, Procure is an optional and secondary data source. However, the proposed solution should support potential future integration with appropriate limitations and controls to prevent automatic live data pulls that could impact financial reporting.
- **Historical Data Migration:** Capital project and bond fund transaction data dates to 2013, the year of the earliest outstanding bond issuance. BPCA's preference is to incorporate all historical data into the new solution to provide a complete history by bond issuance. Proposers should describe their recommended approach to historical data migration based on platform capabilities, including any phased or partial migration options.

Requirements

The following table sets forth the functional requirements for Scope A. Priority designations are defined as follows: HIGH indicates functionality that is essential to BPCA's core operations and must be delivered as part of the proposed solution; MEDIUM indicates functionality that is important but for which alternative approaches or near-term roadmap commitments may be acceptable; and LOW indicates functionality that is desirable but not required for a successful implementation.

BPCA strongly prefers out-of-the-box functionality. Where customization is required, Proposers must clearly identify the requirement, describe the proposed customization approach, and provide an estimated timeline for delivery.

Proposers should detail their ability to meet the below requirements by including a completed version of Exhibit H in Microsoft Excel format with their proposal.

Functional Requirements

ID	Requirement	Priority
A.1.1	Ability to define project charters, funding sources, timelines, and departments.	MEDIUM
A.1.2	Modules for project-specific capital planning and expenditure tracking.	HIGH
A.1.3	Ability to close out a project and transfer totals to the appropriate account to track as a capital asset and flag for depreciation.	HIGH
A.1.4	Project close-out functionality at both the project and sub-project level.	HIGH
A.1.5	Detailed information and transfer capabilities at both the sub-project and full project level.	HIGH

ID	Requirement	Priority
A.1.6	Support for retainage amounts and payout upon project completion.	HIGH
A.1.7	Multi-year budgeting that supports adjustments and amendments.	HIGH
A.1.8	Ability to assign multiple funding sources to a single project, including bonds, grants, and general fund.	HIGH
A.1.9	Ability to track bond disbursements, timing, and restrictions.	HIGH
A.1.10	Ability to track allowances, including usage, increases, and the relationship with work orders.	HIGH
A.1.11	Ability to reduce work order amounts and add differences back to contract allowances.	HIGH
A.1.12	Tracking at the work order level, including against allowances and contracts.	HIGH
A.1.13	Tracking at the amendment level, including approved use of do-not-exceed amounts.	HIGH
A.1.14	Real-time visibility of planned, actual, and committed costs.	HIGH
A.1.15	Track commitments throughout the project and purchase order lifecycle.	LOW
A.1.16	Report generation by fund, project, fiscal year, funding source, and expenditure type.	HIGH
A.1.17	Maintenance of a traceable history for every transaction.	MEDIUM
A.1.18	Configurable approval workflows for capital budget requests, amendments, reimbursements, drawdowns, and reallocations.	MEDIUM
A.1.19	Role-based permissions built into approval workflows.	HIGH
A.1.20	Ability to automatically generate approval letters based on drawdown data and route for approvals.	MEDIUM
A.1.21	Automated notifications when approaching budget thresholds, bond fund expiration dates, and compliance deadlines.	MEDIUM

Security, Control, and Audit Requirements

ID	Requirement	Priority
A.2.1	Role-based permissions to control access to and modification of critical data.	HIGH
A.2.2	Clear separation of duties between those initiating, approving, and posting transactions.	HIGH
A.2.3	Full audit-ready logs for drawdowns and capital transactions, including attached or linked documentation.	HIGH
A.2.4	Ability to export logs and reports for use with external auditing systems.	MEDIUM
A.2.5	Compliance with BPCA cybersecurity requirements as set forth in <u>Exhibit E</u> to this RFP.	MEDIUM
A.2.6	Historical data lockout to prevent retroactive changes once a drawdown period has been finalized.	HIGH
A.2.7	Audit trails and approval workflows for adjusting entries related to locked historical data.	HIGH

Reporting and Analytics Requirements

ID	Requirement	Priority
A.3.1	Readily available utilization summaries for bond funds and real-time fund balances.	MEDIUM
A.3.2	Configurable, user-friendly dashboard displaying budget versus actual versus committed data in real time.	MEDIUM
A.3.3	Ability to integrate with a future comprehensive financial dashboard system.	HIGH
A.3.4	Role-based access restrictions on dashboards and reporting metrics.	MEDIUM

ID	Requirement	Priority
A.3.5	Forecasting of capital expenditures and drawdowns.	MEDIUM
A.3.6	Gantt chart or milestone views for capital project phases.	LOW
A.3.7	GASB-compliant capital asset tracking.	MEDIUM
A.3.8	Dynamic, configurable reporting that can categorize data into various classifications.	HIGH
A.3.9	Support for periodic reporting, including weekly bond drawdown reports.	HIGH
A.3.10	Support for historical drawdown reports, including completed items and drawdown periods.	HIGH

Integration Requirements

ID	Requirement	Priority
A.4.1	Wide array of ERP integrations and configurations available to support BPCA's eventual transition to a new ERP system.	MEDIUM
A.4.2	Bidirectional data flow integration with Microsoft Dynamics GP, including the ability to import scheduled capital transactions and post financial entries back into GP.	HIGH
A.4.3	Integration with procurement software to incorporate data from purchase orders, contracts, and vendor payments.	MEDIUM
A.4.4	Integration with treasury and bond management tools containing fund balances and draw schedules.	MEDIUM
A.4.5	Ability to tag capital projects to physical assets or locations through GIS or asset management systems, if applicable.	LOW
A.4.6	Optional integration with Procore with appropriate limitations and controls to prevent automatic live data pulls that could impact financial reporting.	LOW

ID	Requirement	Priority
A.4.7	Two-way data flow support, allowing bond-related information to feed in from the general ledger and for relevant outputs to feed back.	MEDIUM

Implementation Requirements

ID	Requirement	Priority
A.5.1	Cloud-based deployment with scalability, security, and backup capabilities.	MEDIUM
A.5.2	Data import and migration services from legacy spreadsheets and financial systems.	HIGH
A.5.3	OpenAPI or accessible API availability for system-to-system communication.	MEDIUM
A.5.4	Support for scheduled exports in multiple formats (Excel, CSV, PDF) and ad hoc data queries.	HIGH
A.5.5	Configurable chart of accounts and fund structure.	HIGH
A.5.6	Robust system and workflow documentation to support onboarding and business continuity.	HIGH

Scope B: Investment Reconciliation and Reporting

BPCA requires a software solution to replace spreadsheet-based processes currently used to track and report on its investment portfolio. BPCA currently has one custodian, two investment managers, and is limited to investments permitted under its investment guidelines. The solution must provide a centralized, auditable platform for tracking cash and investment activity and balances, performing investment reconciliations, calculating and reporting investment income and fair value, tracking debt service activity, and generating GASB-required footnote disclosures.

The solution must support trade entry and approval workflows, automated reconciliation against custodial and advisor records, book versus market valuation, and reporting at the portfolio, fund, and advisor level. It must integrate with Microsoft Dynamics GP and BPCA's custodian data feeds, and be designed to support integration with BPCA's future ERP system.

The following additional context applies specifically to Scope B:

- Investment Data Ingestion: BPCA does not currently receive consolidated investment data through a third-party aggregator. Proposers should assume ingestion of data from individual sources. BPCA currently has one custodian and two investment advisors.
- Fair Value and Market Pricing Data: BPCA does not anticipate requiring direct integration with third-party pricing data providers. Market pricing data is expected to be supplied indirectly via custodian or advisor files. However, BPCA would be open to considering direct third-party pricing integration if available and described in the Proposal.

The following table sets forth the functional requirements for Scope B. Priority designations are HIGH, MEDIUM, or LOW. BPCA strongly prefers out-of-the-box functionality. Where customization is required, Proposers must clearly identify the requirement, describe the proposed customization approach, and provide an estimated timeline for delivery.

Proposers should detail their ability to meet the below requirements by including a completed version of Exhibit H in Microsoft Excel format with their proposal.

Functional Requirements

ID	Requirement	Priority
B.1.1	Ability to tag investments by fund, project, type, advisor, and custodian.	MEDIUM
B.1.2	Support for manual or batch trade entry, particularly for trades executed by advisors.	HIGH
B.1.3	Ability to record execution date versus approval date with required justification and maintained audit trails.	MEDIUM
B.1.4	Custom approval workflows for trade approvals and reconciliation sign-off.	HIGH
B.1.5	Calculation and tracking of interest income and receivables across all securities.	HIGH
B.1.6	Matching of positions, income, and transactions against custodial and advisor records, with support for exception handling.	HIGH
B.1.7	Automated reconciliations that compare statements of activities against executed investment letters and reports.	HIGH
B.1.8	Maintenance of book versus market valuations, supporting pricing feeds and manual entries.	HIGH
B.1.9	Support for GASB footnotes under GASB 31, 40, and 72, including credit risk, maturity buckets, and fair value hierarchy levels.	HIGH

ID	Requirement	Priority
B.1.10	Rule-based monitoring for maturity limits, credit ratings, and issuer and sector exposure.	LOW
B.1.11	Alerts and reporting for exceptions, including policy violations, unmatched transactions, and delayed approvals.	MEDIUM
B.1.12	Logging of all transactions, changes, and approvals with user and timestamp metadata.	HIGH

Security, Control, and Audit Requirements

ID	Requirement	Priority
B.2.1	Role-based access control to restrict visibility and action by user role, including trade entry, approver, and auditor roles.	HIGH
B.2.2	Read-only access for auditors and external reviewers.	LOW
B.2.3	Ability to restrict data by investment type, fund, or advisor based on user role.	HIGH
B.2.4	Enforcement of separation of duties between trade execution, approval, and reconciliation.	HIGH
B.2.5	Full audit trail for all activity with timestamped logs, including trade entry, approvals, changes, and exceptions.	HIGH
B.2.6	Version control for all records with timestamped approval logs.	HIGH
B.2.7	Retroactive approval workflow with required rationale and timestamp logging.	LOW
B.2.8	Optionality to automatically generate trade letters based on confirmations and route for approvals, or to define a non-letter-based workflow for trade approvals.	HIGH
B.2.9	Configurable aggregation period for trade approvals.	HIGH

Reporting and Analytics Requirements

ID	Requirement	Priority
B.3.1	Portfolio summary reporting, including book versus market value, duration, yield, and income earned.	HIGH
B.3.2	Tracking and reconciliation of expected and received interest income per investment and fund.	HIGH
B.3.3	Reconciliation reports showing matched and unmatched positions and transaction summaries.	MEDIUM
B.3.4	Policy compliance reports highlighting exposure, violations, and limits exceeded.	MEDIUM
B.3.5	Advisor oversight reports grouping trades and performance by investment advisor.	HIGH
B.3.6	Ability to export and run monthly reports directly in Excel.	HIGH
B.3.7	Reporting on realized gain and loss at each sale or maturity.	HIGH
B.3.8	Tracking to ensure securities are in current accounts.	HIGH
B.3.9	Tracking at the portfolio level to maintain cost basis over time.	HIGH
B.3.10	Ability to track securities over multiple years, including those purchased in prior periods that have not yet matured.	HIGH
B.3.11	Support for additional identification levels, such as portfolio numbers for securities sharing a CUSIP.	HIGH
B.3.12	Ability to report at both cost basis and fair value.	HIGH
B.3.13	Ability to pull values from custodian statements to generate fair value adjustment figures, update schedules, and book entries.	HIGH
B.3.14	Trade register showing trade details, advisor, and execution versus approval status.	HIGH
B.3.15	Visualization of maturing investments by time bucket.	HIGH
B.3.16	GASB 31 footnote report for book versus fair value.	MEDIUM

ID	Requirement	Priority
B.3.17	GASB 40 footnote report for credit risk, interest rate risk, and concentration of credit risk.	MEDIUM
B.3.18	GASB 72 footnote report for fair value hierarchy at Levels 1, 2, and 3.	MEDIUM
B.3.19	Export options in Excel, Word, and PDF, with support for custom and ad hoc queries.	HIGH
B.3.20	Interactive dashboards by user role, including investment accountant and controller.	MEDIUM

Integration Requirements

ID	Requirement	Priority
B.4.1	Ability to accept daily and monthly data from the custodian in formats including SWIFT, SFTP, Excel/CSV, and API through Nexen.	HIGH
B.4.2	Ability to accept standardized templates from investment advisors for trade reconciliation through upload or integration.	HIGH
B.4.3	Support for integrations with a variety of ERP systems, including journal entry exports for investments and accruals, in support of BPCA's planned ERP transition.	HIGH
B.4.4	Integration with Microsoft Dynamics GP to support data exports and imports.	MEDIUM
B.4.5	If document management workflows are not contained within the solution, support for integrations with document management systems to attach broker confirmations, policy documents, and audit evidence.	LOW
B.4.6	Ability to import pricing data from custodian and advisor systems or via manual upload.	MEDIUM
B.4.7	Ability to directly import fair value data.	HIGH

Implementation Requirements

ID	Requirement	Priority
B.5.1	Cloud-based deployment that supports SOC 2 Type 2 or equivalent compliance.	MEDIUM
B.5.2	User-defined fields, tags, and policy rules to support BPCA-specific configuration.	HIGH
B.5.3	Batch upload capabilities for trades, prices, and custodial records.	HIGH
B.5.4	Scheduled imports and automated report generation.	MEDIUM
B.5.5	Ad hoc reporting and query builder with drag-and-drop or SQL-like GUI functionality.	HIGH
B.5.6	Multi-entity and multi-fund support with cross-reporting capabilities.	HIGH
B.5.7	Exportable audit logs for review and archival.	HIGH
B.5.8	Scalable solution to accommodate a growing number of advisors, funds, or assets.	HIGH
B.5.9	Minimal IT dependency for regular operations and ongoing maintenance.	HIGH

EXHIBIT B
(Proposal Submission Packet)

I. PROPOSAL SUBMISSION CHECKLIST AND CONFIRMATION STATEMENT

The Proposer hereby certifies that they meet the Minimum Qualification Requirements as stated in Section IV.A of the RFP.

The Proposer hereby certifies that except as disclosed in the Proposal, no officer or employee of the Proposer is directly or indirectly a party to or in any other manner interested financially or otherwise in this RFP.

The Proposer hereby certifies that they have reviewed BPCA’s form of contract, attached as Exhibit E to the RFP, and either has no objections or has detailed their objections in an appendix to their Proposal.

The Proposer hereby certifies that they possess the experience, ability, resources and financial standing to perform the Services and shall, upon request by the Authority, provide documentation of such.

The Proposer hereby certifies that their Proposal submitted for **CAPITAL, BOND, AND INVESTMENT TRACKING AND REPORTING SOFTWARE** includes the following required documents and forms, or that, where any required form or document may not be included, a written explanation has been provided for that omission:

1. Forms & Items included in this Exhibit:

- This Checklist
- Answers to “Information Required” (Note: may be incorporated separately into the technical proposal)
- Vendor Responsibility Questionnaire / Certificate of No Change
- Statement of Non-Collusion
- Affirmation of Understanding of and Agreement Pursuant to State Finance Law §139-j(3) and §139-j(6)(b)
- Certification of Compliance with New York State Finance Law §139-k(5)
- Disclosure of Prior Non-Responsibility Determinations
- Encouraging the Use of New York State Businesses Statement
- Acknowledgement of Addenda Form
- MWBE Utilization Plan (if applicable)
- SDVOB Utilization Plan (if applicable)
- Minority and Women Owned Business Enterprises And Equal Employment Opportunity Policy Statement
- Executive Order 16 Certification

2. Additional Required Documents

- Executive Summary
- Completed Exhibit H in Microsoft Excel Format
- Copy of the Proposer’s IRS W9 Form (<https://www.irs.gov/pub/irs-pdf/fw9.pdf>) per section V.B.5(b)
- Copy of the Proposer’s financial statements per section V.B.5(a)
- Copies of appendices listed in section V.B.4

Name of Proposer:

Officer Name:

Officer Title:

(Signature of Officer)

II. INFORMATION REQUIRED

The information requested in Sections A, B and C below is mandatory, and your Proposal shall be rejected as non-responsive if it does not contain responses to these questions. Please incorporate responses as part of the Proposal, either within this form or separately within the technical proposal.

A. Minimum Qualifications

1. Please affirm that your company is lawfully authorized to do business in the State of New York.
2. Identify the Scope(s) to which your Proposal responds (Scope A, Scope B, or both).
3. Provide at least three (3) client references for whom your firm has successfully implemented its proposed software solution for the applicable Scope(s). For each referenced implementation, the system must have been in production use for at least 12 months following go-live. At least one (1) reference from a government entity, public authority, or nonprofit organization is strongly preferred. **If responding to both Scopes, provide at least three (3) references per Scope; references may overlap if the same client is relevant to both.**

For each reference, provide the following:

- Client name, and a brief description of the organization
- Description of the project, including the specific software solution implemented and the functionality deployed
- Project start date and go-live date, and confirmation that the system has been in production for at least 12 months
- If any functionality has not yet been in production for 12 months, clearly identify those areas and provide evidence of successful implementation to date
- Name, title, organization, mailing address, telephone number, and email address of a contact person familiar with the engagement who is willing and available to participate in a telephone conference with BPCA

B. Information Sought Relating to the Work

In addition to providing narrative responses to the questions in this Section, Proposers must complete and submit the applicable Requirements Response Template attached as Exhibit H, for Scope A and/or Scope B, as applicable. The Requirements Response Template sets forth detailed functional, security, reporting, integration, and implementation requirements for each Scope. Narrative responses in this Section should complement and expand upon the Proposer's responses in the Requirements Response Template, with particular emphasis on approach, methodology, and differentiating capabilities. Proposers that do not submit a completed Requirements Response Template in Microsoft Excel format for each applicable Scope may be deemed non-responsive.

1. **Questions related to overall quality of solution, including functionality, capabilities, reporting and audit capability, user interface, integration capabilities, security and cloud hosting environment. (45%)**

- a. Summarize your product strategy as it relates to each applicable Scope, including product growth objectives, significant planned functional enhancements, product differentiators, and your software delivery strategy (e.g., SaaS, cloud-hosted, single-tenant, multi-tenant). If responding to both Scopes, describe the anticipated benefits of a combined implementation, including any integration advantages and operational efficiencies BPCA could expect to realize.
 - b. Describe all available hosting and data storage strategies for the proposed solution, including cloud-related details. Specify who is responsible for cloud infrastructure, cloud tenant configuration, licensing, and ongoing hosting under each model, and describe any operational differences among available deployment options.
 - c. Describe the solution's core functional capabilities as they relate to the applicable Scope(s), including configurable approval workflows, role-based permissions, notification and alert features, reporting and audit capabilities, exception reporting and resolution processes, data archiving and retention, and support for ad hoc queries and configurable report exports.
 - d. Does your proposed solution incorporate artificial intelligence (AI), machine learning, or automated decision-making tools? If yes, please describe:
 - 1) how AI is used
 - 2) the data sources involved
 - 3) the core AI engine/Large Language Model used
 - 4) any third-party AI tools utilized
 - 5) whether and how the AI functionality can be turned off and/or configured
 - 6) the safeguards in place to address data privacy, security, bias, and compliance with applicable law.
 - e. Identify any functionality required by the Scope(s) to which you are responding that is newly developed, currently under development, or that would require customization to meet BPCA's requirements. For each such item, describe your proposed approach and estimated delivery timeline.
 - f. Describe your approach to integrating your proposed solution with Microsoft Dynamics GP, including available integration methods and your recommended approach. Describe how your solution is designed to support a future transition to a new ERP general ledger system.
 - g. Describe the solution's security capabilities and your firm's current compliance posture, including: user authentication and multifactor authentication support; role-based access control; encryption at rest and in transit, including encryption key management; auditing and logging capabilities; and your firm's current security certifications and compliance frameworks, including SOC 2 Type II, ISO 27001, and FedRAMP status. Describe your approach to meeting BPCA's cybersecurity requirements as set forth in Exhibit F of this RFP.
2. ***Questions related to implementation approach and qualifications of implementation team, including relevant experience and demonstrated success with comparable clients. (25%)***
- a.. Describe your proposed approach and methodology for implementation of your proposed solution(s), including system configuration, user acceptance testing, and go-live support. Provide a list of key deliverables associated with each major implementation phase (e.g., Project Preparation, Design, Build and Test, Go-Live, and Post-Go-Live Support), identify the acceptance criteria for each deliverable, and describe your approach to project governance throughout the engagement.

- b. Provide a proposed high-level project schedule, presented as a bar chart or equivalent, showing the major implementation phases, key milestones, deliverables, and estimated completion dates for each. At minimum, include the following deliverables:

1. Project work plan and schedule
2. Requirements analysis and system design document
3. Configured system and test conversion results
4. User acceptance testing (UAT) results
5. Training materials and go-live readiness assessment
6. Go-live confirmation and post-conversion validation report
7. Project closeout report (with documentation and knowledge transfer)

The schedule should reflect your firm's recommended sequencing and timeline based on BPCA's requirements as described in this RFP. Please note that the final project schedule will be developed collaboratively with BPCA following contract award and that the proposed schedule will be used for evaluation purposes only.

- c. Describe your approach to historical data migration and IT knowledge transfer, including your recommended migration methodology, tools used, data validation process, approach to ensuring BPCA staff self-sufficiency prior to and following go-live, and the respective responsibilities of your firm and BPCA throughout.
- d. Identify any subcontractors or implementation partners you intend to use for this engagement and describe the services to be performed by each. If your firm relies on a third-party systems integrator for implementation services, identify that firm and describe the nature of your working relationship.
- e. Outline the roles and resource commitment you expect BPCA to contribute during the implementation.
- f. Provide a staffing plan that includes an organizational chart showing the proposed project team positions and reporting relationships, the roles and responsibilities of each team member, and a delineation between Proposer staff and expected BPCA staff contributions by project phase.
- g. List each key member of the team, including the lead project manager (the "Lead PM"), implementation lead, technical lead, integration specialist, and training lead, you intend to assign to this engagement, and include for each listed individual:
- (1) area(s) of specialization;
 - (2) title and/or position within your firm; and
 - (3) the specific services to be performed.
- Identify the Lead PM and primary contact for BPCA, and any other persons who will be listed as a "key person" in any contract with BPCA.
- h. BPCA expects the selected Contractor to be highly responsive and readily available throughout the implementation. Please affirm that your firm will:

- Acknowledge all BPCA inquiries on the same business day they are received;

- Provide a substantive response or resolution to routine inquiries within two business days, and address urgent or time-sensitive matters on the same business day; and
- Make key project personnel readily available to BPCA for the duration of the engagement.

Briefly describe the procedures your firm will use to meet these responsiveness expectations, including how inquiries are received and tracked and how issues are escalated when standard response times cannot be met.

- Describe your proposed team's experience with similar work for other public entities, with an emphasis on New York State public authorities, state agencies, and local government entities.
- The selected Contractor will be subject to the Prohibition Against Offshore Work set forth in Exhibit F. Please affirm that your firm understands and will comply with this prohibition. In addition, state whether your firm anticipates requesting the Authority's permission to perform any Work outside the United States. If so, identify the nature and scope of the Work for which permission would be sought, the location(s) where it would be performed, and how your firm would meet the conditions the Authority may impose, including the virtual desktop access and data-handling requirements.

3. *Questions related to the quality and responsiveness of ongoing customer support and maintenance model. (25%)*

- Describe your approach to service level management, including proposed service levels, your strategy for measuring and reporting performance against those service levels, and the tools and mechanisms you will use to meet and improve upon them.
- Describe your release, upgrade, and patch management approach, including release history and roadmap for the past two years and next two years, deployment methodology, client communication protocols, system availability during upgrades, rollback capabilities, backup and restore processes, point-in-time recovery, disaster recovery capabilities, and your process for addressing critical vulnerabilities. Describe any client responsibilities associated with version updates.
- Describe your customer support model, including help desk availability, response time commitments, escalation procedures, and account management approach. Describe any differences in support based on deployment model.
- Describe the training methods available to users and system administrators, including the format, timing, and depth of training offered during implementation and on an ongoing basis, and any self-service resources available following go-live.

C. Questions and Information Sought Relating to Proposer's Firm and Eligibility

- Describe your firm's background, services, size, and history as these factors are relevant to the Work, with an emphasis on your firm's experience providing cloud-based financial management software solutions to government entities, public authorities, and nonprofit organizations.
- Within the past three (3) years, have there been any significant developments in your firm such as changes in ownership or restructuring? Do you anticipate any significant changes in the near future? If so, please describe.

3. Describe how your firm identifies and manages conflicts of interest. Are there any potential conflict of interest issues posed by your firm's performance of the Work on behalf of BPCA? Describe any existing business relationships your firm or any of your affiliates and proposed third-party vendors may have with BPCA.
4. Within the last five (5) years, has your firm or any of its partners or employees been disciplined or censured by any regulatory body, been involved in litigation or other legal proceedings relating to the provision of professional services, or been subject to any disciplinary or administrative actions taken by any jurisdiction or person? If yes, describe the relevant facts, current status, and disposition of each matter. If you are a subsidiary, provide the above information for all parent companies as well.
5. List any professional or personal relationships your firm's principals, officers, or employee may have with BPCA's Board Members and/or employees, a list of whom is attached as Exhibit D.
6. If selected, will your firm assign any person to this engagement who was previously an employee of BPCA or BPCPC? If so, please: (i) identify when (month and year) that person's employment at BPCA/BPCPC terminated; and (ii) describe that person's involvement, if any, with matters related to this RFP during his or her employment at BPCA/BPCPC.
7. In the past five (5) years, have any public sector clients terminated their working relationship with your firm? If so, please provide a brief statement of the reasons, the name of the client, and a contact person with address, email, and telephone number.
8. Describe your firm's financial stability and viability, including any material changes to your financial condition within the past three (3) years and any factors that could affect your firm's ability to perform the Work over the term of the contract.
9. Has your firm, or any third-party vendor or subcontractor engaged by your firm in connection with a client engagement, experienced any data breach, cybersecurity incident, or unauthorized access to client data within the past five (5) years? If yes, describe the nature and scope of the incident, the data affected, the steps taken to remediate the breach and notify affected parties, and any changes made to your security practices as a result.
10. Describe your firm's environmentally sustainable business practices or activities and how such practices may be brought to use in the performance of the Work.
11. Clearly identify any information in your Proposal that you believe to be confidential and exempt from FOIL, and state the reasons. Please note that this question is for informational purposes only, and BPCA will determine, in its sole discretion, whether requested documents are exempt from disclosure under FOIL.

III. VENDOR RESPONSIBILITY QUESTIONNAIRE

A. Instructions:

The Standard Vendor Responsibility Form should be filled out by someone in your firm who knows about tax filings, prior findings of non-responsibility by a governmental authority, etc., and can certify the accuracy of all information requested in the form (such as legal status, tax status, and debarment status).

You must answer every question on the questionnaire.

NOTE: You may fill out the “Certificate of No Change” form instead ONLY if your firm has submitted the Vendor Responsibility form to Battery Park City Authority already during this calendar year. If this is the first time your firm is proposing to do work for Battery Park City Authority this year, then you must fill out the entire Vendor Responsibility Questionnaire.

B. Standard Vendor Responsibility Questionnaire

a. Legal Business Name:	
b. Federal Employer Id No. (FEIN):	
c. D/B/A – Doing Business As (if applicable): County Filed:	
d. Website Address (If Applicable)	
e. Principal Place of Business	Address:
f. Telephone:	
g. Fax (If Applicable):	
h. Authorized Contact for this Questionnaire:	i. Name: ii. Title: iii. Telephone: iv. Email:
i. Type Of Business (please check appropriate box and provide additional information)	<input type="checkbox"/> Corporation (Sole Proprietor). State of Incorporation: <input type="checkbox"/> Corporation (General Partnership). State of Incorporation: <input type="checkbox"/> Corporation (Not-For-Profit). Charities Registration Number: <input type="checkbox"/> Corporation (Limited Liability Company/LLC). Jurisdiction Filed In: <input type="checkbox"/> Corporation (Limited Partnership). State/County filed in: <input type="checkbox"/> Individual <input type="checkbox"/> Other – Specify:
j. If not incorporated or formed in New York State, please provide a current	

<p>Certificate of Good Standing from your state or applicable local jurisdiction.</p>	
<p>k. List the name and title of each principal owner, officer, major stockholder (10% or more of the voting shares for publicly traded companies, 25% or more of the shares for all other companies), director, and member, as applicable:</p>	
<p>l. Authorized Contact for the Proposed Contract:</p>	<p>i.Name: ii.Title: iii.Telephone: iv.Email:</p>

Vendor Name:		Vendor FEIN:	
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<p>C. Does the vendor use, or has it used in the past five (5) years, any other business name, FEIN, or D/B/A other than what is listed in question a-c above?</p> <p>If yes, please provide the name(s), FEIN(s), and D/B/A(s) and the address for each such company and D/B/A on a separate page and attach to this response.</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>D. Within the past five (5) years, has the vendor, any principal, owner, officer, major stockholder (10% or more of the voting shares for publicly traded companies, 25% or more of the shares for all other companies), affiliate¹ or any person involved in the bidding, contracting or leasing process been the subject of any of the following:</p>	
<p>a. a judgment or conviction for any business related conduct constituting a crime under federal, state or local government law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing or bid collusion or any crime related to truthfulness and/or business conduct?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>b. a criminal investigation or indictment for any business related conduct constituting a crime under federal, state or local government law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing or bid collusion or any crime related to truthfulness and/or business conduct?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>c. an unsatisfied judgment, injunction or lien for any business related conduct obtained by any federal, state or local government agency including, but not limited to, judgments based on taxes owed and fines and penalties assessed by any federal, state or local government agency?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>d. an investigation for a civil or criminal violation for any business related conduct by any federal, state or local agency?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>e. a grant of immunity for any business-related conduct constituting a crime under federal, state or local governmental law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing, bid collusion or any crime related to truthfulness and/or business conduct?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>

¹"Affiliate" meaning: (a) any entity in which the vendor owns more than 50% of the voting stock; (b) any individual, entity or group of principal owners or officers who own more than 50% of the voting stock of the vendor; or (c) any entity whose voting stock is more than 50% owned by the same individual, entity or group described in clause (b). In addition, if a vendor owns less than 50% of the voting stock of another entity, but directs or has the right to direct such entity's daily operations, that entity will be an "affiliate" for purposes of this questionnaire.

f. a federal, state or local government suspension or debarment from the contracting process?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
g. a federal, state or local government contract suspension or termination for cause prior to the completion of the term of a contract?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
h. a federal, state or local government denial of a lease or contract award for non-responsibility?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
i. an administrative proceeding or civil action seeking specific performance or restitution in connection with any federal, state or local contract or lease?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
j. a federal, state or local determination of a willful violation of any public works or labor law or regulation?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
k. a sanction imposed as a result of judicial or administrative proceedings relative to any business or professional license?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
l. a consent order with the New York State Department of Environmental Conservation, or a federal, state or local government enforcement determination involving a violation of federal, state or local environmental laws?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
m. an Occupational Safety and Health Act citation and Notification of Penalty containing a violation classified as serious or willful?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
n. a rejection of a bid on a New York State contract or a lease with the State for failure to comply with the MacBride Fair Employment Principles?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
o. a citation, violation order, pending administrative hearing or proceeding or determination issued by a federal, state or local government for violations of:		
i. health laws, rules or regulations	Yes <input type="checkbox"/>	No <input type="checkbox"/>
ii. unemployment insurance or workers' compensation coverage or claim requirements	Yes <input type="checkbox"/>	No <input type="checkbox"/>
iii. ERISA (Employee Retirement Income Security Act)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
iv. human rights laws	Yes <input type="checkbox"/>	No <input type="checkbox"/>
v. federal U.S. Citizenship and Immigration Services laws	Yes <input type="checkbox"/>	No <input type="checkbox"/>
vi. Sherman Act or other federal anti-trust laws	Yes <input type="checkbox"/>	No <input type="checkbox"/>

p. entered into an agreement to a voluntary exclusion from contracting with a federal, state or local governmental entity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
q. a denial, decertification, revocation or forfeiture of Women's Business Enterprise, Minority Business Enterprise or Disadvantaged Business Enterprise status?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
r. a rejection of a low bid on a federal, state or local contract for failure to meet statutory affirmative action or Minority or Women's Business Enterprise or Disadvantaged Business Enterprise status requirements on a previously held contract?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
s. a finding of non-responsibility by an agency or authority due to a violation of State Finance Law §139-j?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>For each YES answer to questions D.a-s above, provide details on additional pages regarding the finding, including but not limited to cause, current status, resolution, etc.</p>		

Vendor Name:		Vendor FEIN:	
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E. During the past three (3) years has the vendor failed to:		
<p>a. File returns or pay any applicable federal, state or local government taxes?</p> <p>If yes, identify the taxing jurisdiction, type of tax, liability year(s) and tax liability amount the company failed to file/pay and the current status of the liability.</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>b. File returns or pay New York State Unemployment Insurance?</p> <p>If yes, indicate the years the company failed to file/pay the insurance and the current status of the liability.</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>F. Have any bankruptcy proceedings been initiated by or against the vendor or its affiliates within the past seven (7) years (whether or not closed) or is any bankruptcy proceeding pending by or against the vendor or its affiliates, regardless of the date of filing?</p> <p>If yes, indicate if this is applicable to the submitting vendor or one of its affiliates:</p> <p>If it is an affiliate, include the affiliate's name and FEIN:</p> <p>Provide the court name, address and docket number:</p> <p>Indicate if the proceedings have been initiated, remain pending or have been closed:</p> <p>If closed, provide the date closed:</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
G. Does the vendor have the financial resources necessary to fulfil the requirements of the proposed contract?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Vendor Name:		Vendor FEIN:	
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H. Certification:

State of:)
) ss:
 County of:)

CERTIFICATION:

The undersigned, personally and on behalf of the vendor identified in questions B.a-c above, does hereby state and certify to Battery Park City Authority – State of New York that the information given above is true, accurate and complete. It is further acknowledged that Battery Park City Authority – State of New York will rely upon the information contained herein and in any attached pages for purposes of evaluating our company for vendor's responsibility for contract award and Battery Park City Authority – State of New York may, in its discretion, by means which it may choose, verify the truth and accuracy of all statements made herein. It is further acknowledged that intentional submission of false or misleading information may constitute a felony under Penal Law Section 175.35 or may constitute a misdemeanor under Penal Law Sections 175.30, or 210.45, and may also be punishable by a fine and/or imprisonment of up to five years under 18 USC Section 1001 and may result in a denial of contract award or contract termination.

Name of Business:

Address:

City, State, Zip:

Officer Name:

Officer Title:

 Signature of Officer

IV. CERTIFICATE OF NO CHANGE FORM

NOTE: You may fill out the “Certificate of No Change” form instead ONLY if your firm has submitted the Vendor Responsibility form to Battery Park City Authority already during this calendar year. If this is the first time your firm is proposing to do work for Battery Park City Authority this year, then you must fill out the entire Vendor Responsibility Questionnaire.

CERTIFICATE OF NO CHANGE

STATE OF ()

COUNTY OF) ss.:

The undersigned, being duly sworn, deposes and says:

1. I am _____, the _____ (title) of _____ (hereinafter the “Contractor”), which is currently submitting an amendment to a State Contract.
2. Contractor previously submitted the completed Battery Park City Authority Standard Vendor Responsibility Questionnaire, dated _____, in connection with another State Contract.
3. Attached is an accurate and true copy of such previously submitted Standard Vendor Responsibility Questionnaire.
4. I hereby certify that with the exception of the information specified as changed herein, there has been no material change in the information pertaining to the Contractor specified on such attached Questionnaire.

AUTHORIZED CONTACT FOR THE PROPOSED CONTRACT:

Name & Title: _____

Telephone Number: _____

Email: _____

Signature

Print Name

Title

V. STATEMENT OF NON-COLLUSION

- A. By submission of this Proposal, Proposer and each person signing on behalf of Proposer certifies, (and in the case of a joint Proposal each party thereto certifies) as to its own organization, under penalty of perjury, that to the best of his knowledge and belief:
 - a. 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 or with any competitor.
 - b. 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 or to any competitor.
 - c. No attempt has been made or will be made by Proposer to induce any other person, partnership, firm or corporation to submit or not to submit a Proposal for the purpose of restricting competition.
- B. A Proposal shall not be considered for award nor shall any award be made where sub-paragraphs A.a, A.b, and A.c above have not been complied with provided however, that if in any case Proposer cannot make the foregoing certification and the Proposer shall so state and shall furnish with its Proposal a signed statement which sets forth in detail the reasons therefore. Where sub-paragraphs A.a, A.b, and A.c above have not been complied with, Proposal shall not be considered for award nor shall any award be made unless the Authority determines that such disclosure was not made for the purpose of restricting competition.

The fact that a Proposer (a) has published price lists, rates, or tariffs covering items Being procured, (b) has informed prospective customers of proposed or pending Publication of a new or revised price lists for such item, or (c) has sold the same items To other customers at the same prices being proposed, does not constitute, without more, a disclosure within the meaning of paragraph A.a above.
- C. This Proposal, if made by a corporate Proposer, shall be deemed to have been authorized by the board of directors of the Proposer and such authorization shall be deemed to include the signing and submission of the Proposal and the inclusion thereof of the statement of non-collusion as the act and deed of the corporation.

(Insert Name of Proposer and Sign Below)

By: _____

(Print full legal name of person, firm, partnership, or corporation)

(Signature)

(Address)

Corporate ID Number

Federal ID Number

Date

VI. OFFEROR'S AFFIRMATION OF UNDERSTANDING OF AND AGREEMENT PURSUANT TO STATE FINANCE LAW §139-j(3) AND §139-j(6)(b)

For reference, the applicable sections of the New York State Finance Law can be found here: <https://www.nysenate.gov/legislation/laws/STF/139-J>

Offeror affirms that it understands and agrees to comply with the procedures of Battery Park City relative to permissible Contacts as required by State Finance Law §139-j(3) and §139-j(6)(b).

By: _____ Date: _____

(Signature)

(Name – Printed)

(Title)

Contractor Name: _____
(Company)

Contractor Address: _____

VII. OFFEROR'S CERTIFICATION OF COMPLIANCE WITH STATE FINANCE LAW
§139-k(5)

For reference, the applicable sections of the New York State Finance Law can be found here:
<https://www.nysenate.gov/legislation/laws/STF/139-K>

I certify that all information provided to Battery Park City Authority, its subsidiaries and affiliates with respect to State Finance Law §139-k is complete, true and accurate.

By: _____ Date: _____

(Signature)

(Name – Printed)

(Title)

Contractor Name: _____
(Company)

Contractor Address: _____

VIII. OFFEROR DISCLOSURE OF PRIOR NON-RESPONSIBILITY DETERMINATIONS

Name of Individual or Entity Seeking to Enter into the Procurement Contract:	
Address:	
Name and Title of Person Submitting this Form:	
Project Name:	
Date:	

<p>1. Has any Governmental Entity made a finding of non-responsibility regarding the individual or entity seeking to enter into the Procurement Contract in the previous four years?</p> <p>If yes, please answer the next questions:</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>2. Was the basis for the finding of non-responsibility due to a violation of State Finance Law §139-j?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>3. Was the basis for the finding of non-responsibility due to the intentional provision of false or incomplete information to a Governmental Entity?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>4. If you answered yes to any of the above questions, please provide details regarding the finding of non-responsibility below:</p> <p>Governmental Entity: Date of Finding of Non-responsibility: Basis of Finding of Non-Responsibility: (add additional pages if required)</p>	
<p>5. Has any Governmental Entity or other governmental agency terminated or withheld a Procurement Contract with the above-named individual or entity due to the intentional provision of false or incomplete information?</p> <p>If yes, please provide details below:</p> <p>Governmental Entity: Date of Termination or Withholding of Contract:</p> <p>Basis of Termination or Withholding: (add additional pages if required)</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>

Offeror certifies that all information provided to the Governmental Entity with respect to State Finance Law §139-k is complete, true and accurate.

By: _____ Date: _____

(Signature)

(Name – Printed)

(Title)

Contractor Name: _____
(Company)

Contractor Address: _____

IX. ENCOURAGING USE OF NEW YORK STATE BUSINESSES IN CONTRACT PERFORMANCE

New York State businesses have a substantial presence in State contracts and strongly contribute to the economies of the state and the nation. In recognition of their economic activity and leadership in doing business in New York State, Proposers 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.

Proposers are strongly encouraged, to the maximum extent practical and consistent with legal requirements, 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, Proposers 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 State 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 the Contract, thereby fully benefiting the public sector programs that are supported by associated procurements.

Public procurements can drive and improve the State’s economic engine through promotion of the use of New York businesses by its contractors. The State therefore expects bidders/proposers to provide maximum assistance to New York businesses in their contracts. The potential participation by all kinds of New York businesses will deliver great value to the State and its taxpayers.

Proposers can demonstrate their commitment to the use of New York State businesses by responding to the question below. Each proposer must include a response to this question with their proposal. Please note that a “yes” response requires supporting information. If yes, identify New York State businesses that will be used and attach identifying information.

Will New York State businesses be used in the performance of this contract?

Yes **No**

X. ACKNOWLEDGEMENT OF ADDENDA FORM

RFP TITLE: _____

Complete Part I or Part II, whichever is applicable, and sign in Part III.
--

Part I

Listed below are the dates of issue for each Addendum received in connection with this RFP:

Addendum # 1, Dated _____, ____

Addendum # 2, Dated _____, ____

Addendum # 3, Dated _____, ____

Addendum # 4, Dated _____, ____

Addendum # 5, Dated _____, ____

Addendum # 6, Dated _____, ____

Part II Acknowledgement of No Receipt

_____ No Addendum was received in connection with this RFP

Part III

Proposer's Name: _____

Proposer's Authorized Representative:

Name: _____

Title: _____

Signature: _____

XI. MINORITY BUSINESS ENTERPRISE/WOMEN BUSINESS ENTERPRISE (MBE/WBE) UTILIZATION PLAN

Please fill out utilization plan for MBE/WBE(s) participation and use the same form for all additional MBE/WBE Firms.

Contractor Information:

Project Name:		
Project No.:	Site #:	Date:
Name of Contractor:		
Address:		
Contact Person:		
Phone:	Fax:	
Federal ID No.:	Tax ID:	
Is Your Firm: MBE <input type="checkbox"/> WBE <input type="checkbox"/>		
Work to Begin:	Work to be Completed:	

MBE/WBE Information:

Sub-Contractor or Vendor:		
Name:		
Address:		
Contact Person:		
Phone:	Fax:	
Federal ID No.:	Tax ID:	
Is This Firm: MBE <input type="checkbox"/> WBE <input type="checkbox"/>		
Total Percent of Contract Holder %	Trade:	
Scope of Work to be done by MBE/WBE:		
Work to Begin:	Work to be Completed:	

MBE/WBE Information:

Sub-Contractor or Vendor:	
Name:	
Address:	
Contact Person:	
Phone:	Fax:
Federal ID No.:	Tax ID:
Is This Firm: MBE <input type="checkbox"/> WBE <input type="checkbox"/>	
Total Percent of Contract Holder %	Trade:
Scope of Work to be done by MBE/WBE:	
Work to Begin:	Work to be Completed:

MINORITY BUSINESS ENTERPRISE/WOMEN BUSINESS ENTERPRISE (MBE/WBE) UTILIZATION PLAN (continued)

The Minimum MBE/WBE Business Participation Goal Expected for your Firm is as Follows:	Workforce Percentages set for this project is as Follows:
Trade(s)	Trade(s)
Minority Owned Business %	Minority Workforce %
Women Owned Business %	Female Workforce %

Please attach copies of the most recent New York State Certification Letters for all MBE/WBE Firms Listed on this Utilization Plan. If there are any changes in the information on this plan you must immediately re-submit this plan with the most recent date.

XII. SERVICE DISABLED VETERAN OWNED BUSINESSES (SDVOB) UTILIZATION PLAN

Please fill out utilization plan for SDVOB(s) participation and use the same format for all additional SDVOB sub-contractors.

Contractor Information

Contractor:	Date:
Name:	
Address:	
Contact Person:	Phone:
Federal ID No.:	Fax:

SDVOB Information

Sub-Contractor:	Federal ID No.:
Name:	Work to Begin
Address:	
Phone:	Work to Finish On:
Contact Person:	
Estimate % of Contract to be Awarded to SDVOB:	
Scope of Work to be Done by SDVOB:	

SDVOB Information

Sub-Contractor:	Federal ID No.:
Name:	Work to Begin
Address:	
Phone:	Work to Finish On:
Contact Person:	
Estimate % of Contract to be Awarded to SDVOB:	

Scope of Work to be Done by SDVOB:

SDVOB Information

Sub-Contractor:	Federal ID No.:
Name:	Work to Begin
Address:	
Phone:	Work to Finish On:
Contact Person:	
Estimate % of Contract to be Awarded to SDVOB:	
Scope of Work to be Done by SDVOB:	

SERVICE DISABLED VETERAN OWNED BUSINESSES (SDVOB) UTILIZATION PLAN
(continued)

Workforce Percentage Information

Trade (s)	
Minority Workforce:	%
Female Workforce:	%

XIII. MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES EQUAL EMPLOYMENT OPPORTUNITY POLICY STATEMENT

I, _____ (the "Contractor"), agree to adopt the following policies with respect to the project being developed at, or services rendered to, the Battery Park City Authority ("BPCA").

MBE/WBE

This organization will and will cause its contractors and subcontractors to take good faith actions to achieve the MBE/WBE contract participations goals set by the State for that area in which the State-funded project is located, by taking the following steps:

- (1) Actively and affirmatively soliciting bids for contracts and subcontracts from qualified State certified MBEs or WBEs, including solicitations to MBE/WBE contractor associations.
- (2) Requesting a list of State-certified MBEs/WBEs from BPCA and soliciting bids from these MBEs/WBEs directly.
- (3) Ensuring that plans, specifications, request for proposals and other documents used to secure bids will be made available in sufficient time for review by prospective MBEs/WBEs.
- (4) Where feasible, dividing the work into smaller portions to enhance participations by MBEs/WBEs and encourage the formation of joint venture and other partnerships among MBE/WBE contractors to enhance their participation.
- (5) Documenting and maintaining records of bid solicitation, including those to MBEs/WBEs and the results thereof. The Contractor will also maintain records of actions that its subcontractors have taken toward meeting MBE/WBE contract participation goals.
- (6) Ensuring that progress payments to MBEs/WBEs are made on a timely basis so that undue financial hardship is avoided, and that bonding and other credit requirements are waived or appropriate alternatives are developed to encourage MBE/WBE participation.

EEO

(a) This organization will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing diversity programs to ensure that minority group members 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.

(b) This organization shall state in all solicitation 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 disability or marital status.

(c) At the request of BPCA, this organization shall request that each employment agency, labor union, or authorized 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 this organization's obligations herein.

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

(e) This organization will include the provisions of sections (a) through (d) of this agreement in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with the State contract.

Agreed to this _____ day of _____

By _____

Print: _____ Title: _____

_____ is designated as the Consultant's Minority Business Enterprise Liaison responsible for administering the Minority and Women-Owned Business Enterprises - Equal Employment Opportunity (MBE/WBE - EEO) program.

MBE/WBE Contract Goals

0% Minority and Women's Business Enterprise Participation

___ % Minority Business Enterprise Participation

___ % Women's Business Enterprise Participation

EEO Contract Goals (if applicable)

___ % Minority Labor Force Participation

___ % Female Labor Force Participation

(Authorized Representative)

Title: _____

Date: _____

XIV. Certification Under Executive Order No. 16 Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia

Executive Order No. 16 provides that “all Affected State Entities are directed to refrain from entering into any new contract or renewing any existing contract with an entity conducting business operations in Russia.” The complete text of Executive Order No. 16 can be found [here: https://www.governor.ny.gov/executive-order/no-16-prohibiting-state-agencies-and-authorities-contracting-businesses-conducting](https://www.governor.ny.gov/executive-order/no-16-prohibiting-state-agencies-and-authorities-contracting-businesses-conducting).

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

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

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

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

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

Vendor Name (Legal Entity): _____

By (Signature): _____

Name: _____

Title: _____

Date: _____

EXHIBIT C

(Contractor Requirements and Procedures for Participation by New York State-Certified MBEs/WBEs/SDVOBs and Equal Employment Opportunities for Minority Group Members and Women)

NEW YORK STATE LAW

Pursuant to New York State Executive Law Article 15-A and Parts 140-145 of Title 5 of the New York Codes, Rules and Regulations BPCA is required to promote opportunities for the maximum feasible participation of New York State-certified MBEs/WBEs (collectively, “MWBE(s)”) and the employment of minority group members and women in the performance of BPCA contracts. Pursuant to New York State Executive Law Article 17-B and 9 NYCRR §252, BPCA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified SDVOBs.

Business Participation Opportunities for MWBEs

For purposes of this solicitation, BPCA hereby waives the requirement for MBE, WBE and SDVOB participation goals based on the availability of subcontracting opportunities. Contractors remain encouraged to seek participation opportunities for MWBE and SDVOB firms to the extent possible.

Equal Employment Opportunity Requirements

By submission of a bid or proposal in response to this solicitation, the Proposer agrees with all of the terms and conditions of the attached MWBE Equal Employment Opportunity Policy Statement. The Proposer is required to ensure that it and any subcontractors awarded a subcontract 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 Proposer, 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.

The Proposer will be required to submit a Minority and Women-owned Business Enterprise and Equal Employment Opportunity Policy Statement, Form # 4, to BPCA with its bid or proposal.

If awarded a Contract, Proposer shall submit a Workforce Utilization Report and shall require each of its Subcontractors to submit a Workforce Utilization Report, in such format as shall be required by BPCA on a monthly basis during the term of the Contract.

Pursuant to Executive Order #162, contractors and subcontractors will also be required to report the gross wages paid to each of their employees for the work performed by such employees on the contract utilizing the Workforce Utilization Report on a quarterly basis.

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.

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.

EXHIBIT D

(List of BPCA Board Members and Employees)

Acevedo, Angel

Afzal, Betzayda M.

Afzal, Curtis

Alexander, Danah

Alvarez, Elsa C.

Anders, Dana J.

Anderson, Conrad J

Appenfeller, Gwendolyn

Babb, David

Baichu, Sharmila

Baki, Muriel Barnett

Baptiste, Marie R

Beecham, Brett D.

Belliard, Freddy

Bender, Marieke E

Benon, Yipin K.

Berendschot, Octavie

Bergen, Zachary

Best, Jacqueline

Blake, Nidia Xcenia

Bonnely, Sully

Bruce, Oliver

Buivid, Nancy

Buquicchio, Anthony
Campbell, Peter M.
Caraballo, Angel
Centeno, Monica
Chen, David
Cho, Terence
Cid, Alexis Torres
Cogan, Jonathan William
Compaan, Jason
Cordova, Kevin
Curley, Jonathan
Curtin, Sarah F
Daube, Ashley
Davis, David
Davis, Elizabeth Nelson
De Padua, Gilbert
DeSantis, Phillip C
Diaz, Ismael
Diaz-Larui, Paul N.
Dickson, Daniel Allen
Dobens, Lawrence
Dopson, Tonasia T.
Eggleston, Terrence
Ellison, AnnMaria
Engler, Elise
Espinal, Jason

Ethridge, Maya
Flanagan, Stacey
Flores, Tamara G.
Fonseca, Juan
Fortune, Dennis
Frederick, Pamela M.
Fuhrman, Heather
Gallagher, James J.
Garcia-Edwards, DonnaMarie
Gerbi, Ameli
Gonzalez, Anatasia I.
Gonzalez, Lee
Gorley, Keyond
Gould, Robert H.
Gregg, Evelyn
Gross, Jonathan A
Gutin, Dmitriy
Hansen, Robert T.
Harper, Justin
Harris, Elian
Hart, Louisa Rose
Heerah, Sankar
Hernandez, Raul
Heron, Mary C
Herrera Rincon, Lorena
Hines, Damien

Hing, Alexander Herrmann
Hoey, Brendan
Hood, Megan
Howard, Angela M.
Hudon, Craig A.
Jogie, Amy S.
Johnson, Jasmine Mikayla
Johnson-Gabrielle, Willow
Jones, Gamal A
Jones, Saladin
Julien, Ebonique M.
Kaur, Rupinder
Kessin, Benjamin
Kimpolo Nkaya, Zag Legrand
Koenig, Karl H.
Kotsanis, Elephtherios
Lalama Moreno, Cristina Alexandra
Lei, Jeffrey
Leon, Boris
Lerner, Marianna
Leung, Jeremy K.
Lima, Triny
Liu, Johnny
Lopcy, Rene J.
Lopez, Janira C
Magana, Maria

Maggi, Michael Andrew
Maggi, Robert
Maisonet, Evelin
Mann, Rajinder
Manzella, Lenore
Martinez, Eric
Martinez, Maria
McNeill, Princess K.
Mendez, Just
Mesine-Michael, Vanessa
Metal, Rami
Mikati, Rayyan
Mimbella, Lilka
Mirabal, Michael
Miranda, Doreen
Mohammed, Ronnie
Morris, Haley
Motte, Eva Katherine
Moulketis, Irene
Murray, Ryan Patrick
Murtha, Lauren M.
Nathan, Jahmeliah E.
Ngo, Jane Anh
Noll, Alexander
O'Toole, Kevin
Ortiz, Maril E.

Paillant, Willem
Palma, Ma Enore
Parker, Jonathan J
Patel-Haribaran, Nimisha
Pearlman, Gladys
Pena , Carlen
Perriello, Vito
Petrov, Roman Eduardovich
Pimentel, Rynell
Powell, Katherine
Powell, Rayshawn
Pula, Ard
Rachnowitz, Jason
Ramirez, Madelin G.
Ramos, Joel
Reynolds, Aline E
Reynoso, Eder
Rhoades, Takoda Rayne
Richards, Kwame
Rivera, Angel
Rivera, Manuel
Rivera, Ruben
Riveros Torres, Sylvia Juliana
Rufino, Joel
Russell, Paul C
Salazar, Atticus

Sanders, Monica Ciera
Santiago, Carlos
Sbordone, Nicholas T
Schwartz, Jean
Sewraj-Kumar, Rekha
Shacham, Yael
Simon, Sean A.
Singh, Kemnarine
Smedley, Sarah J.
Stewart, Shinay
Striggles, Patricia Antionette
Taft, Marcella
Teelan, Michael
Torres Davila, Michelle K.
Torres, Ryan A.
Van Horn, Douglas J.
Vann, Isabel
Vargas, Christian
Veve, Yves Emmanuel
Vitale, Matthew William
Wade, Sharon B.
Wallace, David B.
Weixel, Goldie
Wells, John
Williams, Dwight
Williams, Eileen

Williams, Ikeem

Wisnewski, Jennifer

Wolfe, Sara N.

Yohannes, Jouli

Yokoi, Erin L

Zeltser, Zachary

Zeng, Joanna

de Melo, Pedro

EXHIBIT E

(BPCA Sample Form of Contract)

CONSULTANT AGREEMENT

between

HUGH L. CAREY BATTERY PARK CITY AUTHORITY

and

[CONSULTANT]

Contract No. [CONTRACT #]

([PROJECT NAME])

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EXHIBIT A - SCOPE OF WORK

EXHIBIT B - RATES **[if applicable]**

EXHIBIT C - FORM OF TIME SHEET **[if applicable]**

EXHIBIT D - MBWE AND EEO POLICY STATEMENT

CONSULTANT AGREEMENT

AGREEMENT (the “Agreement”) by and between BATTERY PARK CITY AUTHORITY d/b/a HUGH L. CAREY BATTERY PARK CITY AUTHORITY, (“BPCA”, the “Authority” or “Owner”), a body corporate and politic, constituting a public benefit corporation, having a place of business at 200 Liberty Street, 24th Floor, New York, New York 10281, and [COMPANY], formed under the laws of the State of [INCORP. STATE], having an office at [CITY, STATE AND ZIP] (the “Consultant”).

W I T N E S S E T H:

WHEREAS, Owner has fee title to certain real property located in the City, County and State of New York, generally known as Battery Park City; and

WHEREAS, Owner has developed Battery Park City, in individual parcels, with the goal of creating a richly diversified mixed use community providing residential and commercial space with related amenities such as parks, plazas, recreational areas and a waterfront esplanade; and

WHEREAS, Owner intends to retain the services of Consultant to perform [**describe services to be performed**] (the “Project”), and Consultant desires to perform such services for Owner.

NOW, THEREFORE, in consideration of the mutual promises herein contained, the parties hereby agree as follows:

1. Scope of Work

Consultant shall perform the services described in the Scope of Work attached hereto as Exhibit A (the “Work”). All Work shall be completed in accordance with the requirements furnished to Consultant by Owner, and shall be completed to Owner’s satisfaction.

2. Time for Performance

Consultant shall perform the Work as expeditiously as is consistent with professional skill and the orderly progress of the Work, and in accordance with any schedule set forth in the attached Scope of Work. If a schedule approved by Owner is incorporated into this Agreement, said schedule shall not be exceeded by Consultant, except for reasonable cause. The term of this Agreement shall begin as of the date that it is fully executed (the “Commencement Date”) and shall terminate not later than [**DATE TERM ENDS**] (the “Expiration Date”) (such period from the Commencement Date to the Expiration Date is referred to herein as the “Term”) unless this Agreement is otherwise terminated as hereinafter provided. Consultant shall complete the Scope of Work on or before [**DATE**], unless the time for performance of the Work is extended by written agreement of Consultant and Owner.

3. Compensation

(a) Owner shall pay, and Consultant agrees to accept as full compensation for all Work performed under this Agreement, the not-to-exceed amount of [**\$\$\$\$\$**] (the “Fee”), paid in

accordance with the rates (the “Rates”) attached hereto as Exhibit B. The Fee includes any and all reimbursable expenses, which shall not exceed [\$\$\$\$\$] (the “Reimbursable Amount”), incurred by Consultant in performing the Work.

(b) Any reimbursable expenses shall be paid in accordance with Owner’s standard policies for reasonable expenses actually incurred by Consultant in connection with the performance of the Work. Consultant shall submit copies of receipts or other supporting documentation for any qualifying expenses incurred.

(c) Consultant shall submit monthly requests for payment (each, an “Invoice”) to Owner that shall:

(i) include the name, address, and telephone number of Consultant;

(ii) be accompanied by time sheets, in substantially the form provided in Exhibit C (“Form of Time Sheet”), attached hereto and made part hereof, containing a description of the work performed and indicating hours worked in each billing category; and

(iii) reference the project for which services were rendered.

(d) Owner shall pay Consultant in accordance with Owner’s Prompt Payment Policy, a copy of which can be found at: <http://bpca.ny.gov/wp-content/uploads/2018/01/BPCA-Prompt-Payment-Policy-Fiscal-Year-2017.pdf>. Any item(s) of Work indicated in any Exhibit hereto as attributable to a specific phase of the Work that is not performed during the specified phase shall not be compensated by Owner, but payment for any such items of Work shall remain available to Consultant if, with Owner’s advance approval, such Work is actually performed during a subsequent phase of the Work, subject to the provisions of this Article 3 and Owner’s approval of any request for payment. Owner may withhold from any payment an amount equal to any costs or damages incurred by Owner as a result of Consultant’s negligence or breach of this Agreement.

(e) All Invoices should be submitted electronically to bpcafinanceops@bpca.ny.gov and addressed as follows:

Office of the Treasurer
Battery Park City Authority
d/b/a Hugh L. Carey Battery Park City Authority
200 Liberty Street, 24th Floor
New York, NY 10281-1097
Attn.: Accounts Payable

A duplicate copy is to be sent to the attention of [PROJECT MANAGER, TITLE] at [EMAIL ADDRESS].

4. Increase and Decrease in the Scope of Consultant’s Work

Owner shall have the right to make changes to, increase or reduce the scope of Work, or extend the Term or any date set forth in the schedule referenced in Section 2 *supra*, at any time and for any reason, upon written notice to Consultant specifying the nature and extent of such

changes. If Consultant believes that any work it has been directed to perform by Owner is beyond the scope of Work set forth in this Agreement and constitutes extra work, Consultant shall so notify Owner within ten (10) business days. Owner shall determine whether or not such work is in fact beyond the scope of the Work and is considered extra work. If Owner determines that such work constitutes extra work to Consultant or any Subconsultant (as defined in Section 25 of this Agreement), Owner will pay Consultant any additional reimbursable expenses approved pursuant to Owner's policy for reimbursable expenses, and such additional compensation only as mutually agreed in writing by Owner and Consultant at the time of such change.

5. Consultant Cooperation

(a) Consultant shall work with such firms or individuals as Owner shall designate from time to time in connection with the Work, and agrees to meet with such firms or individuals at such times as Owner may require in order to maintain an ongoing review process so as to expedite determinations and approvals required to be made in connection with the Work.

(b) Consultant shall render any assistance that Owner may require with respect to any claim or action arising from or in any way relating to Consultant's services during or subsequent to the Term of this Agreement, including, but not limited to, review of claims, preparation of technical reports and participation in negotiations, both before and after Consultant has completed performance of the Work under this Agreement and without any additional compensation therefor.

6. Termination

(a) *Termination for Convenience.* Owner, at any time, may terminate this Agreement in whole or in part. Any such termination shall be effected by mailing or delivering to Consultant a written notice of termination specifying the extent to which performance of the Work under this Agreement is terminated and the date upon which such termination becomes effective. Upon receipt of the notice of termination, Consultant shall act promptly to minimize any expenses resulting from said termination. Owner shall pay Consultant the costs actually incurred by Consultant, including any Fee for Work actually and satisfactorily performed up to the effective date of the termination, but in no event shall Consultant be entitled to compensation in excess of the total consideration of this Agreement. In the event of such a termination, Owner may take over the Work and prosecute same to completion by contract or otherwise, and may take possession of and utilize such work product, materials, appliances, and plant as may be on the site and necessary or useful to complete the Work. Except as otherwise provided herein, all of Owner's liability hereunder shall cease and terminate as of the effective date specified in such notice of termination.

(b) *Termination for Cause.* Owner may terminate this Agreement for cause if:

(i) Consultant shall fail to diligently, timely and expeditiously perform any of its obligations as set forth in the Agreement;

(ii) Any representation or warranty made or deemed to have been made under this Agreement by Consultant shall prove to be untrue in any material respect;

(iii) Consultant shall make a general assignment for the benefit of its creditors, or a receiver or trustee shall have been appointed on account of Consultant's insolvency, or

Consultant otherwise shall be or become insolvent, or an order for relief shall have been entered against Consultant under Chapter 7 or Chapter 11 of Title 11 of the United States Code;

(iv) a breach of any covenant or agreement contained in Section 16 of this Agreement or any other section of this Agreement shall occur; or

(v) Consultant otherwise shall be in default hereunder;

by serving written notice upon Consultant of Owner's intention to terminate this Agreement. Such notice shall state: (1) the reason(s) for Owner's intention to terminate the Agreement, and (2) the effective date of termination, to be not less than three (3) calendar days after the date of the notice of termination. If Consultant shall fail to cure the reason(s) for termination or make arrangements satisfactory to Owner on or before the effective date of termination, this Agreement shall terminate on the date specified by Owner in the notice of termination. In the event of any such termination, Owner may take over the Work and prosecute same to completion by contract or otherwise, for the account and at the expense of Consultant, and Consultant shall be liable to Owner for all costs incurred by Owner by reason of said termination. In the event of such termination, Owner may take possession of and utilize such work product, materials, appliances, and plant as may be on the site and necessary or useful to complete the Work. Upon Owner's completion of the Work following a termination for cause, Consultant shall be entitled to such amount of the Fee that has not theretofore been paid to Consultant and that shall compensate Consultant for all Work actually and satisfactorily performed by it up to the date of termination, provided, however, that Owner shall deduct from any amount all additional costs and expenses that Owner may incur over those which Owner would have incurred in connection with the Work if Owner had not so terminated this Agreement for cause. Nothing contained in this Agreement shall limit in any manner any and all rights or remedies otherwise available to Owner by reason of a default by Consultant under this Agreement, including, without limitation, the right to seek full reimbursement from Consultant for all costs and expenses incurred by Owner by reasons of Consultant's default hereunder and which Owner would not have otherwise incurred if Consultant had not defaulted hereunder.

(c) Upon any termination of this Agreement in accordance with the provisions of this Section 6, Consultant shall, with respect to the Work which is the subject of such termination:

(i) discontinue all its services from and after the date of the notice of termination, except to attempt to cure any reason(s) for termination or as may be required to complete any item or portion or services to a point where discontinuance will not cause unnecessary waste of duplicative work or cost;

(ii) cancel, or if so directed by Owner, transfer to Owner all commitments and agreements made by Consultant relating to the Work, to the extent same are cancelable or transferable by Consultant;

(iii) transfer to Owner in the manner, to the extent, and at the time directed by Owner, all work product, supplies, materials and other property produced as a part of, or acquired in the performance of the Work; and

(iv) take other actions as Owner may reasonably direct.

(d) In the event that Consultant, having been terminated, thereafter obtains a determination, in a judicial or other action or proceeding, that such termination was unwarranted, without basis, or invalid for any reason, then the termination shall be deemed to have been one for the convenience of Owner and Consultant shall be entitled to be reimbursed and paid as provided in Subsection 6(b) but to no other payments or damages.

7. Suspension

Owner may, at any time and for any reason, order Consultant in writing to suspend, delay or interrupt performance of all or any part of the Work for a reasonable period of time as the Owner may determine. Upon receipt of a suspension order, Consultant shall, as soon as practicable, cease performance of the Work as ordered and take immediate affirmative measures to protect such Work from loss or damage. Consultant specifically agrees that such suspension, delay or interruption of the performance of Work pursuant to this Section 7 shall not increase the cost of performance of the Work of this Agreement. Owner may extend the Term or any date set forth in schedule referenced in Section 2 *supra*, to compensate Consultant for lost time due to suspension, delay or interruption, and such time extension shall be Consultant's sole compensation for same. Consultant shall resume performance of such Work upon the date ordered by Owner.

8. Assignment

(a) Consultant shall not by agreement, operation of law, or otherwise, assign, encumber, transfer, convey, sublet or otherwise dispose of this Agreement to any entity or person, in whole or in part, including but not limited to an assignment, transfer or conveyance by change in the control or change in the ownership of the Consultant or a change in control or change in the ownership of any entity owning or controlling the Consultant, without the prior written consent of Owner, which consent may be withheld, conditioned or delayed in the Owner's sole discretion. A "change in control" includes, but is not limited to, any change in the ownership or control of the Consultant or any entity owning or controlling the Consultant, whether such change results from a merger, or a sale, assignment or transfer of stock, or a sale of assets, or a sale, transfer or assignment of assets to an affiliate or subsidiary, or a sale, transfer or assignment of assets to an affiliate or subsidiary with a subsequent sale or transfer of such affiliate or subsidiary, or a transfer or change in control by contract or other such agreement.

(b) Any action by the Contractor which violates the provisions of section A, above, shall be deemed to be a material breach of the terms of this Agreement by the Consultant and Owner shall have all rights and remedies available to it under law and equity, including termination of the Agreement.

9. Ownership of Documents

(a) All material specifically prepared for the Project and excluding any intellectual property already owned by Consultant that is furnished by Consultant or any Subconsultants (including but not limited to all film, video, or digital assets, Hypertext Markup Language ("HTML") files, JavaScript files, flash files, etc.) in connection with the Work shall be deemed Works Made for Hire and become the sole property of Owner. Consultant shall provide a tangible

copy of the Work to Owner in any form(s) to be specified by Owner. Such materials may be used by Owner, in whole or in part, or in modified form, for any and all purposes Owner may deem desirable without further employment of, or payment of any additional compensation to Consultant. Consultant hereby acknowledges that whatever participation Consultant has, or will have, in connection with any copyrightable subject matter that is the subject of the Work is and shall be deemed Work Made for Hire on behalf of the Owner and that the Owner shall be the sole owner of the Work, and all underlying rights therein, worldwide and in perpetuity. In the event that the Work, or any portion thereof, does not qualify or is deemed not to be Work Made for Hire, Consultant hereby irrevocably transfers and assigns to the Owner all of Consultant's right, title and interest, throughout the world, in and to the Work, including, without limitation, all of Consultant's right, title and interest in the copyrights to the Work, including the unrestricted right to make modifications, adaptations and revisions to the Work and hereby waives any so-called "moral rights" with respect to the Work. Consultant grants to Owner a royalty free, worldwide perpetual, irrevocable, nonexclusive license to reproduce, modify, and publicly display the Work.

(b) Any plans, drawings, or specifications prepared by or on behalf of Consultant for the Project shall become property of Owner, and Consultant may not use same for any purpose not relating to the Project without Owner's prior written consent. Consultant may retain such reproductions of plans, drawings or specifications as Consultant may reasonably require. Upon completion of the Work or the termination of this Agreement, Consultant shall promptly furnish Owner with a complete set of original record prints. All such original materials shall become property of Owner who may use them, without Consultant's permission, for any proper purpose including but not limited to additions or completion of the Project.

10. Insurance

(a) Consultant shall procure and maintain all of the insurance required under this Section 10 during the Term of this Agreement, except with respect to Completed Operations coverage, as described in Section 10(g) below.

(b) Consultant shall not commence performance of the Work until Consultant has obtained, and required each Subconsultant to obtain, all the insurance required under this Section 10 and until it has furnished to Owner the certificate or certificates of insurance required by Section 10(c) hereof.

(c) Consultant shall furnish to Owner, before or upon execution of this Agreement, a certificate or certificates of the insurance required under this Section 10 and, upon Owner's request, certified copies of the original policies of insurance, within the time period required by Owner and before commencing performance of the Work. Such certificate or certificates shall be in form satisfactory to Owner, and shall list the various coverages required under this Article 10. Consultant hereby certifies that the policy shall not be changed, canceled or reduced and that it shall be automatically renewed upon expiration and continued in force until two years after the Work is completed unless Owner is given 90 days' written notice to the contrary. Such certificates shall also include riders providing that violation of any of the terms of any policy shall not by itself invalidate such policy. Such policies and certificates must name as additional insureds Owner, Battery Park City Parks Conservancy Corporation ("BPCPC") and the State of New York.

(d) All insurance required to be procured and maintained must be procured from insurance companies that have a financial rating by A.M. Best Company as published in the most current key rating guide of A-VII or better and which are authorized to do business in the State of New York.

(e) If at any time any of the required insurance policies should be canceled, terminated or modified so that insurance is not in effect as required, then Consultant shall suspend performance of the Work. If the Work is suspended then Owner may, at Owner's option, obtain insurance affording coverage equal to that required herein and the cost of such insurance shall be payable by Consultant to Owner.

(f) All additional insured protection afforded Owner, BPCPC, and the State of New York must be on a primary and non-contributory basis and all policies must include a waiver of subrogation in favor of Owner, BPCPC, and the State of New York.

(g) Consultant and Subconsultants shall secure in a form satisfactory to Owner the following:

(i) Worker's Compensation, Employer's Liability insurance (including United States Longshoreman & Harbor Workers and Jones Act coverages if required) and Disability Benefits during the Term, at not less than the statutory limits, for the benefit of such employees as are required to be insured by the applicable provisions of law and voluntary compensation for employees excluded from statutory benefits.

(ii) Commercial General Liability insurance, as follows:

(A) Coverage must be written on ISO Form CG 00 001 or its equivalent and with no modification to the contractual liability coverage provided therein, and shall be provided on an occurrence basis with limits not less than:

- \$1,000,000 per occurrence
- \$2,000,000 General Aggregate, which must apply on a per project basis
- \$2,000,000 Products/Completed Operations aggregate

(B) Owner, BPCPC and the State of New York must be protected as additional insureds with coverage at least as broad as the combination of the most recent editions of ISO Forms CG 20 26 and CG 20 37 on policies held by the Consultant and any of its Subconsultants. Subconsultants may not use blanket additional insured endorsements to provide additional insured protection to Owner, BPCPC, and the State of New York "by written contract" but must use ISO Form CG 20 38 or its equivalent. The policy must provide coverage for defense and indemnification of claims and/or lawsuits, including third party actions, claims and/or lawsuits for bodily injury to the employees of Consultant or Subconsultants arising from the injured worker's employment with the Consultant or any of its Subconsultants

(C) Consultant and any of its Subconsultants must maintain Products/Completed Operations coverage for no less than three years after the Work is completed and continue to include Additional Insured protection for Owner, BPCPC & the State of New York for the prescribed timeframe and coverage shall contain, in addition to any other provisions

required hereby, a provision that the policy shall not be changed, canceled or reduced. As a condition precedent to the making of final payment, Consultant shall furnish Owner with a then current certificate of insurance that confirms the Completed Operations coverage is in effect.

(D) When providing evidence of this insurance the Consultant and any of its Subconsultants must include a completed Acord 855 NY form.

(iii) Automobile Liability insurance covering the use in connection with the Work of all owned, non-owned and hired vehicles. The coverage must protect Owner, BPCPC, and the State of New York as additional insureds under such policy and shall not be less than a \$1,000,000 Combined Single Limit

(iv) Professional Liability (“Errors and Omissions”) insurance must be maintained at a limit of not less than \$1,000,000 per claim.

(v) Data Breach and Privacy/Cyber Liability Insurance including coverage for failure to protect confidential information and failure of the security of Consultant’s computer systems or Owner’s/BPCPC’s systems due to the actions of Consultant which results in unauthorized access to Owner’s and/or BPCPC’s data. The limit applicable to this policy shall be no less than \$1,000,000 per occurrence, and must apply to incidents related to the cyber theft of Owner’s and BPCPC’s property, including but not limited to, money and securities. Owner, BPCPC, and the State of New York must be protected as additional insureds on policies held by Consultant and any of its Subconsultants.

(vi) Technology Errors and Omissions insurance with a limit of not less \$1,000,000 for damages arising from computer-related services including, but not limited to, the following:

- Consulting;
- Data processing;
- Programming;
- System integration;
- Hardware or software development;
- Installation;
- Distribution or maintenance;
- Systems analysis or design;
- Training; and
- Staffing or other support services.

The policy shall include coverage for third party fidelity including cyber theft and protect Owner, BPCPC, and the State of New York as additional insureds.

(vii) Valuable Papers insurance insuring, for the benefit of Consultant and Owner, all plans, designs, drawings, specifications, and documents used under this Agreement by Consultant in a total amount of not less than **[amount]**. Consultant may furnish full coverage under one policy, or may submit separate policies from any Subconsultant(s) for their proportionate shares of such coverage.

(viii) Comprehensive Crime/Employee Dishonesty insurance in a reasonable

amount or an amount which is customary in the applicable industry, trade or profession. Coverage must extend to Third Parties.

(ix) Umbrella Liability insurance in an amount of not less than [amount]. Owner, BPCPC, and the State of New York must be protected as additional insureds on policies held by the Consultant and any of its Subconsultants.

(h) The insurance required under subsections 10(g)(ii) and (iii) shall provide that the insurance company or an attorney approved and retained by the insurance company shall defend any suit or proceeding against Owner or any officers, agents or employees of Owner whether or not such suit is groundless, false or fraudulent. Notwithstanding the foregoing, Owner shall have the right to engage its own attorneys for the purpose of defending any suit or proceeding against it or its respective officers, agents or employees, and, in such event, Consultant shall, indemnify Owner for all attorneys' fees and disbursements and other costs incurred by it arising out of, or incurred in connection with, any such defense.

(i) Owner, at Owner's cost and expense, may, at its sole option, procure and maintain such insurance as shall in the opinion of Owner, protect Owner from contingent liability of Owner to others for damages arising from bodily injury, including death and property damages which may arise from operations under this Agreement. The procurement and maintenance of such insurance by Owner shall not in any way be construed or be deemed to relieve Consultant from, or to be a limitation on the nature or extent of, such obligations and risk.

11. Authority of Owner

The Work shall be subject to the general supervision, direction, control and approval of Owner or its authorized representative(s), whose decision shall be final and binding upon Consultant as to all matters arising in connection with or relating to this Agreement. Owner shall determine all matters relative to the fulfillment of this Agreement on the part of Consultant and such determination shall be final and binding on Consultant.

12. Entire Agreement

This Agreement, including all Exhibits hereto, constitutes the entire Agreement between Owner and Consultant, and any prior agreements or understandings between Owner and Consultant with respect to any portion of the Work are hereby merged into and with this Agreement. In the event of any conflict between the terms of this Agreement and any other agreement between Owner and Consultant, the terms of this Agreement shall be deemed to control.

13. Consultant as Independent Contractor

Notwithstanding any other provision of this Agreement, Consultant's status shall be that of an independent contractor and not that of a servant, agent or employee of Owner. Accordingly, Consultant shall not hold itself out as, nor claim to be acting in the capacity of, an officer, agent, employee or servant of Owner.

14. Maintenance, Audit and Examination of Accounts

Consultant shall, until the earlier of six (6) years after completion of the performance of the Work or six (6) years after termination of this Agreement, maintain, and require all Subconsultants to maintain, complete and correct books and records relating to all aspects of Consultant's obligations hereunder, including without limitation, accurate cost and accounting records specifically identifying the costs incurred in performing their respective obligations, and shall make such books and records available to Owner or its authorized representatives for review and audit at all such reasonable times as Owner may request. In the event that Consultant and/or any Subconsultants shall fail to comply with the provisions of this Section 14, and as a result thereof shall be unable to provide reasonable evidence of such compliance, Owner shall not be required to pay any portion of the Fee and Reimbursable Expenses then due or next becoming due, as the case may be, with respect to such items, and if such compensation has already been paid, Owner may require Consultant to refund any such payment made. Any excessive audit costs incurred by Owner due to Consultant's or any Subconsultant's failure to maintain adequate records shall be borne by Consultant.

15. Acceptance of Final Payment; Release and Discharge

Final payment shall be made to Consultant upon satisfactory completion and acceptance by Owner of the Work required under this Agreement, or all Work performed prior to the termination of this Agreement if terminated pursuant to Section 6 hereof, and upon submission of a certification that all Subconsultants have been paid their full and agreed compensation. The acceptance by Consultant of the final payment under this Agreement, or any final payment due upon termination of this Agreement under Section 6 hereof, shall constitute a full and complete waiver and release of Owner from any and all claims, demands and causes of action whatsoever that Consultant, and/or its successors and assigns have, or may have, against Owner under the provisions of this Agreement, unless a detailed and verified statement of claim is served upon Owner prior to the date final payment is tendered by Owner. It is expressly understood and agreed that Owner's or Consultant's termination of this Agreement pursuant to Section 6 hereof shall not give rise to any claim against Owner for damages, compensation or otherwise as a result of such termination, and that under such circumstances Owner's liability to make payments to Consultant on account of any and all Work shall be limited to the payments set forth in Section 6 hereof.

16. Covenants, Representations and Warranties

(a) Consultant represents and warrants to Owner that:

(i) no public official is directly or indirectly interested in this Agreement, or in the supplies, materials, equipment, work, labor or services to which it relates or in any of the profits thereof;

(ii) except as set forth in this Agreement, Consultant has, and shall have, no interest, direct or indirect, in the Project to which the Work relates; and

(iii) to the best of its knowledge, upon due inquiry, no officer, member, partner or employee of Consultant has, prior to the date of this Agreement, been called before a grand jury, head of a state agency, head of a city department or other city agency to testify in an investigation concerning any transaction or contract had with the State of New York, any political subdivision

thereof, a public authority, or with any public department, agency or official of the State of New York of or any political subdivision thereof, and refused to sign a waiver of immunity against subsequent criminal prosecution or to answer any relevant question concerning such transaction or contract.

(b) Consultant covenants and agrees that:

(i) recognizing that time for completion of the Work is of the essence, Consultant shall perform all of its obligations hereunder in a prompt and workmanlike manner and in accordance with the time periods for the Work set forth herein;

(ii) the personnel assigned and any Subconsultant(s) used by Consultant in the performance of the Work hereunder shall be qualified in all respects for such assignment, employment and use;

(iii) Consultant, in the performance of the Work, shall utilize the most efficient available methodology and technology for the purpose of reducing the cost and time of such performance;

(iv) Consultant shall comply with the provisions of all Federal, State and local statutes, laws, rules, ordinances and regulations that are applicable to the performance of this Agreement;

(v) should any claim be made or any action be brought against the Owner that is in any way related to the Work, Consultant shall diligently render to Owner any and all assistance specified in Section 5 of this Agreement that may be required by Owner as a result thereof; and

(vi) Consultant shall not commit its personnel to, nor engage in, any other projects during the term of this Agreement to the extent that such projects may adversely affect the quality or efficiency of the Work or would otherwise be detrimental to the conduct and completion of the Work, and Consultant shall provide sufficient numbers of qualified personnel as shall be required to perform the Work in the time requested by Owner. Consultant shall comply with any reasonable request by Owner to remove and/or replace any of Consultant's personnel from the Project.

(c) The parties make mutual representations that to the best of their knowledge that any materials provided by either party for inclusion in the Work shall not infringe upon the copyright or trademark of any third party.

17. Indemnity

To the fullest extent allowed by law:

(a) Consultant shall be liable to, and shall indemnify Owner, each Member, officer, agent and employee of Owner for, and shall hold each of the foregoing harmless from and against, any and all claims, losses, damages, expense, penalties, costs or other liabilities, including, without limitation, attorneys' fees, costs, disbursements and interest, arising out of the performance of the Work or Consultant's breach of this Agreement, including but not limited to any claim for personal

injury, property damage or death, or any breach that results in the unauthorized use or disclosure of Owner's Confidential Information, as hereinafter defined, except to the extent such claim arises solely as a result of Owner's negligence or willful act, and Consultant agrees that it shall defend any suit or action brought against Owner or any Member, officer, agent or employees of Owner that is based on any loss or liability or alleged loss or liability indemnified herein.

(b) Consultant shall be liable to, and shall indemnify Owner and each of the Members, officers, agents and employees of Owner for, and shall hold each of the foregoing harmless from and against, any and all claims made against any of the foregoing for infringement of any copyright, trademark or patent arising out of the use of any plans, designs and specifications furnished by Consultant in the performance of this Agreement.

18. Confidentiality

Owner's Confidential Information ("Confidential Information") means nonpublic information that BPCA designates as being confidential or which, under the circumstances surrounding disclosure, ought to be treated as confidential. Confidential Information includes without limitation, information relating to BPCA's business practices, including but not limited to draft documents, data files, specifications and any other non-public information, in any form, disclosed by BPCA to Consultant.

Consultant further agrees that data, recommendations, reports and other materials developed in the course of the Work shall comprise Confidential Information and are strictly confidential between Consultant and Owner and except as specifically provided herein, Consultant may not at any time reveal or disclose such data, recommendations or reports in whole or in part to any third party without first obtaining written approval from Owner.

Consultant shall hold Confidential Information in strictest confidence, and shall use the Confidential Information only for the purposes of this Agreement and disclose the Confidential Information only to its employees or consultants who have a need to know and who have agreed to abide by the terms of this Agreement prior to disclosure. Consultant shall take reasonable security precautions, at least as great as precautions it takes to protect its own confidential information, to preserve the confidentiality of the Owner's Confidential Information. Further, Consultant agrees to notify BPCA immediately upon discovery of any unauthorized use or disclosure of Confidential Information or any other breach of this Agreement by Consultant, or its employees or subconsultants, and will cooperate with BPCA in every reasonable way to help BPCA regain possession of Owner's Confidential Information and prevent its further unauthorized disclosure or use.

19. Cybersecurity

A. Definitions.

1. Authority: shall mean the Battery Park City Authority ("BPCA") and its subsidiaries and affiliates.

2. Authority Data: shall mean the following regardless of whether it is contained in existing or newly created in the future physical or electronic media at rest or in motion, any and all
 - a. Personal Information as such term is defined herein;
 - b. all other data, information and documentation of the Authority including current and revised technology assets and systems, procedures and methodologies for designing implementing or maintaining in general and specifically, with information technology and physical and electronic security;
 - c. the Authority's owned, licensed, or subscribed inventions, ideas and designs, design documents, equipment technology and software;
 - d. reports and studies whether prepared by Authority, the Contractor or a third-party and whether in development or completed; and
 - e. data, information, documentation and material prepared by or for the Contractor, any subcontractor, or by their respective consultants, agents, officers or employees in connection with performance of the Work, whether prior or subsequent to execution of this Contract or Agreement, and
 - f. the results of the Work.

3. Personal Information or Personal Identifiable Information: shall mean
 - a. any representation of information that permits the identity of an individual to whom the information applies to be reasonably inferred by either direct or indirect means;
 - b. information: (i) that directly identifies an individual (e.g., name, address, social security number or other identifying number or code, telephone number, email address, code, symbol, mark or other identifier) or (ii) by which the Authority or other agency intends to identify specific individuals in conjunction with other data elements, i.e., indirect identification. These data elements may include a combination of gender, race, birth date, geographic indicator, and other descriptors; and
 - c. information permitting the physical or online contacting of a specific individual shall be deemed Personally Identifiable Information.

4. Contractor: as used in this Article shall mean the vendor, contractor, individual or organization that enters into the Contract or Agreement to perform the Work pursuant to the Contract Documents.

5. Work: as used in this Article shall mean all the required obligations of the Contractor under the Contract or Agreement including but not limited to, the performance of any labor or services, the supplying of any goods, materials or personnel, the furnishing of any equipment, supplies or any other resources or requirements or deliverables necessary for the performance of the work and/or required by the Contract Documents including any scope of work and any modifications to the Contract or Agreement, if any.

B. Compliance with Applicable Laws, and Authority Security Policies and Procedures.

1. The Contractor, including its subcontractors, agents, officers, employees, and all other persons performing under this Contract or Agreement on behalf of the Contractor, shall comply with the applicable standards and policies set forth in the New York State Office of Information Technology Services Security Policies, which, are located at <https://its.ny.gov/policies>, in connection with the work, products, services and/or systems that the Contractor is providing to the Authority.
2. The Contractor shall deploy a system security plan (SSP) for ensuring the security of the Authority's systems and data. The SSP and associated technical, organizational and security measures shall align with the information security management system (ISMS) family of standards as published by the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC), also known as the ISO/IEC 27000 series, the NIST cybersecurity framework, or the CIS Top 20 security framework, and SAE International applicable standards, as each may be modified or replaced from time to time.
3. The Contractor shall implement and maintain security measures that meet or exceed the BPCA Cybersecurity Requirements annexed hereto and incorporated herein by reference ("Baseline Cybersecurity Requirements"). At a minimum, the Contractor shall comply with the Baseline Cybersecurity Requirements.

C. Data Privacy and Information Security.

1. The Contractor's existing methods and procedures shall be in compliance with these terms and conditions and the Baseline Cybersecurity Requirements. Should the Authority require the Contractor to make changes to its cybersecurity compliance during the term of the Contract or Agreement, the Contractor shall work with the Authority to agree on the changes to the cybersecurity compliance.
2. The Contractor shall provide the Authority, upon request, with information regarding the Contractor's compliance and implementation of the Baseline Cybersecurity Requirements.

D. Protection of Data; Notice.

1. The Contractor shall appoint a team of dedicated personnel to work with the Authority during any Security Incident Response (the "Cyber Incident Response Team"). The Cyber Incident Response Team shall be maintained by the Contractor for the duration of the Contract or Agreement. The Contractor shall within twenty-four hours (24) hours of the Authority's Notice of Award (or execution of the Contract or Agreement if no Notice of Award has been issued) provide, in writing, a list of the individuals on the Cyber Incident Response Team. Such list shall include the name of each team member together with a phone number and email address for each such member. In the event of any changes to team members or team member information, the Contractor shall provide such new information to the Authority, to the attention of the Project Manager, in writing.

2. The Vendor shall comply with the New York Stop Hacks and Improve Electronic Data Security Act (also known as the SHIELD Act) in the performance of the Work, as applicable, which, among other things, imposes on entities identified in the SHIELD Act:
 - a. particular data breach notification requirements; and
 - b. data security safeguards.

3. Unless otherwise provided by law or as further detailed in the Contract or Agreement, in the event of an any act, error or omission, negligence, misconduct, or breach that compromises or is suspected to compromise the security, confidentiality, or integrity of Authority Data or the physical, technical, administrative, or organizational safeguards put in place by the Vendor that relate to the protection of the security, confidentiality, or integrity of Authority Data, the Contractor shall, as applicable:
 - a. promptly notify (i) the Project Manager, with a copy to (2) the Authority's Management Information Systems department by email to mis@bpca.ny.gov, as soon as practicable but no later than twenty-four (24) hours after initially becoming aware of such occurrence;
 - b. perform or take any other actions required to comply with applicable law as a result of the occurrence;
 - c. cooperate with the Authority in investigating the occurrence, including making available all relevant records, files, data reporting, and other materials reasonably required to comply with applicable law, in referring the occurrence to appropriate law enforcement agencies, and in issuing appropriate press releases and responding to the media;
 - d. in the case of Personally Identifiable Information (PII), (i) notify the Authority, to the attention of: (1) the Project Manager, within twenty-four (24) hours of a confirmed breach with a copy to (2) the Authority's Management Information Systems department by email to mis@bpca.ny.gov; and (ii) at the Authority's sole election, notify the affected individuals who comprise the PII as soon as practicable but no later than is required to comply with applicable law, or, in the absence of any legally required notification period, within seventy-two (72) hours of the Authority providing written notification to the Contractor requiring the Contractor to notify the affected individuals; and
 - e. provide to the Authority a detailed corrective action plan as soon as possible, but no later than within ten (10) calendar days of the occurrence, describing the measures the Contractor will undertake and the implementation schedule for such measures, to both resolve the breach and prevent a future occurrence. If the Contractor is unable to complete the corrective action within the required timeframe, in addition to the remedies provided herein, the Authority may contract with a third party to provide the required product, service or system until (i) corrective actions have been taken, (ii) the Authority is able to procure from the Contractor the product, service or system in a manner

acceptable to the Authority, and/or (iii) until the Authority has completed a new procurement for a replacement product, service or system (the “Mitigation Efforts”). In such case, the Contractor shall reimburse the Authority for the reasonable costs related to the Mitigation Efforts following notice and demand for payment by the Authority.

- f. The Contractor shall be responsible for recreating lost Authority Data, if any, in the manner and on the schedule set by the Authority without charge to the Authority.

E. Supply Chain Risk.

1. Upon commencement of the term of the Contract or Agreement, the Contractor shall establish, document, and implement risk management practices for supply chain delivery of work, products, services and systems provided under this Contract or Agreement, if any. The Contractor shall provide documentation on its: chain-of-custody practices, information protection practices, and integrity management program for components provided by sub-suppliers within fourteen days (14) of issuance of Notice of Award or, in the event there is not a Notice of Award issued, within fourteen (14) days of execution of the Contract or Agreement. The Authority may, in its sole discretion and upon the request of the Contractor, extend such time period upon good cause shown.
2. The Contractor shall identify the countries where the development, production and maintenance for the work, products, services and systems provided under this Contract or Agreement is performed (“List of Supplier Countries”). The Contractor shall notify the Authority of changes to the List of Supplier Countries promptly but no less than seven (7) days after the Contractor knows or has reason to know that the list has changed.

F. Prohibition Against Offshore Work

1. If the Contractor is providing consulting and/or professional services including, but not limited to, software development or maintenance, the Contractor shall not perform any Work outside the United States or utilize any third party to perform (including its own employees) to provide any Work outside the United States.
2. Notwithstanding the foregoing, the Contractor may request that it be permitted to perform Work outside the United States, which determination shall be in the sole discretion of the Authority. In the event the Authority grants such request, the Contractor shall:
 - a. In no event transmit, transfer, or otherwise store Authority Data outside of the United States.
 - b. Access Authority Data only through virtual desktops provided by the Authority through other paths is strictly prohibited.

3. Enforce compliance with the Authority's IT security requirements on the devices connecting to the Authority's virtual desktops including:
 - a. Not transfer Authority Data between virtual desktop and Contractor's device
 - b. Not print Authority Data on non-Authority managed printers.

G. Cybersecurity Insurance.

The Contractor shall, at its own expense, procure and maintain in full force and effect during the term of this Contract or Agreement, a cybersecurity-related policy of insurance, as set forth by the Authority's schedule of insurance requirements; such policy shall have the minimum coverage set forth therein.

H. Patching Governance.

1. After Notice of Award but prior to the performance or delivery of any work, products, services and systems to the Authority or any connection of electronic devices, assets or equipment to the Authority's electronic equipment, the Contractor shall provide documentation regarding its patch management and vulnerability management/mitigation programs and update process (including third-party hardware, software, and firmware) for work, products, services, systems and any electronic device, asset, or equipment required to be connected to the assets of the Authority during the provision of products and services under this Contract or Agreement. This documentation shall be provided to the Authority, to the attention of the (1) Project Manager, with a copy to (2) the Authority's Management Information Systems department by email to mis@bpca.ny.gov, and shall include information regarding:
 - (a) the resources and technical capabilities to sustain this program and process such as the Contractor's method or recommendation for how the integrity of a patch is validated by the Authority and
 - (b) the Contractor's approach and capability to remediate newly reported zero-day vulnerabilities.
2. Unless otherwise approved by the Authority in writing, current or supported versions of the Contractor's work, products, services and systems ("Items") shall not require the use of out-of-date, unsupported, or end-of-life version of third-party components.
3. The Contractor shall verify and provide documentation to the Authority to the attention of the Project Manager that procured Items (including third-party hardware, software, firmware, and services) have appropriate updates and patches installed prior to delivery to the Authority.

I. Updates.

The Contractor shall provide appropriate software and firmware updates to remediate newly discovered vulnerabilities or weaknesses every thirty (30) calendar days, and within every fourteen (14) calendar days to the Authority, to the attention of the Project Manager, if an update is required to remediate critical vulnerabilities. If updates cannot be made available by the Contractor within these time periods, the Contractor shall provide mitigations and/or workarounds every forty-five (45) calendar days.

J. Cooperation with Authority Cybersecurity Reviews.

1. The Contractor acknowledges that the Authority has a significant interest in protecting and securing Authority Data and that maintaining cybersecurity is an essential element of the Work. The Contractor shall cooperate with the Authority's compliance and cybersecurity reviews during the term of the Contract or Agreement and shall provide (1) information; (2) responses to inquiries and questionnaires in written form, when requested, and (3) supporting documentation to facilitate the Authority's review(s). Such reviews will be coordinated by the Authority's Project Manager.
2. The Contractor shall submit to the Authority, to the attention of the Project Manager, the following: a SOC Type 2 Report within seven (7) days of Notice of Award or, if no Notice of Award is issued by the Authority, within seven (7) days of execution of the Contract or Agreement. When the Contractor's SOC Type 2 Report has expired, the Contractor shall submit an updated SOC Type 2 Report or, if a new report is not immediately available, a bridge letter from the Contractor's senior management, within seven (7) days after expiration of the preceding report. The obligations set forth herein shall be ongoing throughout the term of the Contract or Agreement.

K. Destruction of Authority Data.

1. All Authority Data including, but not limited to, all copies and reproductions thereof and all documents and materials derived from such Authority Data including any data in electronic form (i.e. cloud hosted Authority Data, etc.) provided to, prepared by or for the Contractor or any of its employees, subcontractors, agents and representatives (collectively, the "Contractor Personnel") shall, irrespective of whether such is in writing or stored electronically, be returned to the Authority or irrevocably destroyed by the Contractor and the Contractor Personnel, at the Authority's election, promptly upon the earlier of: (i) the termination or expiration of the Contract or Agreement; or (ii) the Authority's request.
2. The Contractor shall, and shall cause its Contractor Personnel to, irrevocably destroy the Authority Data by: (i) shredding physical documents; (ii) wiping clean the device memory on all equipment, machines, databases, servers, cloud storage or other electronic media on which the Authority Data is located; and (iii) sanitize storage media, as well as temporary files and backup files on which the Authority Data is stored. The Authority may request certification that destruction has been irrevocably completed for all primary, backup and any other applicable systems or mediums from the Contractor which shall be promptly provided by the Contractor for itself and for the Contractor Personnel; but in no event, not later than fourteen (14) days following the Authority's request.

L. Subcontractor Compliance.

1. The Contractor shall flow down these Cybersecurity Terms and Conditions to its subcontractors, agents and representatives who perform any Work pursuant to the Contract or Agreement.
2. The Contractor shall ensure that each of its subcontractors, agents and representatives comply with these Cybersecurity Terms and Conditions.

M. Cybersecurity Training.

The Contractor shall ensure that any individual or individuals who have access to Authority Data under this Contract or Agreement shall undergo cybersecurity awareness training from a reputable training source. Such training shall be at the Contractor's cost and the Authority shall not be required to pay any costs related to such training. The Contractor shall maintain training records during the term of the Contract or Agreement and shall make such documents available to the Authority for inspection upon request of the Authority.

N. Conflict.

If there is a conflict between these Cybersecurity Terms and Conditions and the Contract Terms and Conditions, the most stringent provision shall apply.

20. Modification

This Agreement may not be modified, in whole or in part, unless in writing and executed by both the Authority and the Consultant.

21. Waiver

Except as otherwise provided in Section 15 of this Agreement, the parties may waive any of their rights hereunder without invalidating this Agreement or waiving any other rights hereunder, provided, however, that no waiver of, or failure to enforce or exercise any provision of this Agreement shall affect the right of any party thereafter to enforce such provisions or to exercise any right or remedy in the event of any other breach or default, whether or not similar.

22. Severability

If any term or provision of this Agreement or the application thereof to any person or entity, or circumstance shall, to any extent, be determined to be invalid or unenforceable, the remaining provisions of this Agreement, or the application of such terms or provisions to persons, entities or circumstances other than those as to which it is held to be invalid or unenforceable, shall in no way be affected thereby and each term or provision of this Agreement shall be valid and binding upon the parties, and enforced to the fullest extent permitted by law.

23. New York Law/Forum Selection/Jurisdiction

This Agreement shall be construed under, and be governed by, the laws of the State of New York. All actions or proceedings relating, directly or indirectly, to this Agreement shall be litigated only in courts located within the County of New York. Consultant, any guarantor of the performance of its obligations hereunder (“Guarantor”) and their successors and assigns hereby subject themselves to the jurisdiction of any state or federal court located within such county, waive the personal service of any process upon them in any action or proceeding therein and consent that such process be served by certified or registered mail, return receipt requested, directed to the Consultant and any successor at Consultant’s address hereinabove set forth, to Guarantor and any successor at the address set forth in the instrument of guaranty, and to any assignee at the address set forth in the instrument of assignment. Such service shall be deemed made two days after such process is so mailed.

24. Provisions Required by Law

Each and every provision of law and clause required by law to be included in this Agreement shall be deemed to be included herein, and this Agreement shall read and shall be enforced as though such provision(s) and/or clause(s) were so included.

25. Notices

Any notice, approval, consent, acceptance, request, bill, demand or statement required or permitted to be given hereunder (a “Notice”) from either party to the other shall be in writing and transmitted either:

- (a) Via certified or registered United States mail, return receipt requested;
- (b) By personal delivery; or
- (c) By expedited delivery services.

In addition to one or more of the transmission methods listed above and in the interest of expediency, notices may be contemporaneously submitted by e-mail, but by which itself alone will not be deemed sufficient notice.

Such notices shall be addressed as follows or to such different addresses as the parties may from time to time designate:

Battery Park City Authority

[INSERT NAME OF CONTACT]

200 Liberty Street, 24th Floor
New York, NY 10281

[INSERT EMAIL ADDRESS]

With a copy to:

General Counsel
200 Liberty Street, 24th Floor
New York, NY 10281
general.counsel@bpca.ny.gov

[INSERT NAME OF CONSULTANT]

[insert contact info]

Either party may at any time change such address or add additional parties to receive a Notice by mailing, as aforesaid, to the other party a Notice thereof.

26. Approval and Use of Subconsultants

(a) Except as specifically provided herein, Consultant shall not employ, contract with or use the services of any consultants, contractors or other third parties (collectively, “Subconsultants”) in connection with the performance of its obligations hereunder without the prior written consent of Owner to the use of each such Subconsultant, and to the agreement to be entered into between Consultant and any such Subconsultant. Consultant shall inform Owner in writing of any interest it may have in a proposed Subconsultant. No such consent by Owner, or employment, contract, or use by Consultant, shall relieve Consultant of any of its obligations hereunder.

(b) Consultant shall be responsible for the performance of the Work of any Subconsultants engaged, including the maintenance of schedules, coordination of their Work and resolutions of all differences between or among Consultant and any Subconsultants. It is expressly understood and agreed that any and all Subconsultants engaged by Consultant hereunder shall at all times be deemed engaged by Consultant and not by Owner.

(c) The fees of any Subconsultant retained by Consultant to perform any part of the Work required under this Agreement shall be deemed covered by the compensation stipulated in Section 3 above. Consultant shall pay its Subconsultants in full the amount due them from the proportionate share of each requisition for payment submitted by Consultant and paid by Owner. Consultant shall make payment to its Subconsultants no later than seven (7) calendar days after receipt of payment from Owner. Consultant shall indemnify, defend and hold Owner harmless with respect to any claims against Owner based upon Consultant’s alleged failure to make payments to Subconsultants for Work under this Agreement.

(d) Upon the request of Owner, Consultant shall cause any Subconsultant employed by the Consultant in connection with this Agreement to execute a copy of this Agreement, wherein such Subconsultant shall acknowledge that it has read and is fully familiar with the terms and provisions hereof and agrees to be bound thereby as such terms and provisions are or may be applicable to such Subconsultants.

27. Employment and Diversity

27.1 Participation by Minority and Women-Owned Business Enterprises

(a) General Provisions

(i) Owner is required to implement the provisions of New York State Executive Law Article 15-A and Parts 140-145 of Title 5 of the New York Codes, Rules and Regulations (“NYCRR”) for all contracts, as defined therein, with a value (1) in excess of \$25,000 for labor,

services, equipment, materials, or any combination of the foregoing or (2) in excess of \$100,000 for real property renovations and construction.

(ii) Consultant agrees, in addition to any other nondiscrimination provision herein and at no additional cost to Owner, to fully comply and cooperate with Owner in the implementation of New York State Executive Law Article 15-A and the regulations promulgated thereunder. These requirements include equal employment opportunities for minority group members and women (“EEO”) and contracting opportunities for New York State-certified minority and women-owned business enterprises (“MWBEs”). Consultant’s demonstration of “good faith efforts” pursuant to 5 NYCRR § 142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the “Human Rights Law”) and other applicable federal, state, and local laws.

(iii) Failure to comply with all of the requirements herein may result in a finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the assessment of liquidated damages pursuant to Section 26.1(g) and such other remedies as are available to Owner.

(b) Contract Goals

(i) For purposes of this Contract, Owner hereby establishes an overall goal of XX% for MWBE participation, XX% for New York State-certified minority-owned business enterprise (“MBE”) participation and XX% for New York State-certified women-owned business enterprise (“WBE”) participation (collectively, “MWBE Contract Goals”) based on the current availability of MBEs and WBEs.

(ii) For purposes of providing meaningful participation by MWBEs on the Agreement and achieving the MWBE Contract Goals established in Section 26.1(b)(i) hereof, Consultant should reference the directory of MWBEs at the following internet address: <https://ny.newnycontracts.com>.

(iii) Additionally, Consultant is encouraged to contact the Division of Minority and Women’s Business Development at (212) 803-2414 to discuss additional methods of maximizing participation by MWBEs on this Agreement.

(iv) Consultant understands that only sums paid to MWBEs for the performance of a commercially useful function, as that term is defined in 5 NYCRR § 140.1, may be applied towards the achievement of the applicable MWBE participation goal. [FOR CONSTRUCTION CONTRACTS – The portion of a contract with an MWBE serving as a supplier that shall be deemed to represent the commercially useful function performed by the MWBE shall be 60% of the total value of the contract. The portion of a contract with an MWBE serving as a broker that shall be deemed to represent the commercially useful function performed by the MWBE shall be the monetary value for fees, or the markup percentage, charged by the MWBE]. [FOR ALL OTHER CONTRACTS - The portion of a contract with an MWBE serving as a broker that shall be deemed to represent the commercially useful function performed by the MWBE shall be 25% of the total value of the contract.]

(v) Consultant must document “good faith efforts,” pursuant to 5 NYCRR § 142.8, to provide meaningful participation by MWBEs as Subconsultants and suppliers in the performance of this Agreement. Such documentation shall include, but not necessarily be limited to:

- (A) Evidence of outreach to MWBEs;
- (B) Any responses by MWBEs to Consultant’s outreach;
- (C) Copies of advertisements for participation by MWBEs in appropriate general circulation, trade, and minority or women-oriented publications;
- (D) The dates of attendance at any pre-bid, pre-award, or other meetings, if any, scheduled by Owner with MWBEs; and,
- (E) Information describing specific steps undertaken by Consultant to reasonably structure the Work to maximize opportunities for MWBE participation.

(c) Equal Employment Opportunity (“EEO”)

(i) The provisions of Article 15-A of the Executive Law and the rules and regulations promulgated thereunder pertaining to equal employment opportunities for minority group members and women shall apply to this Agreement.

(ii) In performing the Agreement, Consultant shall:

(A) Ensure that each Consultant and Subconsultant performing work on the Agreement shall undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, EEO shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation.

(B) Consultant shall submit an EEO policy statement to Owner within seventy-two (72) hours after the date of the notice by Owner to award the Agreement to Consultant.

(C) If Consultant, or any of its Subconsultants, does not have an existing EEO policy statement, Owner may require Consultant or Subconsultant to adopt a model statement (see Exhibit D – Equal Employment Opportunity Policy Statement).

(D) Consultant’s EEO policy statement shall include the following language:

(1) Consultant will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability, or marital status, will undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force.

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

(3) Consultant 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 Consultant's obligations herein.

(4) Consultant will include the provisions of Sections 26.1(c)(ii)(D)(1) through (3), which provides for relevant provisions of the Human Rights Law, in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each Subconsultant as to the Work.

[PLEASE NOTE THAT THIS REQUIREMENT “C” IS ONLY APPLICABLE WHERE A STATE AGENCY EXPECTS TO ENTER INTO A STATE CONTRACT WITH A TOTAL EXPENDITURE IN EXCESS OF \$250,000. NOTE: THIS LANGUAGE SHOULD BE DELETED FROM THE FINAL CONTRACT]

(iii) Staffing Plan. To ensure compliance with this Section, Consultant shall submit a staffing plan to document the composition of the proposed workforce to be utilized in the performance of the Agreement by the specified categories listed, including ethnic background, gender, and Federal occupational categories. Consultant shall complete the staffing plan form (<https://esd.ny.gov/sites/default/files/OCSD-2-Staffing-Plan-05-23.pdf>) and submit it as part of their bid or proposal or within a reasonable time, as directed by Owner.

WORKFORCE UTILIZATION REPORTS SHALL BE COLLECTED ON A MONTHLY BASIS FOR CONSTRUCTION CONTRACTS AND A QUARTERLY BASIS FOR ALL OTHER CONTRACTS. NOTE: THIS LANGUAGE SHOULD BE DELETED FROM THE FINAL CONTRACT]

(iv) Workforce Utilization Report

(A) Consultant shall submit a Workforce Utilization Report (<https://dol.ny.gov/cfa-wdi-mwbe-workforce-utilization-report>) and shall require each of its Subconsultants to submit a Workforce Utilization Report, in such form as shall be required by Owner on a quarterly basis during the term of this Agreement.

(B) Separate forms shall be completed by Consultant and any Subconsultants.

(C) Pursuant to Executive Order #162, Consultants and Subconsultants are also required to report the gross wages paid to each of their employees for the work performed by such employees on the contract on a quarterly basis.

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

(d) MWBE Utilization Plan

(i) Consultant represents and warrants that Consultant has submitted an MWBE Utilization Plan, or shall submit an MWBE Utilization Plan at such time as shall be required by Owner, through the New York State Contract System (“NYSCS”), which can be viewed at <https://ny.newnycontracts.com>, provided, however, that Consultant may arrange to provide such evidence via a non-electronic method to Owner, either prior to, or at the time of, the execution of the contract.

(ii) Consultant agrees to adhere to such MWBE Utilization Plan in the performance of the Work.

(iii) Consultant further agrees that failure to submit and/or adhere to such MWBE Utilization Plan shall constitute a material breach of the terms of the Agreement. Upon the occurrence of such a material breach, Owner shall be entitled to any remedy provided herein, including but not limited to, a finding that Consultant is non-responsive.

(e) Waivers

(i) If Consultant, after making good faith efforts, is unable to achieve the MWBE Contract Goals stated herein, Consultant may submit a request for a waiver through the NYSCS, or a non-electronic method provided by Owner. Such waiver request must be supported by evidence of Consultant’s good faith efforts to achieve the maximum feasible MWBE participation towards the applicable MWBE Contract Goals. If the documentation included with the waiver request is complete, Owner shall evaluate the request and issue a written notice of approval or denial within twenty (20) business days of receipt.

(ii) If Owner, upon review of the MWBE Utilization Plan, quarterly MWBE Consultant Compliance Reports described in Section 26.1(c)(iv)(C), or any other relevant information, determines that Consultant is failing or refusing to comply with the MWBE Contract Goals, and no waiver has been issued in regards to such non-compliance, Owner may issue a notice of deficiency to Consultant. Consultant must respond to the notice of deficiency within seven (7) business days of receipt. Such response may include a request for partial or total waiver of MWBE Contract Goals.

(f) Consultant is required to submit a quarterly MWBE Consultant Compliance Report through the NYSCS, provided, however, that Consultant may arrange to provide such report via a non-electronic method to Owner by the 10th day following the end of each quarter during the term of the Agreement.

(g) Liquidated Damages - MWBE Participation

(i) Where Owner determines that Consultant is not in compliance with the requirements of this Section 26.1 and Consultant refuses to comply with such requirements, or if Consultant is found to have willfully and intentionally failed to comply with the MWBE participation goals, Consultant shall be obligated to pay to Owner liquidated damages.

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

(A) All sums identified for payment to MWBEs had Consultant achieved the contractual MWBE goals; and

(B) All sums actually paid to MWBEs for work performed or materials supplied under the Agreement.

(iii) In the event a determination has been made which requires the payment of liquidated damages and such identified sums have not been withheld by Owner, Consultant shall pay such liquidated damages to Owner within sixty (60) days after they are assessed. Provided, however, that if Consultant has filed a complaint with the Director of the Division of Minority and Women's Business Development pursuant to 5 NYCRR § 142.12, liquidated damages shall be payable only in the event of a determination adverse to Consultant following the complaint process.

27.2 *Participation by Service-Disabled Veteran-Owned Businesses*

(a) General Provisions

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

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

(b) Contract Goals

(i) Owner hereby establishes an overall goal of ___% for SDVOB participation, based on the current availability of qualified SDVOBs. For purposes of providing meaningful participation by SDVOBs, the Consultant should reference the directory of New York State Certified SDVOBs found at: <https://sdves.ogs.ny.gov/business-search>. Questions regarding compliance with SDVOB participation goals should be directed to Zag-Legrand Kimpolo-Nkaya

at zag.kimpolo@bpca.ny.gov or 212-417-2339. Additionally, following execution of this Agreement, Consultant is encouraged to contact the Office of General Services' Division of Service-Disabled Veterans' Business Development at 518-474-2015 or VeteransDevelopment@ogs.ny.gov to discuss additional methods of maximizing participation by SDVOBs on the Agreement.

(ii) Consultant must document "good faith efforts" to provide meaningful participation by SDVOBs as subcontractors or suppliers in the performance of the Contract (see Section 26.2(d) below).

(c) SDVOB Utilization Plan

(i) In accordance with 9 NYCRR § 252.2(i), Consultants are required to submit a completed SDVOB Utilization Plan on Form SDVOB 100 (<https://esd.ny.gov/sites/default/files/OCSD-4%20Utilization%20Plan.pdf>) with their bid.

(ii) The Utilization Plan shall list the SDVOBs that Consultant intends to use to perform the Work, a description of the Work that Consultant intends the SDVOB to perform to meet the goals on the Agreement, the estimated dollar amounts to be paid to an SDVOB, or, if not known, an estimate of the percentage of Work the SDVOB will perform. By signing the Utilization Plan, Consultant acknowledges that making false representations or providing information that shows a lack of good faith as part of, or in conjunction with, the submission of a Utilization Plan is prohibited by law and may result in penalties including, but not limited to, termination of a contract for cause, loss of eligibility to submit future bids, and/or withholding of payments. Any modifications or changes to the agreed participation by SDVOBs after the contract award and during the term of the Agreement must be reported on a revised SDVOB Utilization Plan and submitted to Owner.

(iii) Owner will review the submitted SDVOB Utilization Plan and advise the Consultant of Owner acceptance or issue a notice of deficiency within 20 days of receipt.

(iv) If a notice of deficiency is issued, Consultant agrees that it shall respond to the notice of deficiency, within seven business days of receipt, by submitting to Owner a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by Owner to be inadequate, Owner shall notify Consultant and direct the Consultant to submit, within five business days of notification by Owner, a request for a partial or total waiver of SDVOB participation goals on Form SDVOB 200 (<https://dol.ny.gov/cfa-wdi-sdvob-application-waiver-request>). Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

(v) Owner may disqualify a Consultant's bid or proposal as being non-responsive under the following circumstances:

- (A) If Consultant fails to submit an SDVOB Utilization Plan;
- (B) If Consultant fails to submit a written remedy to a notice of deficiency;
- (C) If Consultant fails to submit a request for waiver; or

(D) If Owner determines that Consultant has failed to document good faith efforts.

(vi) Consultant certifies that it will follow the submitted SDVOB Utilization Plan for the performance of SDVOBs on the Agreement pursuant to the prescribed SDVOB contract goals set forth above.

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

(d) Waivers

(i) Prior to submission of a request for a partial or total waiver, Consultant shall speak to Zag-Legrand Kimpolo-Nkaya at zag.kimpolo@bpca.ny.gov or 212-417-2339 for guidance.

(ii) In accordance with 9 NYCRR § 252.2(m), a Consultant that is able to document good faith efforts to meet the goal requirements, as set forth in Section 26.2(e) below, may submit a request for a partial or total waiver on Form SDVOB 200 (<https://dol.ny.gov/cfa-wdi-sdvob-application-waiver-request>), accompanied by supporting documentation. Consultant may submit the request for waiver at the same time it submits its SDVOB Utilization Plan. If a request for waiver is submitted with the SDVOB Utilization Plan and is not accepted by Owner at that time, the provisions of Section 26.2(c)(iii), (iv) and (v) will apply. If the documentation included with the Consultant's waiver request is complete, Owner shall evaluate the request and issue a written notice of acceptance or denial within 20 days of receipt.

(iii) Consultant shall attempt to utilize, in good faith, the SDVOBs identified within its SDVOB Utilization Plan, during the performance of the Work. Requests for a partial or total waiver of established goal requirements made subsequent to award of the Agreement may be made at any time during the term of the Agreement to Owner, but must be made no later than prior to the submission of a request for final payment.

(iv) If Owner, upon review of the SDVOB Utilization Plan and Monthly SDVOB Compliance Report determines that Consultant is failing or refusing to comply with the contract goals and no waiver has been issued in regards to such non-compliance, Owner may issue a notice of deficiency to the Consultant. The Consultant must respond to the notice of deficiency within seven business days of receipt. Such response may include a request for partial or total waiver of SDVOB contract goals. Waiver requests should be sent to Owner.

(e) Required Good Faith Efforts. In accordance with 9 NYCRR § 252.2(n), Consultants must document their good faith efforts toward utilizing SDVOBs on the Agreement. Evidence of required good faith efforts shall include, but not be limited to, the following:

(i) Copies of solicitations to SDVOBs and any responses thereto.

(ii) Explanation of the specific reasons each SDVOB that responded to Consultants' solicitation was not selected.

(iii) Dates of any pre-bid, pre-award or other meetings attended by Consultant, if any, scheduled by Owner with certified SDVOBs whom Owner determined were capable of fulfilling the SDVOB goals set in the Agreement.

(iv) Information describing the specific steps undertaken to reasonably structure the Work for the purpose of subcontracting with, or obtaining supplies from, certified SDVOBs.

(v) Other information deemed relevant to the waiver request.

(f) Monthly SDVOB Consultant Compliance Report

In accordance with 9 NYCRR § 252.2(q), Consultant is required to report Monthly SDVOB Consultant Compliance to Owner during the term of the Agreement for the preceding month's activity, documenting progress made towards achieving the SDVOB goals. This information must be submitted using form SDVOB 101 available at <https://dol.ny.gov/system/files/documents/2021/02/sdvob101.docx> and should be completed by the Consultant and submitted to Owner, by the 10th day of each month during the term of the Contract, for the preceding month's activity to Zag-Legrand Kimpolo-Nkaya at zag.kimpolo@bpca.ny.gov.

(g) Breach of Contract and Damages

In accordance with 9 NYCRR § 252.2(s), any Consultant found to have willfully and intentionally failed to comply with the SDVOB participation goals set forth in this Agreement, shall be found to have breached the Agreement and Consultant shall pay damages as set forth therein.

28. Responsibility

(a) Consultant shall at all times during the Term of this Agreement remain responsible. Consultant agrees, if requested by Owner or Owner's 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) Owner or Owner's designee, in its sole discretion, reserves the right to suspend any or all activities under this Agreement, at any time, when it discovers information that calls into question Consultant's responsibility. In the event of such suspension, Consultant will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, Consultant must comply with the terms of the suspension order. Activity under the Agreement may resume at such time as Owner or its designee issues a written notice authorizing a resumption of performance under the Agreement.

(c) Upon written notice to Consultant, and a reasonable opportunity to be heard with appropriate officials or staff of Owner, this Agreement may be terminated by Owner or Owner's designee at Consultant's expense where Consultant is determined by Owner or its designee to be

non-responsible. In such event, Owner or its designee may complete the contractual requirements in any manner it deems advisable, and pursue available legal or equitable remedies for breach.

29. Interest of Others

Nothing in this Agreement shall be construed to give any person other than Owner and Consultant any legal or equitable right, remedy or claim. This Agreement shall be held to be for the sole and exclusive benefit of Owner and Consultant.

30. Executory Contract

It is understood by and between the parties hereto that this Agreement shall be deemed executory to the extent of the monies available to Owner and no liability on account thereof shall be incurred by Owner beyond monies available for the purpose thereof. In no event shall any claim be asserted under this Agreement by Consultant or any Subconsultant against any member, officer, employee, lessee, consultant or agent of Owner or the State of New York. By execution of this Agreement, Consultant agrees to look solely to Owner with respect to any claim that may arise.

31. Participation in International Boycott Prohibited

Consultant agrees, as a material condition of this Agreement, that neither Consultant nor any substantially owned or affiliated person, firm, partnership or corporation has participated or is participating or shall participate in an international boycott in violation of the provisions of the United States Export Administration Act of 1969, as amended, or the United States Export Administration Act of 1979, as amended, or the Regulations of the United States Department of Commerce promulgated thereunder. This Agreement shall be rendered forfeited and void by the Comptroller of the State of New York if, subsequent to execution, such person, firm, partnership or corporation has been convicted of a violation of the provisions of either of such federal acts or such Regulations or has been found upon the final determination of the United States Commerce Department or any other appropriate agency of the United States to have violated the provisions of either of such federal acts or such Regulations.

32. MacBride Fair Employment Principles

If the amount payable to Consultant under this Agreement is greater than \$15,000, Consultant hereby certifies that it and/or any individual or legal entity in which it holds a 10% or greater ownership interest, and any individual or legal entity that holds a 10% or greater ownership interest in it, either have no business operations in Northern Ireland, or shall take lawful steps in good faith to conduct any business operations they have in Northern Ireland in accordance with the MacBride Fair Employment Principles relating to nondiscrimination in employment and freedom of workplace opportunity regarding such operations in Northern Ireland, as set forth in Section 165(5) of the New York State Finance Law, and shall permit independent monitoring of their compliance with such Principles.

33. Limitation Periods

Any legal action or proceeding against Owner must be commenced no later than one (1) year after the earlier of: (a) the termination of this Agreement, or (b) the last day Consultant

performed work physically at the site of the Work.

34. Iran Divestment Act

By signing this Agreement, each person and each person signing on behalf of any other party certifies, and in the case of a joint bid or partnership each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that each person is not on the list created pursuant to paragraph (b) of subdivision 3 of Section 165-a of the State Finance Law.

35. Termination for Failure to Disclose Under NYS Finance Law §139k

Owner reserves the right to terminate this Agreement in the event it is found that the certification filed by Consultant pursuant to New York State Finance Law §139-k was intentionally false or intentionally incomplete. Upon such finding, Owner may exercise its termination right by providing written notification to the Consultant in accordance with the written notification terms of this contract.

36. Comptroller's Approval

If this contract is considered an eligible contract as defined by Title 2 of NYCRR Part 206, it is subject to the New York State Comptroller's approval, and therefore shall not be valid and enforceable until that approval has been obtained. A contract is considered "eligible" as defined by Title 2 of NYCRR Part 206, if it is not a specifically exempt contract, is executed by a state authority on or after March 1, 2010 where the aggregate consideration under the contract may reasonably be valued in excess of one million dollars, AND the contract is either (1) awarded on a single-source basis, sole-source basis or pursuant to any other method of procurement that is not a competitive procurement OR (2) supported in whole or part with funds appropriated from the Community Projects Fund (007).

37. Binding Contract

A binding contract between the parties shall exist only if and at such time as both parties have executed this document.

38. Counterparts

This Agreement may be executed in any number of counterparts, all of which taken together shall constitute one instrument, but the Agreement shall not be deemed effective unless signed by all parties.

39. Section Headings

Section headings contained in this Agreement are for convenience only and shall not be considered for any purpose in governing, limiting, modifying, construing or affecting the provisions of this Agreement and shall not otherwise be given legal effect.

40. Subordination of Terms in the Exhibits

In the event of a conflict between any provisions contained in this Agreement and any of the Exhibits, the more stringent requirement will control. In the event that none of the conflicting or inconsistent portions or provisions are clearly the more stringent, the terms and conditions contained in this Agreement shall supersede.

(SIGNATURE PAGE FOLLOWS)

IN WITNESS WHEREOF, the parties hereto have executed this Agreement, which shall be deemed to be fully executed as of the later of the two dates written below.

HUGH L. CAREY BATTERY PARK CITY AUTHORITY

By: _____

Name: _____

Title: _____

Date: _____

[COMPANY]

By: _____

Name: _____

Title: _____

Date: _____

FEIN# [??]

EXHIBIT A
SCOPE OF WORK

EXHIBIT B

RATES

EXHIBIT D

M/WBE AND EEO POLICY STATEMENT

Consultant agrees to adopt the following policies with respect to the Work:

MBWE

Consultant will and will cause its Subconsultants to take good faith actions to achieve the M/WBE contract participations goals set by the Owner for that area in which the Owner-funded project is located, by taking the following steps:

(a) Actively and affirmatively solicit bids for contracts and subcontracts from qualified State-certified MBEs or WBEs, including solicitations to M/WBE consultant associations.

(b) Request a list of State-certified M/WBEs from Owner and solicit bids from them directly.

(c) Ensure that plans, specifications, request for proposals and other documents used to secure bids will be made available in sufficient time for review by prospective M/WBEs.

(d) Where feasible, divide the work into smaller portions to enhance participation by M/WBEs and encourage the formation of joint ventures and other partnerships among M/WBE consultants to enhance their participation.

(e) Document and maintain records of bid solicitation, including those to M/WBEs and the results thereof. Consultant will also maintain records of actions that its Subconsultants have taken toward meeting M/WBE contract participation goals.

(f) Ensure that progress payments to M/WBEs are made on a timely basis so that undue financial hardship is avoided, and that bonding and other credit requirements are waived or appropriate alternatives developed to encourage M/WBE participation.

EEO

(a) This organization will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing programs of affirmative action to ensure that minority group members 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 Owner contracts.

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

(c) At the request of Owner, Consultant shall request each employment agency, labor union, or authorized 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 Consultant's obligations herein.

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

(e) Consultant will include the provisions of sections (a) through (d) above in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each Subconsultant as to work in connection with Owner's contract.

Agreed to this _____ day of _____, _____

By: _____

Print: _____ Title: _____

EXHIBIT F

(Cybersecurity Resquirements)

BPCA CYBERSECURITY REQUIREMENTS

1. PURPOSE:

To establish Cyber Security requirements and guidelines that can be used consistently to ensure a secure network for the Battery Park City Authority (“BPCA” or the “Authority”).

2. II. SCOPE:

This procedure applies to all BPCA staff and affiliates (e.g., contractors, vendors, solution providers), which have access to or manage BPCA information and systems. This policy encompasses all systems (in the cloud, offsite or on-premises), automated and manual, for which the Battery Park City Authority has administrative responsibility, including systems managed or hosted by third parties on behalf of the Authority and addresses all information, regardless of the form or format, which is created or used in support of business and operational activities of the Authority.

3. Cloud Requirements, contractor shall:

- a. Cloud services provider proposed for housing BPCA data offsite shall be compliant with the following standards: ISO27001, ISO27017, ISO27018, SOC2 Type 2 and FedRAMP.
- b. Ensure that BPCA data and processing is isolated from other customers.
- c. Ensure that BPCA data remain within the continental United States at all times.

4. General Requirements, contractor shall:

- a. PCI DSS (Payment Card Industry Data Security Standards) compliance shall be required when accepting or processing payment cards or handling Personally Identifiable Information.
- b. ICS/SCADA environments, including onboard or vehicle systems, shall be designed in accordance to NIST SP 800-82 R2.
- c. Securely destroy BPCA data in all formats (e.g., Server, Disk, CD/DVD, backup tape, and paper) when requested by the Authority. Data shall be permanently deleted and be unrecoverable. Certificates of destruction must be retained by Vendor and made available to BPCA upon request.
- d. All contractors with access to BPCA data must sign and submit a non-disclosure agreement (NDA) which NDA shall specify that in no event shall any BPCA data be disclosed to any entity not covered by the NDA.

5. Operating Systems, contractor shall:

- a. Use only commercially supported Operating Systems and maintain timely security patching.
- b. Configure Operating Systems based on the CIS Hardening Standard, (<https://www.cisecurity.org/cisbenchmarks>) with non-essential services disabled. Exceptions to the Hardening standard must be documented and approved through the Change Control process or BPCA’s IT department.
- c. Configure the Operating System with BPCA specific standards for local and network password management (Password Aging, Password Expiration, Password Length, Multifactor, etc.).
- d. Use volume encryption for Operating System and all volumes storing data.

- e. Ensure that Operating System protection tools are installed and centrally managed to mitigate exploits, malware, malicious code, or viruses.
- f. Ensure that Clear-text and weak cipher protocols are disabled and not used for data transfer
- g. Ensure that Network Interface Cards are not multi-homed or used for routing.
- h. Ensure that Inbound internet sourced traffic to systems is terminated at a DMZ.
- i. Ensure that Internet-bound traffic from system utilizes a proxy or other form of security inspection.
- j. Ensure that Split tunneling is not enabled while connected to the BPCA network (access to non-BPCA internet while connected to BPCA resources).
- k. Ensure that Operating System is registered with appropriate records in IP Address Management, DNS, and with BPCA IT.

6. Authentication, contractor shall:

- a. Develop a plan for identity management consisting of role-based user accounts which isolate access to BPCA data. All account activities, to include role changes, must be logged.
- b. Ensure that all credentials are not passed over the network in clear-text or with weak encryption ciphers.
- c. Use secure, dedicated, and privileged-access workstation (PAW) to administer BPCA Systems.
- d. Use Multifactor Authentication for administrative users on cloud/internet-facing BPCA System components.
- e. Integrate application authentication into Identity Management Solution (IDMS) via SAML 2.0.
- f. Ensure that users utilize Multifactor Authentication to access the system(s) and application(s) via the Internet.
- g. Ensure accounts not accessed within 90 days are either automatically disabled or have their passwords expired.
- h. Perform annual role reviews of active accounts (applicable to non-BPCA managed environments).

7. Encryption, contractor shall:

- a. Ensure that all encryption methods for data-in-motion and data-at-rest meet or exceed FIPS-140/NIST standards.
- b. Ensure that data transfers between hosts are encrypted.
- c. Ensure that OS/data volumes in the cloud are encrypted.
- d. Ensure that data files that contain PII are encrypted.
- e. Ensure that PII data residing in databases are encrypted.
- f. Ensure data backups are encrypted.
- g. Ensure that encryption key management system is on a separate platform from the data and its application (keys are not stored with data).
- h. Provide exclusive ownership of encryption keys to BPCA.

8. Networking, contractor shall:

- a. Ensure that Intrusion Prevention Systems are implemented on networks with connectivity to the Internet and networks with sensitivity zones and/or trust boundaries.
- b. Ensure that public cellular-based solutions employ a private cellular cloud meeting segregation requirements outlined in this document.
- c. Ensure that systems are deployed in a multi-tier firewall segmented network architecture
 - User Workstations
 - Operational application/system servers

- Backup and Storage
- Development
- QA and Testing
- Programmable Logic Controllers
- Sensors
- Wireless Systems
- Internet of Things (IOT)

- d. Ensure that listening ports/services are protected by firewalls and filters to inspect traffic between segments and hosts.
- e. Ensure that management of systems are restricted through firewall or access control lists over secure protocols and that they are managed over a secure network or VPN.
- f. Perform annual firewall rule audits (applicable to non-BPCA managed environments).
- g. Disable unused functions on network devices.
- h. Implement a tiered firewalled architecture that is restricted to communications where all traffic is monitored, alarmed, and filtered.
- i. Implement appropriate security controls to ensure the integrity and confidentiality of data flowing across the network.

9. Control System End Devices, contractor shall:

- a. Provide physical and cyber security features including, but not limited to, authentication, encryption, access control, event and communication logging, monitoring, and alarming to protect the device and configuration computer from unauthorized modification or use.
- b. Clearly identify the physical and cyber security features and provide the methodologies for maintaining the features, including the methods to change settings from the Vendor-configured or manufacturer default conditions.
- c. Verify that the addition of security features does not adversely affect connectivity, latency, bandwidth, response time, and throughput, including during the SAT when connected to existing equipment.
- d. Remove or disable all software components that are not required for the operation and maintenance of the device.
- e. Provide, within a pre-negotiated period, appropriate software and service updates and/or workarounds to mitigate all vulnerabilities associated with the product and to maintain the established level of system security.

10. Vulnerability Management, contractor shall:

- a. Ensure that all system components (Hardware, Software, Hypervisor, Operating System, Database, Network/Firewall Equipment, etc.) are managed within a vulnerability management and patching program. Documentation and reporting on program activities and gaps must be made available to BPCA upon request.
- b. Ensure that third-party security assessments are conducted on an annual basis for the system and provided to the Authority.
- c. Ensure that periodic penetration tests are performed to assess system configuration and security vulnerabilities for remediation.
- d. Submit biannual security reports to BPCA detailing vulnerability management, penetration tests, security incidents, and enhancements and changes to the infrastructure.

- e. Keep all system components updated to vendor supported releases and maintain current security updates. To the extent possible, critical patches should be installed within one week of patch release. Deviations must be documented and a "plan to cure" developed to bring the patch level current.
- f. Allow BPCA to conduct an independent Penetration Test upon request.

11. Incident Management, contractor shall:

- a. Submit and document an Incident Management Plan to guide the response and recovery process in the event of a security breach.
- b. Ensure that all security incidents are promptly reported to the Authority. Any incident involving compromised Personally Identifiable Information (PII), must be reported within 1 hour of detection.
- c. Fully cooperate through technical assistance and logs to investigate security incidents when required.

12. Mobile, contractor shall:

- a. Deploy a centralized mobile device management solution to manage all mobile devices permitted to store, transmit or process BPCA data.
- b. Ensure the use of encryption for devices permitted to store, transmit or process BPCA data.
- c. Ensure that password policies, applicable to mobile devices are documented and enforced.

13. Application Security, contractor shall:

- a. Ensure that any software delivered to BPCA adheres to industry standards and best practices for architectural standardization, secure coding standards, and security testing procedures.
- b. Employ threat modeling techniques in the design and assessment phases of the Software Development Life Cycle (SDLC) for systems delivered to BPCA, and incorporate realistic security scenarios during application security assessment.
- c. Perform static analysis scans as part of security-focused reviews and validation of the use of secure coding standards.
- d. Perform dynamic scans as part of applications testing, production deployment, regular health checks, change management requests and audits.
- e. Conduct overall application and systems cybersecurity assessment, which may include penetration testing, evaluating external infrastructure, perimeter assessment, web application testing, internal network assessments, wireless security testing and red teaming.
- f. Have a notification and alert process for vulnerabilities, as well as a documented response plan for addressing newly identified vulnerabilities. Remediation may include patches, updates, security fixes, component replacements, or other steps as dictated by the situation.
- g. Ensure that any open-source, 3rd-party, commercial components used as part of any deliverables have been validated through security assessments and remain as such during their operational use.
- h. Ensure that application APIs have been validated through security assessments and security measures are in place to protect both data and application. Such measures may include gateways, secure protocol, authentication, and keys.
- i. Use, at minimum, industry standard security logging standard for the Applications, and ensure that logging profiles are available and configurable to log events at various levels for various purposes (debugging, verbose, illegal requests, failed access, etc.)

14. NYS Policy Compliance, contractor shall:

- a. Comply with applicable New York State Policies, Standards and Procedures as listed at: <https://its.ny.gov/eiso/policies/security>

- b. Comply with Health Insurance Portability and Accountability Act of 1996 (HIPAA) Privacy, Security and Breach Notification Rules.
- c. Comply with Federal Risk and Authorization Management Program (FedRAMP) if cloud computing is utilized (<http://www.gsa.gov/portal/category/102371>).
- d. Comply with all applicable NYS laws and regulations related to privacy protections.

15. Privacy and Security Plan, contractor shall:

- a. Without written authorization from the Authority, shall not divulge to third parties any confidential information obtained by the Contractor or its agents, distributors, resellers, subcontractors, officers or employees in the course of performing contract work, including, but not limited to, security procedures, business operations information or commercial proprietary information.
- b. Develop a security and privacy plan in accordance with attachment 1-ITSEC. The Contractor will also be expected to complete the System Security Plan (SSP) based on NIST 800-53 security and privacy controls and complete the section for each control indicating how the control is met.

TERMS & ABBREVIATIONS	
CIS	Center for Internet Security
FedRAMP	The Federal Risk and Authorization Management Program. Governmentwide program that provides a standardized approach to security.
Government Compliant	Cloud services that are compliant for hosting U.S. Federal, State and local agencies and are isolated from commercial, public and other cloud services. (e.g., AWS GovCloud; Azure Government).
ISO 271001	Specification for information security management system (ISMS). ISMS is a framework of policies and procedures that includes all legal, physical and technical controls involved in an organization's information risk management program.
ISO 271017	Provides guidance on the information security aspects of cloud computing, recommending the implementation of cloud-specific information security controls that supplement the guidance of the ISO 27002 and ISO 27001 standards.
ISO 271018	Code of practice that focuses on protection of personal data in the cloud. This provides implementation guidance on ISO 27002 controls applicable to public cloud Personally Identifiable Information (PII).
SIEM	Security information and event management
SOC 2 Type II	Service Organization Controls. SOC 2 concerns the internal controls in place at the third-party service organization. Type II reports, concern policies and procedures over a period of time – systems must be evaluated for a minimum of six months.
API	Application Programming Interface
BPCA Data	Any and all data maintained by the Authority, including, but not limited to, data related to its finances, operations, engineering, taxes, employees, customers, suppliers and the business.

1-ITSEC - SECURITY AND PRIVACY REQUIREMENTS

SCOPE OF WORK

OVERVIEW

The Contractor must comply fully with all current security procedures of BPCA, as well as with all applicable State and Federal requirements, in performance of this contract.

The Contractor must not, without written authorization from BPCA, divulge to third parties any confidential information obtained by the Contractor or its agents, distributors, resellers, subcontractors, officers or employees in the course of performing contract work, including, but not limited to, security procedures, business operations information or commercial proprietary information in the possession of BPCA.

To ensure confidentiality, the Contractor must take appropriate steps as to personnel, agents and subcontractor education in specific security requirements as applied to this contract, explaining its responsibilities in maintaining security, and reviewing all policies, processes and procedures that will be used for this project.

All activity covered by this RFP must be fully secured and protected by satisfactory security arrangements approved by BPCA. BPCA and the Contractor will establish a joint security management team to accomplish these objectives. The Contractor must treat all information obtained through its performance under the contract as confidential information and will not use any information so obtained in any manner except as necessary for the proper discharge of its obligations and securing of its rights, or as otherwise provided. State or Federal officials, or representatives of these parties as authorized by State or Federal law or regulations, will have access to all confidential information in accordance with the requirements of State and Federal laws and regulations. BPCA will have absolute authority to determine if, and when, any other party is allowed to access application information. Confidentiality is the concept that data only will be viewable by those who are explicitly permitted to view it.

GENERAL SECURITY REQUIREMENTS

SECURITY AND PRIVACY PLAN

The Contractor shall develop follow a Security and Privacy Plan approved by BPCA for all projects and all major system enhancements to address potential security issues and the steps that the Contractor has taken to ensure these issues will not compromise the operation of the program. The plan must be an overarching plan for all levels of security, including but not limited to:

1. Data Security;
2. Network Security; and
3. Application Security
4. Threat, Vulnerability and Risk Assessment

All provisions of the Security and Privacy Plan must be compliant with:

1. All policies and standards defined in the New York State ITS security policies and standards (<http://its.ny.gov/eiso/policies/security>);
2. Health Insurance Portability and Accountability Act of 1996 (HIPAA) Privacy, Security and Breach Notification Rules;
3. Federal Risk and Authorization Management Program (FedRAMP) if cloud computing is utilized (<http://www.gsa.gov/portal/category/102371>);
4. All applicable NYS laws and regulations related to privacy protections.

The Security and Privacy Plan must include:

SCOPE OF WORK

1. A description of all security tools, hardware and software the Contractor is using and how they integrate to form a comprehensive security architecture; and
2. A system overview of processes, data transfer methodology, key management, encryption, vulnerability/patch management, system/application administration, and user access.
3. Data flow diagrams, data dictionary, application architecture, and network diagram of the proposed solution, describing system interfaces, file and data types, protocols, services, and document encryption process.
4. The approach to monitoring attempted security violations and the actions that will be taken when attempts are made at violating security.

The Contractor must:

1. Deliver an initial Security and privacy Plan during the first thirty (30) Calendar days of the project for BPCA review and approval;
2. Revise the Security and Privacy Plan annually and submit for BPCA review and approval; Submit an updated Security and Privacy Plan to BPCA for review and approval thirty (30) business days prior to the start of Operations.

Proposal Requirements

Describe in your proposal how you will support the general security requirements described above.

A. DATA SECURITY

Data Security is the concept that data only will be viewable by those who are explicitly permitted to view or receive it. The security model being developed to support the program is one that is based upon security access roles and organizational affiliation. A role base access control method is one that groups resources (such as business activities, business functions, screens, etc.) into roles. Employees are then assigned roles based on their need-to-know information or their need to accomplish a particular business function. A user's organizational affiliation will also determine what data is available to them.

The Contractor shall:

1. Support a role-based security system that has the flexibility to easily add or delete roles;
2. Submit a solution that will make it easy for Security Administrators to add or remove individuals from established roles;
3. Submit a solution that is able to establish different roles for the metadata database;
4. Submit a solution that will keep a record of activities performed by the users;
5. Submit a solution to track user logon and logoffs into the data warehouse system by user identifiers so that a history of valid and non- valid logon requests by user can be available for investigative purposes.
6. Submit a solution that prevents unauthorized access and safeguard the confidentiality of person/consumer data in compliance with State and Federal law, including the Health Insurance Portability and Accountability Act (HIPAA), the New York State Personal Privacy Protection Law, and the data breach provisions of the New York State Technology Law.

Proposal Requirements

Describe in your proposal how you will support the data security requirements described above.

B. NETWORK SECURITY

The Contractor shall:

SCOPE OF WORK

1. Provide a network infrastructure solution that must be self-contained and in its own security perimeter. In securing the perimeter of the Contractor's network, the use of International Computer Security Association (ICSA) compliant firewalls is required.
2. NOT connect to the State's internal computer network without the prior, written consent of the State, which the State will reasonably provide if necessary or appropriate for the Contractor to provide support. As a condition of connecting to the State's computer network, the Contractor must secure its own connected systems in a manner consistent with the State's then-current security policies, which the State will provide to the Contractor on request;
3. Provide Internet security functionality to include the use of firewalls, intrusion detection, https, encrypted network/secure socket layer, and security provisioning protocols such as secure sockets layer, and Internet protocol security (IPSEC);
4. Implement mechanisms to safeguard data integrity and confidentiality of data passing over public networks;
5. Put in place a firewall between its private network and the connection to the State's network;
6. Keep any information passing through its network confidential;
7. Ensure that measures are in place to mitigate any new network security risks created by connecting the network to a third-party network
8. Submit and document the design for all communication paths between networks of different security zones through a DMZ
9. Submit and document firewall and monitoring rules for all security zones, and alarm for unexpected traffic
10. Establish responsibilities and procedures for remote use, as defined in the New York State ITS security policies and standards (<http://its.ny.gov/eiso/policies/security>);
11. The Contractor's Network Architecture and all proposed network hardware and software must be compliant with:
 - All policies and standards defined in the New York State ITS security policies and standards (<http://its.ny.gov/eiso/policies/security>);

Proposal Requirements

Describe in your proposal how you will support the network security requirements described above.

C. APPLICATION SECURITY

The Contractor's solution shall allow for the following:

1. Applying a consistent security policy across all applications;
2. Ensuring that applications are protected;
3. Providing an easy and consistent mechanism for configuring operational rules and security policies;
4. Providing a structure where applications can be developed without needing to understand the specifics of security implementation; and
5. Restricting access based upon the user's role.

Proposal Requirements

Describe in your proposal how you will support the application security requirements described above.

C. THREAT, VULNERABILITY AND RISK ASSESSMENT

SCOPE OF WORK

The Contractor shall prepare and submit for approval a Threat, Vulnerability, Risk Assessment (TVRA) that identifies all potential system vulnerabilities; associated risks (including exploit likelihood and consequences); countermeasures applied; and resulting mitigated risks across all system levels

1. Security measures shall include, but are not limited to, the following, as appropriate:
 - a. Restricting physical access to communication, control system components, and onboard data (stored, live) to all but authorized personnel
 - b. Restricting wired or wireless access to all systems on-board, except for authorized personnel utilizing a centralized system, i.e., cloud-based or data center, such as Identity and Access Management IAM/Active Directory
 - c. Use of centralized system (cloud-based/data center) for device and/or user authentication
 - d. Use of centralized system (cloud-based/data center) to administer and manage encryption
 - e. Centralized system (cloud-based/data center) to administer and manage antivirus, intrusion detection/prevention, Access Control Lists (ACL), firewall policies and logs.
 - f. Proper isolation of security critical system functions from other functions end-to-end (client-to-server, wired/wireless, cloud-based/data center)
 - g. Application of secure coding practices
 - h. Use of secure operating systems
 - i. Operating System version shall have a useful life of five years at the time of final acceptance by BPCA
 - j. All systems/software shall be upgradeable and compatible with the latest Operating System at the time of final acceptance by BPCA

* * *

Exhibit B

CYBERSECURITY TERMS AND CONDITIONS

A. Definitions.

1. Authority: shall mean the Battery Park City Authority (“BPCA”) and its subsidiaries and affiliates.
2. Authority Data: shall mean the following regardless of whether it is contained in existing or newly created in the future physical or electronic media at rest or in motion, any and all
 - a. Personal Information as such term is defined herein;
 - b. all other data, information and documentation of the Authority including current and revised technology assets and systems, procedures and methodologies for designing implementing or maintaining in general and specifically, with information technology and physical and electronic security;
 - c. the Authority’s owned, licensed, or subscribed inventions, ideas and designs, design documents, equipment technology and software;
 - d. reports and studies whether prepared by Authority, the Contractor or a third-party and whether in development or completed; and
 - e. data, information, documentation and material prepared by or for the Contractor, any subcontractor, or by their respective consultants, agents, officers or employees in connection with performance of the Work, whether prior or subsequent to execution of this Contract or Agreement, and
 - f. the results of the Work.
3. Personal Information or Personal Identifiable Information: shall mean
 - a. any representation of information that permits the identity of an individual to whom the information applies to be reasonably inferred by either direct or indirect means;
 - b. information: (i) that directly identifies an individual (e.g., name, address, social security number or other identifying number or code, telephone number, email address, code, symbol, mark or other identifier) or (ii) by which the Authority or other agency intends to identify specific individuals in conjunction with other data elements, i.e., indirect identification. These data elements may include a combination of gender, race, birth date, geographic indicator, and other descriptors; and
 - c. information permitting the physical or online contacting of a specific individual shall be deemed Personally Identifiable Information.
4. Contractor: as used in this Article shall mean the vendor, contractor, individual or organization that enters into the Contract or Agreement to perform the Work pursuant to the Contract Documents.
5. Work: as used in this Article shall mean as all the required obligations of the Contractor under the Contract or Agreement including but not limited to, the performance of any labor or services, the supplying of any goods, materials or personnel, the furnishing of any equipment, supplies or any other resources or requirements or deliverables necessary for the performance of the work and/or required by the Contract Documents including any scope of work and any modifications to the Contract or Agreement, if any.

B. Compliance with Applicable Laws, and Authority Security Policies and Procedures.

1. The Contractor, including its subcontractors, agents, officers, employees, and all other persons performing under this Contract or Agreement on behalf of the Contractor, shall comply with the applicable standards and policies set forth in the New York State Office of Information Technology Services Security Policies, which,

SCOPE OF WORK

are located at <https://its.ny.gov/eiso/policies/security>, in connection with the work, products, services and/or systems that the Contractor is providing to the Authority.

2. The Contractor shall deploy a system security plan (SSP) for ensuring the security of the Authority's systems and data. The SSP and associated technical, organizational and security measures shall align with the information security management system (ISMS) family of standards as published by the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC), also known as the ISO/IEC 27000 series, the NIST cybersecurity framework, or the CIS Top 20 security framework, and SAE International applicable standards, as each may be modified or replaced from time to time.
3. The Contractor shall implement and maintain security measures that meet or exceed the BPCA Cybersecurity Requirements annexed hereto and incorporated herein by reference ("Baseline Cybersecurity Requirements"). At a minimum, the Contractor shall comply with the Baseline Cybersecurity Requirements.

C. Data Privacy and Information Security.

The Contractor's existing methods and procedures shall be in compliance with these terms and conditions and the Baseline Cybersecurity Requirements. Should the Authority require the Contractor to make changes to its cybersecurity compliance during the term of the Contract or Agreement, the Contractor shall work with the Authority to agree on the changes to the cybersecurity compliance.

1. The Contractor shall provide the Authority, upon request, with information regarding the Contractor's compliance and implementation of the Baseline Cybersecurity Requirements.

D. Protection of Data; Notice.

1. The Contractor shall appoint a team of dedicated personnel to work with the Authority during any Security Incident Response (the "Cyber Incident Response Team"). The Cyber Incident Response Team shall be maintained by the Contractor for the duration of the Contract or Agreement. The Contractor shall within twenty-four hours (24) hours of the Authority's Notice of Award (or execution of the Contract or Agreement if no Notice of Award has been issued) provide, in writing, a list of the individuals on the Cyber Incident Response Team. Such list shall include the name of each team member together with a phone number and email address for each such member. In the event of any changes to team members or team member information, the Contractor shall provide such new information to the Authority, to the attention of the Project Manager, in writing.
2. The Vendor shall comply with the New York Stop Hacks and Improve Electronic Data Security Act (also known as the SHIELD Act) in the performance of the Work, as applicable, which, among other things, imposes on entities identified in the SHIELD Act:
 - a. particular data breach notification requirements; and
 - b. data security safeguards.
3. Unless otherwise provided by law or as further detailed in the Contract or Agreement, in the event of an any act, error or omission, negligence, misconduct, or breach that compromises or is suspected to compromise the security, confidentiality, or integrity of Authority Data or the physical, technical, administrative, or organizational safeguards put in place by the Vendor that relate to the protection of the security, confidentiality, or integrity of Authority Data, the Contractor shall, as applicable:
 - a. promptly notify (1) the Project Manager and (2) the Authority by email to [EMAIL], as well as verbally by phone at [PHONE] as soon as practicable but no later than twenty-four (24) hours after initially becoming aware of such occurrence;
 - b. perform or take any other actions required to comply with applicable law as a result of the occurrence;

SCOPE OF WORK

- c. cooperate with the Authority in investigating the occurrence, including making available all relevant records, files, data reporting, and other materials reasonably required to comply with applicable law, in referring the occurrence to appropriate law enforcement agencies, and in issuing appropriate press releases and responding to the media;
- d. in the case of Personally Identifiable Information (PII), (i) notify the Authority, to the attention of: (1) the Project Manager, within twenty-four (24) hours of a confirmed breach and (2) by email to [EMAIL], as well as verbally by phone at [PHONE]; and (ii) at the Authority's sole election, notify the affected individuals who comprise the PII as soon as practicable but no later than is required to comply with applicable law, or, in the absence of any legally required notification period, within seventy-two (72) hours of the Authority providing written notification to the Contractor requiring the Contractor to notify the affected individuals; and
- e. provide to the Authority a detailed corrective action plan as soon as possible, but no later than within ten (10) calendar days of the occurrence, describing the measures the Contractor will undertake and the implementation schedule for such measures, to both resolve the breach and prevent a future occurrence. If the Contractor is unable complete the corrective action within the required timeframe, in addition to the remedies provided herein, the Authority may contract with a third party to provide the required product, service or system until (i) corrective actions have been taken, (ii) the Authority is able to procure from the Contractor the product, service or system in a manner acceptable to the Authority, and/or (iii) until the Authority has completed a new procurement for a replacement product, service or system (the "Mitigation Efforts"). In such case, the Contractor shall reimburse the Authority for the reasonable costs related to the Mitigation Efforts following notice and demand for payment by the Authority.
- f. The Contractor shall be responsible for recreating lost Authority Data, if any, in the manner and on the schedule set by the Authority without charge to the Authority.

E. Supply Chain Risk.

1. Upon commencement of the term of the Contract or Agreement, the Contractor shall establish, document, and implement risk management practices for supply chain delivery of work, products, services and systems provided under this Contract or Agreement, if any. The Contractor shall provide documentation on its: chain-of-custody practices, information protection practices, and integrity management program for components provided by sub-suppliers within fourteen days (14) of issuance of Notice of Award or, in the event there is not a Notice of Award issued, within fourteen (14) days of execution of the Contract or Agreement. The Authority may, in its sole discretion and upon the request of the Contractor, extend such time period upon good cause shown.
2. The Contractor shall identify the countries where the development, production and maintenance for the work, products, services and systems provided under this Contract or Agreement is performed ("List of Supplier Countries"). The Contractor shall notify the Authority of changes to the List of Supplier Countries promptly but no less than seven (7) days after the Contractor knows or has reason to know that the list has changed.

F. Prohibition Against Offshore Work

1. If the Contractor is providing consulting and/or professional services including, but not limited to, software development or maintenance, for BPCA Systems, the Contractor shall not perform any Work outside the United States or utilize any third party to perform (including its own employees) to provide any Work outside the United States.

SCOPE OF WORK

2. Notwithstanding the foregoing, the Contractor may request that it be permitted to perform Work outside the United States, which determination shall be in the sole discretion of the Authority. In the event the Authority grants such request, the Contractor shall:
 - a. In no event transmit, transfer, or otherwise store Authority Data outside of the United States.
 - b. Access Authority Data only through virtual desktops provided by BPCA. Access through other paths is strictly prohibited.
3. Enforce compliance with the BPCA IT Security requirements on the devices connecting to the BPCA virtual desktops including:
 - a. Not transfer Authority Data between virtual desktop and Contractor's device
 - b. Not print Authority Data on non-BPCA managed printers.

G. Cybersecurity Insurance.

The Contractor shall, at its own expense, procure and maintain in full force and effect during the term of this Contract or Agreement, a cybersecurity-related policy of insurance, as set forth by the Authority's schedule of insurance requirements; such policy shall have the minimum coverage set forth therein.

H. Patching Governance.

1. After Notice of Award but prior to the performance or delivery of any work, products, services and systems to the Authority or any connection of electronic devices, assets or equipment to the Authority's electronic equipment, the Contractor shall provide documentation regarding its patch management and vulnerability management/mitigation programs and update process (including third-party hardware, software, and firmware) for work, products, services, systems and any electronic device, asset, or equipment required to be connected to the assets of the Authority during the provision of products and services under this Contract or Agreement. This documentation shall be provided to the Authority, to the attention of the (1) Project Manager, and (2) the Authority by email to [EMAIL], and shall include information regarding:
 - (a) the resources and technical capabilities to sustain this program and process such as the Contractor's method or recommendation for how the integrity of a patch is validated by the Authority and
 - (b) the Contractor's approach and capability to remediate newly reported zero-day vulnerabilities.
2. Unless otherwise approved by the Authority in writing, current or supported versions of the Contractor's work, products, services and systems ("Items") shall not require the use of out-of-date, unsupported, or end-of-life version of third-party components.
3. The Contractor shall verify and provide documentation to the Authority to the attention of the Project Manager that procured Items (including third-party hardware, software, firmware, and services) have appropriate updates and patches installed prior to delivery to the Authority.

I. Updates.

SCOPE OF WORK

The Contractor shall provide appropriate software and firmware updates to remediate newly discovered vulnerabilities or weaknesses every thirty (30) calendar days, and within every fourteen (14) calendar days to the Authority, to the attention of the Project Manager, if an update is required to remediate critical vulnerabilities. If updates cannot be made available by the Contractor within these time periods, the Contractor shall provide mitigations and/or workarounds every forty-five (45) calendar days.

J. Cooperation with Authority Cybersecurity Reviews.

1. The Contractor acknowledges that the Authority has a significant interest in protecting and securing Authority Data and that maintaining cybersecurity is an essential element of the Work. The Contractor shall cooperate with the Authority's compliance and cybersecurity reviews during the term of the Contract or Agreement and shall provide (1) information; (2) responses to inquiries and questionnaires in written form, when requested, and (3) supporting documentation to facilitate the Authority's review(s). Such reviews will be coordinated by the Authority's Project Manager.
2. The Contractor shall submit to the Authority, to the attention of the Project Manager, the following: a SOC Type 2 Report within seven (7) days of Notice of Award or, if no Notice of Award is issued by the Authority, within seven (7) days of execution of the Contract or Agreement. When the Contractor's SOC Type 2 Report has expired, the Contractor shall submit an updated SOC Type 2 Report or, if a new report is not immediately available, a bridge letter from the Contractor's senior management, within seven (7) days after expiration of the preceding report. The obligations set forth herein shall be ongoing throughout the term of the Contract or Agreement.

K. Destruction of Authority Data.

1. All Authority Data including, but not limited to, all copies and reproductions thereof and all documents and materials derived from such Authority Data including any data in electronic form (i.e. cloud hosted Authority Data, etc.) provided to, prepared by or for the Contractor or any of its employees, subcontractors, agents and representatives (collectively, the "Contractor Personnel") shall, irrespective of whether such is in writing or stored electronically, be returned to the Authority or irrevocably destroyed by the Contractor and the Contractor Personnel, at the Authority's election, promptly upon the earlier of: (i) the termination or expiration of the Contract or Agreement; or (ii) the Authority's request.
2. The Contractor shall, and shall cause its Contractor Personnel to, irrevocably destroy the Authority Data by: (i) shredding physical documents; (ii) wiping clean the device memory on all equipment, machines, databases, servers, cloud storage or other electronic media on which the Authority Data is located; and (iii) sanitize storage media, as well as temporary files and backup files on which the Authority Data is stored. The Authority may request certification that destruction has been irrevocably completed for all primary, backup and any other applicable systems or mediums from the Contractor which shall be promptly provided by the Contractor for itself and for the Contractor Personnel; but in no event, not later than fourteen (14) days following the Authority's request.

L. Subcontractor Compliance.

1. The Contractor shall flow down these Cybersecurity Terms and Conditions to its subcontractors, agents and representatives who perform any Work pursuant to the Contract or Agreement.
2. The Contractor shall ensure that each of its subcontractors, agents and representatives comply with these Cybersecurity Terms and Conditions.

M. Cybersecurity Training.

The Contractor shall ensure that any individual or individuals who have access to Authority Data under this Contract or Agreement shall undergo cybersecurity awareness training from a reputable training source. Such training shall be at the Contractor's cost and the Authority shall not be required to pay any costs related to such

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training. The Contractor shall maintain training records during the term of the Contract or Agreement and shall make such documents available to the Authority for inspection upon request of the Authority.

N. Conflict.

If there is a conflict between these Cybersecurity Terms and Conditions and the Contract Terms and Conditions, the most stringent provision shall apply.

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EXHIBIT G

(Cost Proposal Template – See separate file for submission)

EXHIBIT H

(Requirements– See separate file for submission)