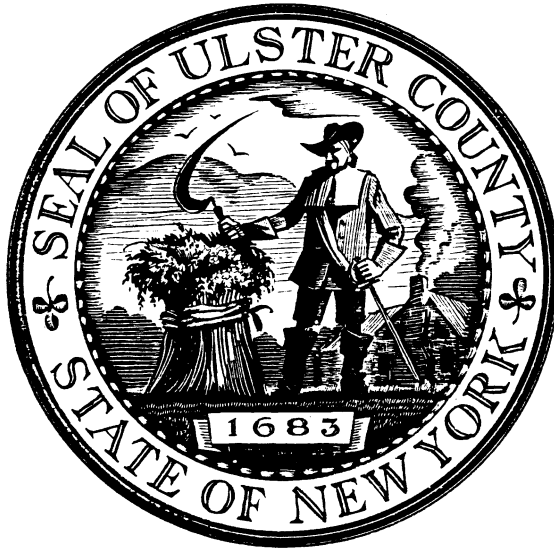


# **COUNTY OF ULSTER REQUEST FOR PROPOSALS**



**RFP-UC26-032**

## **WORKERS' COMPENSATION ADMINISTRATION**

***ULSTER COUNTY DEPARTMENT OF GENERAL SERVICES***

***EDWARD JORDAN***

***DIRECTOR OF GENERAL SERVICES***

***100 Development Court***

***KINGSTON, NY 12401***

## **RECEIPT CONFIRMATION FORM**

**PLEASE COMPLETE AND RETURN THIS CONFIRMATION FORM WITHIN 5 WORKING DAYS  
OF RECEIVING BID PACKAGE TO:**

Ancolie Martelly; Principal Buyer      Telephone: (845) 340-3405  
Ulster County Department of General Services  
100 Development Court, Kingston, NY 12401  
Fax: (845) 340-3434  
Email: [anma@ulstercountyny.gov](mailto:anma@ulstercountyny.gov)

**RFP-UC25-032: (WORKERS' COMPENSATION ADMINISTRATION)**

**Failure to return this form may result in no further communication or addenda regarding this Bid.**

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

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

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Phone Number: \_\_\_\_\_ EXT: \_\_\_\_\_ Fax Number: \_\_\_\_\_

Email: \_\_\_\_\_

I have received a copy of the above noted PROPOSAL.

\_\_\_\_\_ We will be submitting a PROPOSAL

\_\_\_\_\_ We will NOT be submitting a PROPOSAL – **(please indicate reason)**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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

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

If a bidders meeting has been arranged for this Bid, please indicate if you plan to attend: **Yes / No**

<p align="center"><b>COUNTY OF ULSTER – DEPARTMENT OF GENERAL SERVICES</b>  <b>100 DEVELOPMENT COURT, KINGSTON, NY 12401</b>  PHONE: 845-340-3400 / FAX: 845-340-3434 / WEB: <a href="http://www.ulstercountyny.gov/Departments/General-Services">www.ulstercountyny.gov/Departments/General-Services</a></p>		
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## **REQUEST FOR PROPOSAL**

**DATE:** June 18, 2026

**NOTICE IS HEREBY GIVEN THAT SEALED PROPOSALS ARE SOUGHT AND REQUESTED FOR THE FOLLOWING:**

**RFP NAME: WORKERS' COMPENSATION  
ADMINISTRATION**

**RFP NUMBER: RFP-UC26-032**

**MAIL PROPOSAL TO:** Ulster County Department of General Services  
100 Development Court  
Kingston, NY 12401

**SUBMISSION DATE** July 17, 2026 by 4:00 P.M.

**Proposals received after the time specified will not be opened.**

**CONTACT PERSON:** Ancolie Martelly; Principal Buyer  
Ph: 845-340-3405 Email: [anma@ulstercountyny.gov](mailto:anma@ulstercountyny.gov)

PROPOSALS **MUST** BE SUBMITTED IN A **SEALED** ENVELOPE OR PACKAGE.

PRINT (ON THE FACE OF ENVELOPE): 1) NAME & ADDRESS OF COMPANY  
2) RFP NAME & NUMBER

It is the responder's responsibility to read the attached RFP Specifications.

**By: Edward Jordan**  
**Director of General Services**

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## **REQUEST FOR PROPOSAL**

### **1.0 PURPOSE**

Ulster County is requesting proposals to obtain the services of a third-party administrator for the Ulster County Self-Insurance Plan (the “Plan”). A detailed response to this proposal is requested. It is imperative that responders outline all of their administrative and managerial capabilities based on the requirements of this RFP and provide any additional information you believe will emphasize your expertise and distinguish your firm from its competitors. Should the results of this RFP lead to a change to the current administration of the Plan, it is anticipated that the contract inception and transition process would begin on September 1, 2026 with the transition of the plan’s administration completed on or about January 1, 2027.

A review of each finalist's claim operation, information system, and staff assigned to this account will be conducted. Finalist candidates will also be invited to make a presentation to the RFP Selection Committee ("Committee")

Ulster County is seeking to mitigate and manage the costs associated with work-related injuries. The successful responder will provide a minimum of the following services:

- Claim Management
- Claims Administration
- Loss Reporting
- Financial Reporting
- Cost Savings Analysis
- Statutory Reporting Requirements
- Excess Carrier Reporting
- Mandatory Medicare Reporting
- Electronic Filing with NYS WCB
- Supplemental Benefits and Special Funds Reimbursement Administration

The Plan currently has approximately 7,728 full and part-time employees. Approximately 959 volunteer firefighters are also covered.

Claim Volume:	Incident only – new	171
	Medical only – new	99
	Lost time – new	189
	Medical only – tail	45
	Lost time – tail	340

**Please be advised that these figures represent an average of 5 years (1/1/21-12/31/25) .**

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The anticipated Schedule A – Scope of Services, which is expected to be incorporated into the resulting contract, is included as **Attachment A**.

The Plan provides Workers' Compensation coverage for those Plan Participants listed in **Attachment B**.

A sample Open and Closed Claims Loss Run Report is also shown in **Attachment B**.

## **2.0 PROPOSAL/SUBMITTAL RETURN DATE**

### **2.1 RETURN CONFIRMATION FORM**

Receipt Confirmation Form which follows the cover page of this RFP should be completed and emailed or faxed to the Ulster County Department of General Services **immediately** if planning on submitting a proposal. Failure to file this form with Ulster County General Services may result in no further communications regarding this RFP. In order to better evaluate the County's procedures, those deciding not to respond to the RFP are asked to return the sheet with a short explanation of the reason(s) they will not be submitting.

### **2.2 RETURN DATE**

One unbound original, one (1) photocopy, and one electronic copy (CD or thumb drive) of the proposal in **MS Word and PDF format** and other required documents comprising the entire proposal must be submitted, sealed in an opaque envelope/package clearly marked on the outside with the name and number of the RFP, and the name and address of the responder. All copies and the original document must be clearly identified as such. **The Original Document is required to contain original ink-signed signature pages. The electronic copy should include all submittal documents including scanned signature pages.**

Proposals must be received no later than **4:00 P.M. on July 17, 2026** at the following address:

**Ulster County Department of General Services  
Edward Jordan, Director of General Services  
100 Development Court  
Kingston, NY 12401**

### **2.3 SUBMISSION CONDITIONS**

The Proposal submitted by the individual Responder(s) is the document upon which Ulster County will make its initial judgment regarding the Responders qualifications, understanding of the County's scope and objectives, methodology, and ability to perform services under the contract.

Those submitting Proposals do so entirely at their expense. There is no express or implied obligation by County of Ulster to reimburse any firm or individual for any costs incurred in preparing or submitting Proposals, preparing or submitting additional information requested by the County, or for participating in any selection interviews.

Submission of a proposal indicates acceptance of the conditions contained in this RFP, unless clearly and specifically noted otherwise in the proposal.

**COUNTY OF ULSTER – DEPARTMENT OF GENERAL SERVICES**

**100 DEVELOPMENT COURT, KINGSTON, NY 12401**

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**RFP NAME: WORKERS' COMPENSATION ADMINISTRATION**

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Proposals will remain valid until the execution of a contract by Ulster County, unless otherwise rejected consistent with this RFP.

Oral, faxed, or telephoned submittals, or modification thereof, will not be accepted. The County of Ulster reserves the right to waive any and all informalities and to disregard all nonconforming, non-responsive or conditional Proposals. Ulster County reserves the right to reject any or all proposals.

The County of Ulster may, at any time by written notification to all Responders, change any portion of the RFP described and detailed herein.

## **2.4 GENERAL GUIDELINES**

This section of the RFP provides general guidance for preparing proposals. Specific instructions on the format and content of the proposal are contained in Section **4.0 SUBMITTAL CONTENT AND FORMAT**. The responder's proposal must include all data and information requested by the RFP and must be submitted in accordance with these instructions. The proposal shall be compliant with the requirements as stated in the General Specifications specified in this RFP. Nonconformance with the instructions provided in the RFP may result in an unfavorable proposal evaluation.

**The proposal shall be clear, concise and shall include sufficient detail for effective evaluation and for substantiating the validity of stated claims. The proposal should not simply rephrase or restate the RFP requirements, but rather shall provide convincing rationale to address how the responder intends to meet these requirements. Responders shall assume that the County (1) has no prior knowledge of their facilities and experience, and (2) will base its evaluation on the information presented in the responder's proposal.**

Elaborate brochures or documentation, binding, detailed artwork, or other embellishments are unnecessary and are not desired. Similarly, for oral presentations, elaborate productions are unnecessary and not desired.

All submitted proposals become the property of Ulster County. The County Department of General Services will retain one copy of all unsuccessful proposals and will destroy extra copies of such unsuccessful proposals.

## **2.5 QUESTIONS/CLARIFICATIONS**

No oral interpretations as to the meaning of the RFP or revisions to the RFP will be made for any responder.

Requests for clarification or interpretation shall be made in writing and directed to

Ancolie Martelly; Principal Buyer  
Ulster County Department of General Services,  
100 Development Court  
Kingston, NY 12401  
Email: [anma@ulstercountyny.gov](mailto:anma@ulstercountyny.gov) or Fax 845-340-3434

At least ten (10) calendar days before the date established for submitting proposals. Inquiries will not be considered after that date. Transmittal of questions via facsimile is acceptable.

Any interpretation deemed necessary by Ulster County will be in the form of an addendum to the RFP and, when issued, will be delivered as promptly as is practicable to all responders. All addenda shall become part

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of the RFP. Responders shall not rely upon any oral statements or conversations they may have with Ulster County employees or third parties regarding the RFP whether at any pre-proposal conference or otherwise.

### **3.0 SUBMITTAL CONTENT AND FORMAT**

In order for the County to conduct a uniform review process of all proposals, proposals must be submitted in the format set forth below. Failure to follow this format may be cause for rejection of the proposal because adherence to this format is critical for the County’s evaluation process:

#### **SECTION I**

**Title Page:** Showing RFP number, closing date and time, responder’s name, address, telephone and fax number of the company. Responder must also clearly identify the name(s) of the contact person responsible for inquiries regarding the RFP submission and the person responsible to bind the company contractually. Along with the names of these individuals, responder must provide their phone and fax numbers and email address for each.

**Table of Contents:** The Table of Contents must indicate the material included in the proposal by section and page number.

#### **SECTION II: THIRD PARTY ADMINISTRATION INFORMATION**

1. Provide a brief overview of your company and history of your organization including an organization chart. Please describe any parent/subsidiary/affiliate relationships and your legal status (e.g., corporation, partnership, joint venture, etc.).
2. How long has your organization been in the Workers’ Compensation administration business? How is your firm distinguished from competitors with respect to providing all of the administrative, service and case management requirements of Workers’ Compensation?
3. How familiar is your organization with administering claims for New York State counties and other municipalities? Please list specific references.
4. What is the number of clients to whom you provide Workers’ Compensation services, broken down by size based on the following numbers of employees:
  - Less than 1,000 employees
  - 1,000 – 4,999
  - 5,000 – 10,000
  - Over 10,000
5. Describe your Internal Audit Control procedures including frequency, methodology and persons in charge of the audit process and corrective actions.
6. Provide a list of all the WC claims services that are provided in-house and the services that are contracted to outside vendors.
7. Please provide the names, titles, addresses, telephone numbers, fax numbers, and email addresses of the individuals responsible for responding to this RFP.
8. Your firm must carry professional liability insurance as outlined in Schedule C of these specifications.

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**SECTION III: CLIENT SERVICE/CLAIM PROCESSING/QUALITY ASSURANCE**

1. Indicate the name and contact information for all the account executive you would assign to this account. Would this be the main contact for all aspects of the services required? We will ask the finalists for the following information: provide the names, titles, qualifications, and biographies of the implementation team and ongoing administrative staff that would be assigned to the Ulster County account. Finalists will be expected to have the key contacts attend the finalist meeting and/or make the key contacts available for technical interviews over the phone.
2. What is the location of your customer service center that will service Ulster County, and what are its days/hours of operation? Is there a toll-free number available for employee use? Would this be a dedicated unit for Ulster County only? If not, what number of clients would this service team be responsible for?
3. Please describe any ancillary programs that your organization can offer to Ulster County (e.g., Safety and Loss Prevention Programs, OSHA reporting, Industry Benchmarking services, etc.).
4. Please describe your ability to have a dedicated claims adjuster on-site at Ulster County, and the fees associated with that service.

The culture of this account maintains high expectations, and the responder's ability to respond to customer needs is essential. Ulster County will evaluate customer service and flexibility that can be anticipated from the responders, based on the RFP process, interviews, and final presentation to the County.

5. Please comment on the flexibility to structure your program to include the County's preferred vendor arrangements and allow for future changes as they arise. Your staff will be asked to work cooperatively and effectively with the various departments, participants, and vendors associated with Ulster County that may contribute to managing and preventing a work-related accident.
6. The successful responder must be an active partner with Ulster County, the injured employee, and health care providers to ensure a safe and successful return to work. The RFP should include your ability to help identify potential return to work candidates and to aggressively return them to work.
7. Supplemental Benefits and Special Funds Recovery: As a self-insured employer, the County expects the successful responder to have an aggressive recovery program. The County currently receives reimbursement pursuant to the VF/VAW-10 benefit law under Section 51. Provide a detailed description of your recovery program. Provide a description of how prior injuries are investigated and documented in the claim note system and how recovery information can be captured on the loss run. Once established, how often will reimbursements be requested? How often are reimbursements dispersed? Describe your process. Are there any fees associated with 25-A Recovery, VF/VAW-10, Third Party Recovery, Subrogation/Apportionment Recovery, or Excess Insurance Recovery? Who is responsible for administering applicable cases, the successful responder or the County?



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8. Special Investigation Unit: Describe any services associated with fraud detection in accordance with section 114 and 114-a of the NY Workers' Compensation Law.
9. Subrogation Unit: Describe any services and the process you have in place with respect to subrogation recovery.
10. Medical/Vocational Nurse Case Management Services: Describe the number of different options available to deliver these services. Are these services available at the branch location that would service the County? Provide a description of both on-site and telephonic services. A description of the preferred pricing and how these fees are managed must be included.
11. Local representation at regularly scheduled meetings with Ulster County will be required at least quarterly, and at other times on an as-needed basis. Confirm that this will be included in your services at no additional cost.
12. Where applicable and necessary, describe your process for arranging qualified legal representation (with Ulster County's approval) throughout Workers' Compensation proceedings, including but not limited to hearings, stipulations, pre-trials, structured settlements, facilitation of settlements and other appropriate actions when warranted, and recommendations (with basis for recommendation).
13. Account References: Please provide the names and telephone numbers of two clients acquired within the past three years, and one client that has left your organization within the past two years, if any. Provide information that demonstrates cost savings achieved for clients over the past ten (10) years.
14. Describe your operating procedure audit system of checks and balances for processing claim payments, including the measures used to prevent and detect overpayments and underpayments.
15. The successful responder must have the capability of providing customized reports upon the request of the County.
16. The successful responder must, upon the County's request, have the capability of calculating yearly worker's compensation premiums of each of the plan members in accordance with the local laws of Ulster County, as well as be able to assist with calculating the Ulster County Self-Insurance Plan's annual budget. Please describe your process for these two items.

**SECTION IV: FINANCIAL ADMINISTRATION PRICING**

**Fee/Cost Proposal must be provided separately and unbound from the main proposal.** The Fee/Cost Proposal is evaluated apart from the main proposal. This Fee/Cost Proposal shall be submitted in Original, Photocopy, and Electronic formats as described in Section "3.2 RETURN DATE." The hardcopy Cost/Fee proposal shall be submitted in a **separate envelope marked "COST PROPOSAL" with the RFP name and number, submitted at the same time (in the same package) as the proposal.** The electronic format may be submitted as a separate file on the same flash drive as the main proposal.

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The fee schedule supplied will include all items of labor, materials, travel, equipment and other costs necessary to fully provide the service. The responder's name must appear on all cost proposal sheets.

**Important Note on Fees:** Please be specific in this section as you should assume that fees not itemized in response to this RFP will not be considered chargeable. Due to the importance of the fee schedule for the services that will be rendered for Ulster County, all fees and/or reimbursements that may be billed to the County must be identified in this section. The information contained in this section will be considered as your organization's full proposal and Ulster County will not make any payments to your organization if they are not clearly identified and quoted in this section.

1. All fees associated with this account for loss runs, claims, review, state reporting, excess carrier reporting, claims adjusting, ISO/CIB Indexing, Section 111 Mandatory Reporting, and claim notes information viewing, are assumed to be included in the individual claim fee. Responders must indicate if additional fees are required for any of the above services.
2. Three-year proposals will be accepted. Fees for NEW and TAKE-OVER claims should be identified and broken down by medical only and lost time cases. Pricing must include Life of Contract and Life of Claim Fees. Separate fees for incident-only reports and cases that are indexed by the WCB with no payment made, and fees for re-opening a closed file should also be included with your pricing quote. Please provide a quote for 1-800 telephone reporting and/or on-line capabilities, and the location of the office providing that function.
3. Attach a detailed schedule itemizing all aspects of the services outlined in this RFP. Identify which of these costs would be one-time charges for set-up, implementation or similar. Outline whether there would be any other start-up/conversion or termination costs. For how long will you guarantee this fee schedule? Is there a minimum contract term you would require? In addition to the above responses, please identify any other service, activity or fee not covered (i.e., postage, handling, supplies, servicing, reports, etc.) that would be a potential cost for Ulster County.
4. Provide detailed descriptions of all administrative fees, including how those fees would be affected if the account executive or representative is located in a different city. Reporting measures, such as opening/closing ratios, average cost per closed claim, payment and budget projections to assist in the analysis of cash flow and annual budget expectations, comparative analyses of current period(s) versus prior period(s), analytical input and recommendations on all Plan activity, etc., must be reported on a regular basis and included in the administrative fees. Is benchmarking of frequency and severity of claims included in the administrative fees? If not, is your organization capable of providing this data for other counties as a tool to measure our performance? What is the fee for providing this information on a quarterly basis?
5. Clearly identify the services included in the fees above and provide a detailed description of each. Also identify any services that are excluded and describe how those costs would be billed to the County. If fees are incorporated into the medical or expense components of claim reporting, indicate whether detailed quarterly reports of those fees (e.g., IME costs) can be provided to the County. Identify all types of bill review fees, including, but not limited to, MG-2 review fees, nurse case management fees, and any other fees incurred as a result of the administrative handling of claims.

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6. Ulster County reserves the right to select specific vendors to meet particular needs in order to achieve the best possible savings and outcomes. Any outside vendors proposed to provide services under this contract must be identified in your proposal, along with a description of any fees, commissions, financial arrangements, or other compensation exchanged between your organization and those vendors. Ulster County also reserves the right to approve any vendor involved in the administration of this account, including, but not limited to, PPO/fee schedule services, CPT coding services, rehabilitation services, surveillance and investigative services, independent medical examinations (IMEs), and similar services.
7. Describe any tape transfer fees and time commitment to transfer data should the contract be awarded to your firm. Describe the role you will take in this process and describe your policy and responsibility to ensure that data is transferred appropriately as the former or new TPA of Ulster County. Please estimate a time frame for the transfer of functioning data.
8. Describe your typical banking arrangements, how claims payments are made and reimbursed, and how your fees are paid. Ulster County will be the recipient of interest on the account while funds are held for claim payments. Ulster County may hold the funds in a preferred financial institution via a sweep account.
9. Each responder should understand that, whenever deemed appropriate, the County reserves the right to audit the claim records and other records of the selected responder as they pertain to the Workers' Compensation Plan. The County also reserves the right to retain independent auditors and to conduct on-site audits of the selected responder's records and files. Moreover, the County maintains that any and all files and records pertaining to the administration of its claims are the sole and exclusive property of Ulster County. All such files and records are subject to return by the successful responder to the County in a commercially reasonable form and manner at the conclusion of the contract term. Additionally, the selected responder may not charge extra fees for providing data tape(s) or for space and equipment utilized by outside auditors. Upon completion of the audits, the selected responder's representatives must make themselves available to Ulster County in order to resolve any deficiencies and/or shortcomings of the services provided. By submitting your proposal, you agree that you understand all aspects of this Item #9, and that the County (or an authorized agent) reserves the right to audit your administrative processes including, but not limited to, the following items:
  - Data Processing
  - Claims Processing
  - Internal Control/Functions
  - Managed Care/Utilization Review Procedure & Results
  - Claim, Service, and Plan management

Ulster County shall have online access to claim information, including the ability to view documents.

**SECTION V: STAFFING/OPERATIONS**

1. Based on your review of the County's Summary Loss Run, describe the total number of staff you

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would dedicate to this account.

- Number of full-time adjusters assigned solely to this account. Comment on your ability to guarantee that dedicated adjusters will have a minimum of 10 years of NYS Workers' Compensation claims work experience.
  - Will there be separate adjusters for medical only and lost time cases?
  - Caseload for medical only adjuster(s)?
  - Caseload for lost time adjuster(s)?
  - Description of clerical and other support staff for each adjuster.
2. Provide job descriptions for the supervisors/managers and other home office staff dedicated to this account.
  3. Describe the supervisory involvement in claims management and the audit processes, including the nature of cases and frequency of internal audits. How many files are the supervisors responsible for? What is the minimum frequency of supervisory claim reviews?
  4. Indicate the number of lost time adjusters that will be dedicated to the account during transition.
  5. Identify the training standards for your adjusters, including the number of hours and resources allotted/required for training.

**SECTION VI: INFORMATION SYSTEMS CAPABILITIES AND HARDWARE**

1. Describe the hardware platform and software system you are currently using for record keeping and administering all aspects of Workers' Compensation. Was the software developed internally, leased, or purchased from another provider?
2. What software products will be used to deliver services to Ulster County? Describe the software's flexibility for customization.
3. Indicate whether all documents are scanned into your system. If this is not currently performed, is it a goal for your organization? What is the anticipated timeline? Are paper documents retained? If so, for how long? Do defense attorneys have access to all documents in your possession? Will each adjuster have access to the NYS WCB e-case system? Describe the information you are currently exchanging with the WCB or any vendor via the system.
4. Comment on your ability to allow the County to review and interact with adjusters' claim notes, as well as standards for adjuster communication in the note system (e.g., all activity, after IME, claimant interview, insured discussion, etc.).
5. Provide a sample copy of the Loss Run that will be available to the County. Describe as many reporting features as possible regarding how loss run information can be formatted. Indicate how often and how many copies will be sent to the County. Are there additional fees for custom or special reports? If so, what is your fee schedule?
6. Comment on your ability to allow Ulster County access to your system, including the number of users that will be allowed access. Indicate whether additional staff access will result in additional

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fees, and the fee per additional user. Is the licensing structure based on named or concurrent licenses?

7. Is the SROI (Subsequent Report of Injury) process automated with a perpetual calendar or other software utility? Describe your system's ability to automate lost time payments and what safeguards exist to ensure the payments are consistent with current WCB decisions. Describe your policies and procedures relative to recovering overpayments.
8. Ulster County's preference is to electronically transfer C-2F, C-11, and C-240 information by email. Are there any email restrictions? Comment on your ability to receive this information directly into the system/claim file.
9. Describe your computer security policies and processes. Please comment on:
  - System access procedures
  - Security validation procedures
  - Confidentiality of data/HIPAA compliance
  - Disaster recovery procedures
  - Backup and restore procedures
  - Encryption procedures
  - Cybersecurity procedures
10. Are internal controls of your recordkeeping system audited by an independent accounting firm on an annual or more frequent basis? If so, please provide a copy of the most recent report.
11. Identify any additional fees and the process involved for data conversion.

## **SECTION VII: IMPLEMENTATION**

Provide a complete outline including a detailed time schedule of the proposed implementation process assuming a January 1, 2027 implementation date.

## **SECTION VIII: REFERENCES**

Please provide an extensive client listing and at least three references of workers' compensation clients that are as similar as possible to **Ulster County** in size, plan design, and industry.

## **SECTION IX: RETURN DOCUMENTS**

Complete and sign all Return Sheets as indicated at the end of this RFP document.

### **4.0 EVALUATION CRITERIA**

Only those proposals that contain complete information and required certifications will be considered. All proposals will be evaluated and examined by a committee of Ulster County representatives using multiple

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criteria. The project may be awarded to a qualified responder that, based on the committee's evaluation, submits the proposal that best meets the County's needs.

The submitted proposals will be evaluated based on the following criteria:

- **OVERALL PLAN TO PROVIDE REQUIRED SERVICES (30 Points)**
  - Completeness of responder's proposed plan to provide Workers' Compensation Administration.
  - Demonstrated capability of the responder to satisfactorily meet not only the requirements outlined in this document but all necessary phases of the program.
  - Plan and timeline to accomplish all required tasks.
- **FEE/PRICING PROPOSAL (25 Points)**
  - Cost of proposal
  - Reasonableness of fees and budget
  - Reasonableness of optional fees
- **QUALIFICATIONS AND EXPERIENCE (25 Points)**
  - Responder's experience with projects of similar size and scope
  - Personnel qualifications and experience
  - Responder's business history and viability
  - References
- **UNDERSTANDING OF COUNTY'S GOALS AND OBJECTIVES (15 Points)**
  - Responder understands and proposal addresses the needs of the County and offers a program that will meet or exceed the County's objectives.
- **LOCAL ECONOMIC DEVELOPMENT (5 Points)**
  - Vendors located within Ulster County will receive five points.
  - Vendors located within a contiguous county will receive three points.
  - Vendors located within New York State will receive one point.

## **5.0 QUALIFICATION OF RESPONDENT**

Each responder shall provide a statement of qualifications as required by these specifications.

The County of Ulster may make such investigations it deems necessary to determine the ability of the responder to perform the work. The responder shall furnish to the County, within five (5) days of a request, all such information and data for this purpose as may be requested. The County reserves the right to reject any proposal if the information submitted by, or investigation of, such responder fails to satisfy the County that such responder is properly qualified to carry out the obligations set forth in this RFP and/or the resulting contract and to complete the work contemplated therein. Conditional proposals will not be accepted.

## **6.0 PRE-PROPOSAL MEETING (VENDOR'S CONFERENCE)**

A pre-proposal meeting is not scheduled at this time.

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## **7.0 METHOD OF AWARD**

It is the intention of the County that the award of this project shall be made to the responder whose total proposal, in the opinion of Ulster County, best meets the established criteria listed herein. All aspects of evaluation will be taken into consideration in awarding the project.

It is understood by the parties that the contract resulting from this RFP shall be executed only to the extent of the monies available to the County of Ulster.

A notice of award shall not be binding upon the County until the contract has been fully executed by both parties.

## **8.0 CONTRACT PERIOD**

The term of the contract will be for A PERIOD OF three (3) years commencing on January 1, 2027 through December 31, 2029 with a County option to renew for two (2) additional one-year terms under identical prices and conditions.

The successful responder shall execute a contract with the County of Ulster in substantial conformance with this RFP and the attached sample County of Ulster **AGREEMENT FOR PROFESSIONAL SERVICES**.

Federal law and regulations governing the privacy of certain health information requires a "Business Associate Agreement" between the COUNTY and the awarded Vendor [45 C.F.R. Section 164.504(e)]. The COUNTY and the awarded Vendor agree to enter into a separate Business Associate Agreement, to be executed simultaneously with the Agreement For Professional Services.

## **9.0 INTERVIEWS**

If the Evaluation Committee determines necessary, interviews may be scheduled with selected responders as soon as possible after the initial evaluation. This will permit further evaluation and to allow the Evaluation Committee to inquire further into the experience the responder has had on similar projects, willingness and ability to work closely with Ulster County staff and others, thorough understanding of the various aspects of the requirements, and ability to maintain a schedule and complete the services on time and other matters deemed pertinent.

## **10.0 ALTERNATE PROPOSALS**

Ulster County reserves the right to consider alternatives submitted by Responders that provide enhancements beyond the RFP requirements. Proposal alternatives may be considered if deemed to be in the best interest of Ulster County's. Responders shall clearly identify and explain in detail where such alternatives deviate from or qualify the terms of the proposal and specifications as issued.

## **11.0 COMPLIANCE WITH LAWS, LICENSES AND PERMITS**

The responder(s) agree that they will fully comply with all applicable Federal, State and County policies, procedures, standards and laws, rules and regulations.

Vendor must submit construction documents, stamped plans, and/or specifications where required and in accordance with Title 19 NYCRR Part 1203 to the Authority Having Jurisdiction (Ulster County Safety

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Office).

Vendor must provide proof of compliance with the NYS Energy Code through a code approved Prescriptive or Performance based compliance path to the Authority Having Jurisdiction (Ulster County Safety Office).

## **12.0 PERSONNEL IDENTIFICATION**

All personnel must carry on their person photo identification (e.g. employee identification badge, valid driver’s license, etc.), while on Ulster County property and promptly show such identification when requested to do so by any Ulster County employee. Representatives of the County reserve the right to reject and bar from the facility, for good and sufficient reason, in the sole discretion of the County, any employee hired by the Contractor.

## **13.0 INSURANCE**

The successful responder shall, at their own expense, maintain in effect at all times during the performance of the work under this contract, if any, resulting from this RFP, at least the insurance coverage specified in Schedule C “Insurance Requirements” that is part of the sample Contract Agreement for Professional Services which is included in this RFP. The successful responder shall file with Ulster County General Services, within ten (10) days of notice of award, evidence of insurance certifying the required coverage.

## **14.0 N/A**

## **15.0 DISCLOSURE OF OWNERSHIP INTEREST**

Pursuant to Resolution Number 8 of 2023, the Ulster County Legislature approved a requirement of full transparency and disclosure of the name(s) of individual(s) and business entities holding ownership interest in business entities that enter into contract(s) with Ulster County. Therefore, the following information shall be disclosed, in writing, to the Ulster County Department of General Services and then be provided to the Chair of the Legislature and the Chair of the Ways and Means Committee, at the time a business entity submits a bid to the Ulster County Department of General Services, or, prior to entering into written contract for such work, whichever is sooner:

1. The names of all individuals with an interest in, ownership or control of 10% or more of the profits or assets of such business entity, or of 10% of the stock in the case of a business entity that is a corporation for profit.
2. The names of all principals, partners, officers, or directors of the business entity and their immediate family members, and members of household as defined by Section 2(K) of the Ulster County Ethics Law.
3. The names of any subsidiary business entities directly or indirectly controlled by the business entity.
4. For business entities holding 10% or more of the profits or assets of a business entity seeking to do business with Ulster County, the names of all principals, partners, officers, or directors of the business entity and their immediate family members and members of household; and, be it



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further

RESOLVED, that the names of the individuals as set forth above shall be entered into the Ulster County financial software system, and shall be included when any resolution or contract is presented by any Ulster County department for approval by the Ulster County Legislature; and, be it further

RESOLVED, that nothing contained in this policy shall be construed as affecting the eligibility of any business entity to perform a public contract because that entity made a contribution to any committee during the one-year period immediately preceding the effective date of this act.

This information must be provided in the Disclosure of Ownership Interest Certification Form, which is included in the required forms section at the end of this solicitation.

## **16.0 DISQUALIFICATION**

The County reserves the right to refuse to issue an award to a responder that fails to comply with any pre-qualification regulations of the County, if any such regulations or requirements are cited, or otherwise included in the Request for Proposal.

Proposals received from responders who have previously failed to complete contracts within the time required, or who have previously performed similar work in an unsatisfactory manner, may be rejected. A proposal may be rejected if the responder cannot show that it has the necessary ability, resources and qualified employees to commence the work at the time prescribed and thereafter to perform and complete the work at the rate or within the time specified. A proposal may be rejected if the responder is already obligated for the performance of other work that would delay the commencement, performance or completion of the work described in this RFP.

## **17.0 PAYMENT**

**PAYMENT PROCESSING:** Responder will invoice the County monthly. Each invoice shall be prepared in such form and supported by such documentation as the County may reasonably require. Payments cannot be processed by the County until an invoice referring to the Contract Number and are mailed to the proper departmental address. The County will pay the proper amounts due the vendor within sixty (60) days of receipt by the County of the vendor's invoice with the requested supporting documentation and approval of the vendor's invoice by the Department Head and the Ulster County Comptroller.

## **18.0 FREEDOM OF INFORMATION**

The responder agrees to comply with the Freedom of Information Law (FOIL) and such rules and regulations as the County and the State may from time to time make, including, but not limited to, such rules as may be devised governing access to public documents pursuant to Article 6 of the Public Officers Law, popularly known as the Freedom of Information Law.

Proposals submitted in response to this RFP shall be considered public documents and, with limited exceptions, all proposals, including proposals that are recommended for award, will be available for inspection and copying by the public.

If a Responder considers any portion of its proposal to be protected under the law, the Responder shall clearly and distinctly identify each such portion with words such as "CONFIDENTIAL," "or

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“PROPRIETARY”. If a request is made for disclosure of such portion, Ulster County will determine whether the material should be made available under the law. If the material is not exempt from public disclosure law, Ulster County will notify the Responder of the request and allow the Responder five days to take whatever action it deems necessary to protect its interests. If the Responder fails or neglects to take such action within said period, Ulster County will release portions of the proposal deemed subject to disclosure. By submitting a proposal, the Responder assents to the procedure outlined in this paragraph and shall have no claim against Ulster County on account of actions taken under such procedure.

**19.0 AFFIDAVIT OF NON-COLLUSION**

The completion AND submission of the Affidavit of Non-Collusion, which is included with this RFP and is required with the submittal, certifies that the prices in the submitted 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 responder with or any competitor.

**20.0 SUSPENSION AND DEBARMENT**

By submitting a proposal in response to this RFP, each responder warrants that neither it nor any of its officers, employees, subcontractors, or agents is excluded or in any other manner barred from doing business with any federal, state, or local agency, municipality, or department. Any misrepresentation or false statement related to a responder's status in this regard will result in rejection of such responder's submission.

In addition, if the successful responder or any of its officers, employees, subcontractors, or agents become excluded or barred in any manner from doing business with any federal state, or local agency, municipality, or department, during the period in which goods and/or services are provided pursuant to this RFP, the successful responder agrees to immediately notify the County Attorney of such status. Any misrepresentation or false statement related to the successful responder's status in this regard, or any failure by the successful responder to immediately notify the County Attorney of any change in such status, shall result in immediate termination of County's business relationship with the successful responder in addition to such other remedies as may be provided by law, in equity, pursuant to the terms and conditions of this RFP document, or the conditions of the contract, if any, resulting from this RFP.

**21.0 PREVAILING WAGE RATES**

The successful Responder is required to pay the Prevailing Wage Rates and the Prevailing Hourly Supplements pursuant to Section 220-A of the NYS Labor Law if applicable.

**22.0 ULSTER COUNTY LIVING WAGE ACT**

In accordance with Local Law 6 of 2021 also known as the Ulster County Living Wage Act, if this Agreement is for an amount of FIFTY THOUSAND and 00/100 (\$50,000.00) DOLLARS or more in a County fiscal year (January 1 – December 31) and the Vendor has not received an exemption from the Ulster County Living Wage Act specific to this Agreement, the Vendor shall pay their employees the Living Wage then in effect for the period during which services are being covered by this Agreement. The current Living Wage can be found on the Ulster County Department of General Services' website <https://ulstercountyny.gov/Departments/General-Services>. The Ulster County Living Wage Act can be accessed electronically at any time by going to: <https://legislature.ulstercountyny.gov/wp->

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[content/uploads/2025/06/Local-Law-No.-6-of-2021-Living-Wage\\_0.pdf](content/uploads/2025/06/Local-Law-No.-6-of-2021-Living-Wage_0.pdf)

### **23.0 EXTENSION OF PRICES**

Political sub-divisions, including the City of Kingston and others authorized by law, including certain non-profit independent post-secondary, secondary, and elementary educational institutions may participate in contracts resulting from this bid opening.

### **24.0 IMPLIED REQUIREMENTS**

Products and services which are not specifically requested in this RFP, but which are necessary to provide a complete program/project as described herein, shall be included in the submitted proposal.

### **25.0 SUSTAINABILITY REQUIREMENTS**

Ulster County is firmly committed to sustainability and environmental responsibility. As directed by Executive Order #1 of 2023 (<https://ulstercountyny.gov/environment/departments-environment>) issued by the County Executive, adherence to GreenNY sustainability requirements is now a fundamental aspect of our procurement process.

Ulster County has qualified to achieve certification as a New York State Green Purchasing Community. The County's sustainability initiative is designed to apply across a broad range of products and services. Suppliers are advised to review the GreenNY sustainability requirements (<https://ogs.ny.gov/green-purchasing-requirements-and-tools>), familiarize themselves with the County's initiatives aimed at mitigating the environmental footprint of its operations, and embrace the principles of environmental stewardship.

### **26.0 TIME TABLE FOR REQUEST FOR PROPOSAL**

Listed below are specific and estimated dates and times of actions related to this request for proposal (RFP). In the event it is necessary to change the return date for the RFP a supplemental addendum to this RFP shall be issued by the County.

Tuesday July 07, 2026	Last day to submit written inquiries
Friday July 17, 2026	Due Date for Proposals
Week of July 27, 2026	Selection Committee evaluates Proposals
Week of August 03, 2026	Oral Interviews By Invited Companies (If Deemed Necessary)
Week of August 10, 2026	Notice of Intent to Award
January 01, 2027	Contract Start Date

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**SAMPLE CONTRACT**

(Rev. 12/17/25)

County Contract No. \_\_\_\_\_



**AGREEMENT FOR  
PROFESSIONAL SERVICES**

**THIS AGREEMENT** is entered into by and between the **COUNTY OF ULSTER**, a municipal corporation and a county of the State of New York with principal offices at 244 Fair Street, Kingston, New York 12401 (the “County”), and **[ENTER FIRM NAME]**, a **[to be completed by the County Attorney’s Office]** with principal offices at **[Enter Firm’s business address]** (the “Firm”), (each, a “Party;” together, the “Parties”).

**RECITALS**

**WHEREAS**, the County, by and through its Department of **[Enter County’s Dept. Name]**, desires to enter into an agreement for **[state basic description of services to be performed]**; and

**WHEREAS**, the Firm **[state brief description of how Firm is qualified to provide service and was selected via response to the County’s Request for Proposal RFP-UC\_\_\_ (the “RFP”) pursuant to the terms and conditions of the RFP]**; and

**WHEREAS**, the County has agreed to engage the Firm, and the Firm has agreed to contract with the County, to **[state brief description of services to be provided]** **[pursuant to RFP No. \_\_\_\_\_ and the Firm’s Response to RFP No. \_\_\_\_\_]** in accordance with the terms and conditions set forth in this Agreement.

**NOW THEREFORE**, in consideration of the promises and covenants set forth below, the Parties hereby agree as follows:

**ARTICLE 1 - SCOPE OF SERVICES**

The Firm agrees to perform the services identified in Schedule A, the Scope of Services (the “Services”), which is attached hereto and is hereby made a part of this Agreement. The Firm agrees to perform the Services in accordance with the terms and conditions of this Agreement. It is specifically agreed to by the Firm that the County will not compensate the Firm for any services not included in Schedule A without prior authorization, evidenced only by a written Change Order, Amendment, or Addendum to this Agreement, which is executed by the Ulster County Executive (the “Executive”) or the Ulster County Director of General Services (the “Director of General Services”), after consultation with the head of the County Department responsible for the oversight of this Agreement (the “Department Head”), and upon review by the County Attorney’s Office.

**ARTICLE 2 - TERM OF AGREEMENT**

The Firm agrees to perform the Services **beginning [Enter Start Date], 20\_\_\_, and ending [Enter Completion Date], 20\_\_\_**. In accordance with the RFP and with written notice to the Firm, the County may extend the Term of this Agreement at its sole discretion for up to **[\_\_\_\_\_]** additional **[one (1) year]** periods.

**ARTICLE 3 - COMPENSATION**

A **[CHOOSE ONE- fixed fee OR not-to-exceed]** amount of **[WRITE OUT DOLLAR AMOUNT IN CAPS] AND \_\_\_/100 (\$ . ) DOLLARS** has been established for the Services to be rendered by the Firm. Costs in excess of the above amount may not be incurred without the prior written authorization of the Executive or the Director of General Services, after consultation with the Department Head, and evidenced only by a written Change Order, Amendment, or Addendum to this Agreement. It is specifically agreed to by the Firm that the County will not be responsible for any additional costs, or costs in excess of the above cost, if authorization by the Executive or the

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Director of General Services is not given in writing prior to the performance of any services giving rise to such excess or additional costs. The County shall be invoiced and make payments as described in Schedule B, “Fees, Expenses, and Submissions for Payment.”

In the event that the Firm receives payments, from any source whatsoever, in consideration for the same Services provided to the County under this Agreement, the monetary obligation of the County hereunder will be reduced by an equivalent amount, provided, however, that nothing contained herein will require such reimbursement where additional similar services are provided and no duplicative payments are received.

## **ARTICLE 4 - EXECUTORY CLAUSE**

The County will have no liability under this Agreement to the Firm or to anyone else beyond funds appropriated and available for this Agreement. The County may terminate this Agreement if funds are not appropriated, available, or are reduced for this Agreement.

The Firm understands and agrees that the dollar amounts identified in this Agreement are based upon funding allocations from the State of New York and/or the Federal Government, which are the basis for any payments made by the County hereunder. In the event that the anticipated amount of funding changes, or is reduced or denied, in part or in full, the County, where appropriate, will not be liable to the Firm for the difference. If the full state and/or federal funding to the County for any payment to be made or which has been made under this Agreement, by the County to the Firm, is reduced for any reason whatsoever, then the County may (i) deduct and withhold from any future payment(s) an amount equal to the reduction in funding, or (ii) otherwise recover from the Firm the amount of the reduction. It is understood that based upon changes in the state and/or federal funding process, the actual amounts in this Agreement may change throughout the Term. The amounts in this Agreement will be amended to reflect the actual amounts to be paid upon notification to the County by the state and/or Federal Government, as necessary.

## **ARTICLE 5 – PROCUREMENT OF AGREEMENT**

The Firm represents and warrants that no person or selling agent has been employed or retained by the Firm to solicit or secure this Agreement upon a separate agreement, or upon an understanding for a commission, percentage, brokerage fee, contingent fee, or any other compensation. The Firm further represents and warrants that no payment, gift, or thing of value has been made, given, or promised to obtain this or any other agreement between the Parties. The Firm makes such representations and warranties to induce the County to enter into this Agreement and the County relies upon such representations and warranties in the execution hereof.

For a breach or violation of such representations or warranties, the County will have the right to annul this Agreement without liability, entitling the County to recover all monies paid hereunder, and the Firm shall neither make claim for, nor be entitled to recover any sum or sums otherwise due under this Agreement. This remedy, if effected, will not constitute the sole remedy afforded to the County for such breach or violation, nor will it constitute a waiver of the County’s right to claim damages or otherwise refuse payment, or to take any other action provided for by law, in equity, or pursuant to this Agreement.

## **ARTICLE 6 - CONFLICT OF INTEREST**

The Firm represents and warrants that neither it, nor any of its directors, officers, members, partners, or employees, have any interest, nor will they acquire any interest, directly or indirectly, which would or may conflict in any manner or degree with the performance or rendering of the Services to be provided pursuant to this Agreement. The Firm further represents and warrants that in the performance of this Agreement, no person having such interest or possible interest will be employed by it, and that no elected official or other officer or employee of the County, nor any person whose salary is payable, in whole or in part, by the County, or any corporation, partnership, or association in which such official, officer, or employee is directly or indirectly interested, will have any such interest, direct or indirect, in this Agreement, or in the proceeds thereof, unless such person (i) is required by the Ulster County Ethics Law, as amended from time to time, to submit a disclosure form to the County’s Board of Ethics, and amends such disclosure form to include their interest in this Agreement, or (ii) if not required to complete and submit such a disclosure form, either voluntarily completes and submits said disclosure form, disclosing their interest in this Agreement, or seeks a formal opinion from the County’s Board of Ethics, as to whether or not a conflict of interest exists. The law and disclosure form may be accessed electronically at <https://ulstercountyny.gov/board-of-ethics>. Alternatively, a hard copy of the law and disclosure form will be provided upon the Firm’s request.

For a breach or violation of such representations or warranties, the County will have the right to annul this Agreement without liability, entitling the County to recover all monies paid hereunder, and the Firm shall not make claim for, nor be entitled to recover any sum or sums otherwise due under this Agreement. This remedy, if effected, will not constitute the sole remedy afforded to the County for such breach or

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violation, nor will it constitute a waiver of the County’s right to claim damages or otherwise refuse payment, or to take any other action provided for by law, in equity, or pursuant to this Agreement.

## **ARTICLE 7 – REPRESENTATIONS BY THE FIRM**

The Firm represents that it is fully licensed (to the extent required by law), experienced, and properly qualified to perform the Services to be provided under this Agreement, and that it is properly permitted, equipped, organized, and financed to perform such Services.

The Firm understands that it may become necessary for the County to submit to governmental agencies and/or authorities, or to a court of law, part or all of the data, analyses, and/or conclusions developed as a result of its performance of these Services. The Firm is aware that there are significant penalties for submitting false information to governmental agencies, including the possibility of fines and imprisonment. The Firm shall be responsible for such penalties resulting from false information submitted to the County by the Firm.

By signing this Agreement, the Firm is attesting to that fact that neither it nor any of its employees, agents, representatives, officers, subcontractors, or any other entity or individual providing Services pursuant to this Agreement has been sanctioned, excluded, or in any other manner barred from doing business with any federal, state, or local agency, municipality, or department. If the Firm or any of its officers, employees, subcontractors, or agents become excluded or barred in any manner from doing business with any federal, state, or local agency, municipality, or department during the Term of this Agreement, the Firm agrees to provide immediate and detailed notice to the County Attorney regarding such status. Any misrepresentation or false statement related to the Firm’s status in this regard, or any failure by the Firm to immediately notify the County Attorney of any change in such status will result in immediate termination of this Agreement, in addition to such other remedies as may be provided by law, in equity, or pursuant to this Agreement.

Additionally, if classified as a tax-exempt organization under Sections 501(c)(3) or 501(c)(6) of the Internal Revenue Code (the “Code”) of the U.S. International Revenue Service (the “IRS”), the Firm represents and warrants that it is a nonprofit entity in good standing under the Code and the laws of its state of registration and that it is current with its IRS Form 990 filing or that it has filed an extension in a timely manner. Prior to execution of this Agreement, the Firm shall furnish the County’s Department of General Services with a copy of its most recently filed IRS Form 990 (“Form 990”) and, if applicable, any current extension filing. The Firm agrees and warrants that it shall remain current with its Form 990 filing(s) and/or extension filing(s) for the Term of the Agreement (and any extensions of the Term thereof) and shall provide the County’s Department of General Services copies of all Form 990s and/or extensions filed during the Term of the Agreement. If the Firm requires an extension to remain current with its Form 990 filing requirement, it shall file such extension prior to or on the applicable deadline. The Firm shall notify the Department Head in writing immediately upon recognition of its noncompliance with its Form 990 filing requirements and shall immediately take steps to cure such noncompliance. For continued noncompliance with its Form 990 filing requirements, the County may elect to withhold the last and final payment for Services rendered under this Agreement until such time as the Firm provides the County with evidence that such noncompliance has been cured.

## **ARTICLE 8 – CORPORATE COMPLIANCE**

The Firm agrees to comply with all federal, state, and local laws, rules, and regulations governing the provision of goods and/or Services under this Agreement. In particular, the Firm agrees to comply with the laws, rules and regulations of Ulster County, as well as with its Compliance Plan (the “Plan”). The Plan can be viewed at <https://ulstercountyny.gov/ulster-county-compliance-plan>. Alternatively, a hard copy of the Plan will be provided upon the Firm’s request. The Plan relates to the County’s compliance with relevant federal and state fraud and abuse laws. The Firm represents and warrants that it has read and understands the Plan and agrees to abide by its terms when delivering Services under this Agreement. The County may terminate this Agreement, in whole or in part, at any time for Firm’s failure to comply with the County’s Compliance Plan. The Firm shall ensure that each individual who provides such Services under this Agreement is provided with a copy of the Plan or given access to the Plan. The County strongly encourages all healthcare providers contracting with the County to implement their own compliance programs that address each of the elements of compliance recommended by the Office of the Inspector General, as well as the elements as recommended and/or mandated by the New York State Office of the Medicaid Inspector General.

The County will conduct appropriate screening of providers, independent contractors, vendors, and agents to ensure and verify that they have not been sanctioned and/or excluded by any federal or state law enforcement, regulatory, or licensing authority. The County will also verify that entities and businesses that provide and/or perform Services for the County have not been the subject of adverse governmental actions and/or excluded from the federal healthcare programs.

The Firm understands that the County has established and implemented a Corporate Compliance Program and has developed “Standards of Conduct for Ulster County” (the “Standards”). The Standards can be accessed electronically at any time by going to



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<https://www.ulstercountyny.gov/Standards-of-Conduct-Ulster-County>. Alternatively, a hard copy of the Standards will be provided upon the Firm’s request. The Firm represents that it has read, understands and agrees to comply with the Standards with respect to its performance pursuant to this Agreement. The hotline for reporting violations of the Standards is (877) 569-8777.

## ARTICLE 9 - FAIR PRACTICES

The Firm, and each person signing on behalf of the Firm, represents, warrants and certifies under penalty of perjury, that to the best of their knowledge and belief:

- A. The prices in this Agreement have been arrived at independently by the Firm without collusion, consultation, communication, or agreement with any other bidder, proposer, or with any competitor, as to any matter relating to such prices which has the effect of, or has as its purpose, restricting competition; and
- B. Unless otherwise required by law, the prices that have been quoted in this Agreement and on the proposal or quote submitted by the Firm have not been knowingly disclosed by the Firm prior to the communication of such quote to the County, or prior to the proposal opening, directly or indirectly, to any other bidder, proposer, or to any competitor; and
- C. No attempt has been made or will be made by the Firm to induce any other person, partnership, corporation, or other entity to submit or not to submit a proposal or quote for the purpose of restricting competition.

The fact that the Firm (i) published price lists, rates, or tariffs covering the Services and/or items being procured, (ii) informed prospective customers of proposed or pending publication of new or revised price lists for such Services and/or items, or (iii) provided the same Services and/or items to other customers at the same prices being bid or quoted, does not constitute, without more, a disclosure within the meaning of this Article 9.

## ARTICLE 10 - INDEPENDENT CONTRACTOR

In performing the Services and incurring expenses under this Agreement, the Firm shall operate as and have the status of an independent contractor and shall not act as agent for or on behalf of the County, nor will the Firm represent the County, or bind the County in any manner. As an independent contractor, the Firm shall be solely responsible for determining the means and methods of performing the Services and shall have complete charge and responsibility for the Firm’s personnel engaged in the performance of the same.

In accordance with such status as independent contractor, the Firm covenants and agrees that neither it, nor its employees or agents, will proclaim themselves to be officers or employees of the County, or of any department, agency, or unit thereof, by reason hereof, and that the Firm’s employees or agents will not, by reason hereof, make any claim, demand, or application to or for any right or privilege applicable to an officer or employee of the County including, but not limited to, Workers’ Compensation coverage, health insurance coverage, Unemployment Insurance benefits, Social Security benefits, or employee retirement membership or credit.

Nothing contained in this Agreement will be construed to create the relationship of employer and employee, principal and agent, partnership, or joint venture, or any other fiduciary relationship.

## ARTICLE 11 - ASSIGNMENT

The Firm shall not assign any of its rights, interests, or obligations under this Agreement, or assign any of the Services to be performed by it under this Agreement, without the prior express written consent of the Executive or the Director of General Services, upon review by the Ulster County Attorney’s Office. Any such assignment, transfer, conveyance, or other disposition without such prior consent will be void, and any Services provided thereunder will not be compensated. Any assignment properly consented to by the Executive or the Director of General Services will be subject to all of the terms and conditions of this Agreement.

Failure of the Firm to obtain any required consent to any assignment will be grounds for termination for cause at the option of the County, and if this Agreement be so terminated, the County will thereupon be relieved and discharged from any further liability and obligation to the Firm, its assignees, or transferees; and all monies that may become due under this Agreement shall be forfeited to the County, except so much thereof as may be necessary to pay the Firm’s employees for past Services.

The provisions of this clause shall not hinder, prevent, or affect any assignment by the Firm for the benefit of its creditors made pursuant to

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Article 2 of Chapter 12 of the New York Debtor and Creditor Law, except where the Federal Supremacy Clause requires otherwise.

This Agreement may be assigned by the County to any corporation, agency, municipality, or instrumentality having authority to accept such assignment.

## ARTICLE 12 – SUBCONTRACTING

The Firm agrees to include the following provisions in any and all subcontract agreements for Services to be performed pursuant to this Agreement:

- A. That the work performed by the subcontractor must be in accordance with the terms and conditions of this Agreement between the County and the Firm, including, but not limited to, the insurance requirements set forth in Schedule C; and
- B. That nothing contained in the subcontractor agreement will impair the rights of the County; and
- C. That nothing contained in the subcontractor agreement, or under this Agreement between the County and the Firm, will create any contractual relation in law or equity, between the subcontractor and the County; and
- D. That the subcontractor specifically agrees to be bound by the confidentiality provision as set forth in Article 15 of this Agreement between the County and the Firm.

Upon signing this Agreement, the Firm shall provide the Department Head with the names and scope of work of any and all subcontractors to be used in the performance of the Firm’s obligations pursuant to this Agreement. Furthermore, upon the County’s request, the Firm shall provide copies of any and all subcontract agreements for Services to be performed pursuant to this Agreement.

The Firm agrees that it is fully responsible to the County for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by them to the same extent as it is for the acts and omissions of persons employed by the Firm. The Firm will not in any way be relieved of any responsibility under this Agreement by any subcontract.

[\[The Firm shall not subcontract any of its obligations under this Agreement.\]](#)

## ARTICLE 13 - PERFORMANCE

The Firm shall perform the Services using its own equipment and facilities wherever and whenever possible. In performing the Services, the Firm shall assign qualified personnel and perform such Services in accordance with the professional standards and with the skill, diligence and quality control/quality assurance measures expected of a reputable company performing Services of a similar nature. The Firm is hereby given notice that the County will be relying upon the accuracy, competence, and completeness of the Firm’s performance in using the results achieved by the Firm’s performance of these Services. The Firm shall at all times comply with all applicable federal, New York State, and local laws, ordinances, statutes, rules, and regulations.

## ARTICLE 14 – PRIVACY AND SECURITY

Health Insurance Portability & Accountability Act of 1996 (“HIPAA”). Under certain circumstances, federal law and regulations governing the privacy of certain health information requires a “Business Associate Agreement” (a “BAA”) between the County and the Firm [45 C.F.R. Section 164.504(e)]. If HIPAA is applicable to this Agreement, the County and the Firm agree to enter into a separate BAA that complies with HIPAA, as that law may be amended from time to time. Unless the Firm has previously executed a compliant BAA that is in effect and on file with the County, the BAA referenced in this provision must be executed simultaneously with this Agreement.

## ARTICLE 15 - CONFIDENTIALITY

For purposes of this Article:

- A. The term “Confidential Information” as used herein, means all material and information, whether written or oral, received by the



**COUNTY OF ULSTER – DEPARTMENT OF GENERAL SERVICES**

**100 DEVELOPMENT COURT, KINGSTON, NY 12401**

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Firm from or through the County or any other person connected with the County, or developed, produced, or obtained by the Firm in connection with its performance of Services under this Agreement. Confidential Information will include, but not be limited to: samples, substances and other materials, conversations, correspondence, records, notes, reports, plans, drawings, specifications and other documents in draft or final form, including any documentation or data relating to the results of any investigation, testing, sampling in laboratory or other analysis, and all conclusions, interpretations, recommendations, and/or comments relating thereto.

- B. The term "Firm" as used herein includes all officers, directors, employees, agents, subcontractors, assignees, or representatives of the Firm.

The Firm shall keep all Confidential Information in a secure location within the Firm's offices. The County will have the right, but not the obligation, to enter the Firm's offices in order to inspect the arrangements of the Firm for keeping Confidential Information secure. The County's inspection, or its failure to inspect, will not relieve the Firm of its responsibilities pursuant to this Article 15.

The Firm shall hold Confidential Information in trust and confidence, and shall not disclose Confidential Information, or any portion thereof, to anyone other than the County without the prior written consent of the Executive or the Director of General Services, and shall not use Confidential Information, or any portion thereof, for any purpose whatsoever except in connection with its performance of the Services under this Agreement.

The Firm shall notify the County immediately upon its receipt of any request by anyone other than the County for, or any inquiry related to, Confidential Information. The Firm is not prohibited from disclosing portions of Confidential Information if and to the extent that: (i) such portions have become generally available to the public other than by an act or omission of the Firm, or (ii) disclosure of such portions is required by subpoena, warrant, or court order; provided, however, that in the event anyone other than the County requests all or a portion of Confidential Information, the Firm shall oppose such request and cooperate with the County in obtaining a protective order or other appropriate remedy, unless and until the Executive or the Director of General Services, upon consultation with the Ulster County Attorney, in writing, waives compliance with the provisions of this Article 15, or determines that disclosure is legally required. In the event that such protective order or other remedy is not obtained, or the County waives compliance with this Article 15, or determines that such disclosure is legally required, the Firm shall disclose only such portions of Confidential Information that, in the opinion of the County, the Firm is legally required to disclose, and the Firm shall use its best efforts to obtain from the party to whom Confidential Information is disclosed, written assurance that confidential treatment will be given to any such Confidential Information disclosed, to the extent permitted by law.

Prior to the performance of any of the Services in connection with this Agreement, the Firm shall obtain from each of its subcontractors, a confidentiality agreement running to the benefit of the County that is substantively identical to this Article 15. Further, at any time, if requested by the County, the Firm shall obtain such an agreement from the officers, directors, agents, representatives, or employees of the Firm and/or any of its subcontractors.

## **ARTICLE 16 – OWNERSHIP OF CONFIDENTIAL INFORMATION**

Notwithstanding any other provision herein to the contrary:

- A. All Confidential Information, as defined in Article 15, including all copies thereof, is the exclusive property of the County regardless of whether or not it is delivered to the County. The Firm shall deliver Confidential Information and all copies thereof to the County upon request.
- B. To the extent that copies of Confidential Information are authorized by the County to be retained by the Firm, such information shall be retained in a secure location in the Firm's office for a period of six (6) years after completion of the Services, or termination of this Agreement, whichever occurs later, and thereafter disposed of at the County's direction.

## **ARTICLE 17 – INTENTIONALLY LEFT BLANK**

## **ARTICLE 18 – PUBLICITY**

The prior written approval of the County is required before the Firm or any of its employees, representatives, servants, agents, assignees, or subcontractors may, at any time either during or after completion or termination of this Agreement, make any statement to the media or issue any material for publication bearing on the Services performed or data collected in connection with this Agreement.

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If the Firm, or any of its employees, representatives, servants, agents, assignees, or subcontractors desires to publish a work dealing with any aspect of this Agreement, or of the results or accomplishments attained by its performance, they shall first obtain the prior written permission of the Executive or the Director of General Services which, unless otherwise agreed to in said written permission, will entitle the County to a royalty fee and a non-exclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use, such publication.

## **ARTICLE 19 - RETENTION OF RECORDS**

The Firm agrees to maintain separate and accurate books, records, documents, and other evidence, and to employ accounting procedures and practices that sufficiently and properly reflect all direct and indirect costs of any nature expended in the performance of this Agreement.

The Firm agrees to retain all books, records, and other documents relevant to this Agreement for six (6) years after the final payment or termination of this Agreement, whichever occurs later. The County, any New York State and/or federal auditors, and any other persons duly authorized by the County, will have full access and the right to examine any of said materials during said period.

## **ARTICLE 20 – AUDITING AND REPORTS**

All forms or invoices presented for payment to be made hereunder, and the books, records, and accounts upon which said forms or invoices are based, are subject to audit by the County. The Firm shall submit any and all documentation and justification in support of expenditures or fees under this Agreement as may be required by the County so that it may evaluate the reasonableness of the charges, and the Firm shall make its records available to the County upon request. All books, forms, records, reports, cancelled checks, and any and all similar material may be subject to periodic inspection, review, and audit by the County, the State of New York, the Federal Government and/or other persons duly authorized by the County. Such audits may include examination and review of the source and application of all funds, whether from the County, the State of New York, the Federal Government, private sources, or otherwise. The Firm will not be entitled to any interim or final payment under this Agreement if any audit requirements and/or requests have not been satisfactorily met.

## **ARTICLE 21 – NO DISCRIMINATION**

As required by Article 15 of the New York State Executive Law (also known as the Human Rights Law) and all other state and federal statutory and constitutional non-discrimination provisions, including the Civil Rights Act, the Firm shall not discriminate against any employee or applicant for employment because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition, carrier status, military status, domestic violence victim status, or marital status.

If this Agreement provides for a total expenditure in excess of \$25,000.00, the Firm shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on County contracts, and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action will mean recruitment, employment, job assignment, promotion, upgrade, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation.

Furthermore, in accordance with New York State Labor Law Section 220-e, if this is an Agreement for the construction or alteration of any public building or public work, or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this Agreement will be performed within the State of New York, the Firm agrees that neither it, nor its subcontractors, will, by reason of race, creed, color, disability, sex, or national origin: (i) discriminate in hiring against any New York State citizen who is qualified and available to perform the Services, or (ii) discriminate against or intimidate any employee hired for the performance of Services under this Agreement. If this is a building service agreement as defined in the New York State Labor Law Section 230, then in accordance with New York State Labor Law Section 239, the Firm agrees that neither it, nor its subcontractors, will by reason of race, creed, color, national origin, age, sex or disability: (i) discriminate in hiring against any New York State citizen who is qualified and available to perform the Services, or (ii) discriminate against or intimidate any employee hired for the performance of Services under this Agreement. The Firm is subject to (i) a fine of Fifty and 00/100 (\$50.00) Dollars per person, per day, for any violation of the New York State Labor Law Sections 220-e or 239, and/or (ii) possible termination of this Agreement and forfeiture of all moneys due hereunder for a second or subsequent violation.

The Firm understands that the County has established a Sexual Harassment Prevention Policy and Discriminatory Harassment Prevention Policy which applies to all contractors and non-employees conducting business with the County. These policies may be accessed electronically at <https://www.ulstercountyny.gov/Departments/Personnel/Workforce-Policies/Harassment-Policies>. Alternatively, a hard

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copy of these policies will be provided upon the Firm’s request.

## **ARTICLE 22 – PREVAILING WAGE**

In accordance with New York State Labor Law Section 220-d, if this is an Agreement for the construction, reconstruction, maintenance and/or repair of any public work, the Firm agrees that all laborers, workers, or mechanics employed by the Firm and/or its subcontractors in contemplation of the performance of this Agreement shall be paid not less than such hourly minimum rate of wage and shall be provided supplements not less than the prevailing supplements as designated by the New York State Commissioner of Labor.

## **ARTICLE 23 - ULSTER COUNTY LIVING WAGE ACT**

In accordance with Local Law 6 of 2021 also known as the Ulster County Living Wage Act, if this Agreement is for an amount of FIFTY THOUSAND and 00/100 (\$50,000.00) DOLLARS or more in a County fiscal year (January 1 – December 31) and the Firm has not received an exemption from the Ulster County Living Wage Act specific to this Agreement, the Firm shall pay its employees that are working or providing services under this Agreement no less than the Living Wage in effect during the term of this Agreement. The current Living Wage can be found on the Ulster County Department of General Services website at <https://ulstercountyny.gov/living-wage-act>. The Ulster County Living Wage Act can be accessed electronically at any time by going to <https://ulstercountyny.gov/living-wage-act>. Alternatively, a hard copy of the Ulster County Living Wage Act will be provided upon the Firm’s request.

The County may suspend or terminate this Agreement and impose other penalties for violation of the Ulster County Living Wage Act.

## **ARTICLE 24 - INSURANCE**

For provision of the Services set forth herein and as may be hereinafter amended, the Firm shall maintain or cause to be maintained in full force and effect during the term of this Agreement, at its expense, insurance with stated minimum coverage as set forth in Schedule C, which is attached hereto and is hereby made a part of this Agreement. Such policies are to be in the broadest form available on usual commercial terms and must be written by insurers who have been fully informed as to the nature of Services to be performed by the Firm pursuant to this Agreement. Such insurers shall be of recognized financial standing, satisfactory to the County. The County shall be named as an additional insured on all commercial general liability policies with the understanding that any obligations imposed upon the insured (including, without limitation, the obligation to pay premiums) will be the sole obligation of the Firm and not those of the County. Notwithstanding anything to the contrary in this Agreement, the Firm irrevocably waives all claims against the County for all losses, damages, claims, or expenses resulting from risks commercially insurable under the insurance described in Schedule C and this Article 24. The provision of insurance by the Firm will not in any way limit the Firm’s liability under this Agreement.

Each policy of insurance shall contain clauses to the effect that (i) such insurance shall be primary, without right of contribution of any other insurance carried by or on behalf of the County, with respect to its interests, (ii) it shall not be cancelled or materially amended without thirty (30) days prior written notice to the County, except in the case of cancellation for non-payment of premium which requires ten (10) days prior written notice, directed to the County’s Department of Risk Management and the Department Head, and (iii) the County will have the option to pay any necessary premiums to keep such insurance in effect, and charge the cost back to the Firm.

To the extent it is commercially available, each policy of insurance shall be provided on an “occurrence” basis. If any insurance is not so commercially available on an “occurrence” basis it shall be provided on a “claims made” basis, and all such “claims made” policies shall provide that:

- A. Policy retroactive dates coincide with or precede the Firm’s start of the performance of Services (including subsequent policies purchased as renewals or replacements); and
- B. If the insurance is terminated for any reason, the Firm agrees to purchase for the County an unlimited, extended reporting provision to report claims arising from the Services performed under this Agreement; and
- C. The Firm shall give immediate notice to the County, through the Department Head, the Ulster County Attorney’s Office, and the County’s Department of Risk Management, of circumstances or incidents that might give rise to future claims with respect to the Services performed under this Agreement.

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## **ARTICLE 25 - INDEMNIFICATION**

The Firm agrees to defend, indemnify, and hold harmless the County, including its officials, employees, and agents, against all claims, losses, damages, liabilities, costs, or expenses (including without limitation, reasonable attorney fees and costs of litigation and/or settlement), whether incurred as a result of a claim by a third party or any other person or entity, arising out of the Services performed by the Firm, its employees, representatives, subcontractors, assignees, or agents pursuant to this Agreement, which the County, or its officials, employees, or agents may suffer by reason of any negligence, fault, act, or omission of the Firm, its employees, representatives, subcontractors, assignees, or agents. The Firm agrees to investigate, handle, respond to, provide defense for, and defend any such claims, demands, or suits at its sole expense, and agrees to bear all other costs and expenses related thereto, even if such claims, demands, or suits are groundless, false, or fraudulent.

In the event that any claim is made or any action is brought against the County arising out of the negligence, fault, act, or omission of the Firm or an employee, representative, subcontractor, assignee, or agent of the Firm, either within or without the scope of the respective employment, representation, subcontract, assignment, or agency, or arising out of the Firm's negligence, fault, act, or omission, then the County will have the right to withhold further payments hereunder for the purpose of set-off in sufficient sums to cover said claim or action. The rights and remedies of the County provided for in this clause will not be exclusive and are in addition to any other rights and remedies provided by law, in equity, or pursuant to this Agreement.

## **ARTICLE 26 - RESPONSIBILITY TO CORRECT DEFICIENCIES**

The Firm shall be responsible to correct, in a timely fashion and at the Firm's sole expense, any deficiencies in its Services resulting from the Firm's failure to act in accordance with the standards set forth in Article 13 (Performance) and Schedule A, provided such deficiencies are reported to the Firm within one hundred-twenty (120) days after completion and final acceptance of the Services. If the Firm fails to correct such deficiencies in a timely and proper manner, the County may elect to have others perform such corrections, and the County may charge any related cost of such corrections to the Firm and/or set-off such amount against any sums otherwise due to the Firm. These remedies, if effected, will not constitute the sole or exclusive remedies afforded to the County for such deficiencies, nor will they constitute a waiver of the County's right to claim damages or otherwise refuse payment, or to take any other action provided for by law, in equity, or pursuant to this Agreement.

## **ARTICLE 27 - CURRENT OR FORMER COUNTY EMPLOYEES**

The Firm represents and warrants that during the Term of this Agreement and for a period of one (1) year after its expiration or termination, it shall not retain the services of any County employee or former County employee in connection with this Agreement, or any other agreement that said Firm has or may have with the County, without the express written permission of the Executive or the Director of General Services.

For a breach or violation of such representations or warranties, the County will have the right to annul this Agreement without liability, entitling the County to recover all monies paid hereunder, and the Firm shall neither make claim for, nor be entitled to recover, any sum or sums otherwise due under this Agreement. This remedy, if effected, will not constitute the sole remedy afforded to the County for such breach or violation, nor will it constitute a waiver of the County's right to claim damages or otherwise refuse payment, or to take any other action provided for by law, in equity or pursuant to this Agreement.

## **ARTICLE 28 - PROTECTION OF COUNTY PROPERTY**

The Firm assumes the risk of and shall be responsible for any loss or damage to the County's property and equipment, whether owned, leased, or otherwise possessed by the County, used in the performance of this Agreement. Any such loss or damage caused, either directly or indirectly, by the acts, conduct, omissions, or lack of good faith of the Firm, its officers, directors, members, partners, employees, representatives, or assignees, or any person, firm, company, agent, or others engaged by the Firm as an expert, consultant, specialist, or subcontractor hereunder, will be the responsibility of the Firm.

In the event that any such County property is lost or damaged, except for normal wear and tear, then the County will have the right to withhold further payments hereunder for the purposes of set-off in sufficient sums to cover such loss or damage.

The Firm agrees to defend, indemnify, and hold the County harmless from any and all liability or claim for loss, cost, damage, or expense (including without limitation, reasonable attorney fees and costs of litigation and/or settlement) due to any such loss or damage to any such

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County property described in this Article 28.

The rights and remedies of the County provided herein will not be exclusive and are in addition to any other rights and remedies provided by law, in equity, or pursuant to this Agreement.

## **ARTICLE 29 – EXTENSIONS AND DELAYS**

If, owing to the actions or neglect of the County, the Firm is prevented from completing the Services within the Term of this Agreement, then the Firm's sole and exclusive remedy will be to request that a Change Order, Amendment, or an Addendum to this Agreement be issued by the Executive or the Director of General Services, permitting an extension of time to perform the Services, equal to the time lost due to such delay. Such request shall be based upon written notice only, delivered to the Department Head promptly, but not later than thirty (30) days after the initial occurrence of the event giving rise to such claim, and stating the specific nature of the claim. An extension of time to perform the Services may only be granted by a written Change Order, Amendment, or Addendum to this Agreement, signed by the Executive or the Director of General Services. In no event will the County be liable to the Firm, its subcontractors, agents, assignees, or any other person or entity, for damages arising out of or resulting from any such delays.

## **ARTICLE 30 - TERMINATION**

The County may, by written notice to the Firm, effective upon mailing, terminate this Agreement in whole or in part at any time (i) for the County's convenience, (ii) upon the failure of the Firm to comply with any of the terms or conditions of this Agreement, or (iii) upon the Firm becoming insolvent or bankrupt.

In the event that this Agreement is terminated for the convenience of the County, the Firm will be paid for all Services rendered through the date of termination in accordance with Schedule B.

Upon termination of this Agreement, the Firm shall comply with any and all County closeout procedures, including but not limited to:

- A. Accounting for and refunding to the County within ten (10) days, any unearned and/or unexpended funds that have been paid to the Firm pursuant to this Agreement; and
- B. Furnishing to the County within ten (10) days, an inventory of all equipment, appurtenances, and property purchased by the Firm through, or provided under this Agreement, and carrying out any County directive concerning the disposition thereof.

In the event the County terminates this Agreement, in whole or in part, as provided in this Article 30, the County may procure upon such terms and in such manner as deemed appropriate, Services similar to those so terminated, and the Firm shall continue the performance of this Agreement to the extent not terminated hereby. If this Agreement is terminated in whole or in part for reasons other than the convenience of the County, the cost and expense of any Services procured by the County to complete the Services herein will be charged to the Firm and/or set off against any sums due to the Firm.

Notwithstanding any other provisions of this Agreement, the Firm will not be relieved of liability to the County for damages sustained by the County by virtue of the Firm's breach of this Agreement, or failure to perform in accordance with applicable standards. The County may withhold payments due to the Firm for the purposes of set-off until such time as the exact amount of damages due to the County from the Firm is determined.

The rights and remedies of the County provided herein will not be exclusive and are in addition to any other rights and remedies provided by law, in equity, or pursuant to this Agreement.

## **ARTICLE 31 - SET-OFF RIGHTS**

The County will have all of its common law, equitable, and statutory rights of set-off. These rights shall include, but are not limited to, the County's right to withhold for the purposes of set-off any monies otherwise due to the Firm (i) under this Agreement, (ii) under any other agreement or contract with the County, including any agreement or contract for a term commencing prior to or after the Term of this Agreement, or (iii) from the County by operation of law. The County will also have the right to withhold any monies otherwise due under this Agreement for the purposes of set-off against any amounts due and owing to the County for any reason whatsoever, including without limitation, tax delinquencies, fee delinquencies and/or monetary penalties or interest relative thereto.

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## **ARTICLE 32 - NO ARBITRATION**

Any and all disputes involving this Agreement, including the breach or alleged breach thereof, may not be submitted to arbitration unless specifically agreed to in writing by the Executive or the Director of General Services, after consultation with the Ulster County Attorney, but shall instead only be heard in the Supreme Court of the State of New York, with venue in Ulster County, or if appropriate, in the Federal District Court, with venue in the Northern District of New York, Albany Division.

## **ARTICLE 33 – DISPUTES**

In the event of a dispute arising from this Agreement, the Firm shall be liable to the County for reasonable attorney's fees, costs, expenses and disbursements incurred by the County in enforcing its legal and/or equitable rights pursuant to this Agreement by reason of the failure of the Firm to comply with any of the terms, conditions or warranties of this Agreement, express or implied, and/or the exercise of County's remedies with respect thereto, and/or any error, omission and/or professional negligence of the Firm or its subcontractors, including but not limited to all attorney's fees, costs, expenses and disbursements incurred by the County in prosecuting a lawsuit against the Firm, seeking Indemnification pursuant to Article 25, obtaining Correction of Deficiencies pursuant to Article 26, Termination pursuant to Article 30, and/or Set-Off Rights pursuant to Article 31. The Firm shall further be liable to the County for all prejudgment interest on any award of attorney's fees, costs, expenses and disbursements so awarded. This provision shall survive completion of the Services and/or the expiration or termination of this Agreement.

## **ARTICLE 34 - GOVERNING LAW**

This Agreement is governed by the laws of the State of New York except where the Federal Supremacy Clause requires otherwise.

## **ARTICLE 35 - WAIVER AND SEVERABILITY**

The failure of either Party to enforce at any time, any provision of this Agreement, does not constitute a waiver of such provision in any way or waive the right of either Party at any time to avail itself of such remedies as it may have for any breach or breaches of such provision. None of the conditions of this Agreement will be considered waived by the County unless such waiver is explicitly given in writing by the Executive or the Director of General Services. No such waiver shall be a waiver of any past or future default, breach, or modification of any of the terms or conditions of this Agreement, unless expressly stipulated in such waiver as executed by the Executive or the Director of General Services.

The invalidity or invalid application of any provision of this Agreement will not affect the validity of any other provision, or the application of any other provision of this Agreement.

## **ARTICLE 36 - GENERAL RELEASE**

Acceptance by the Firm or its assignees of the final payment under this Agreement, whether by voucher, judgment of any court of competent jurisdiction, administrative, or other means, will constitute and operate as a general release to the County from any and all claims of the Firm arising out of the performance of this Agreement.

## **ARTICLE 37 - NO CLAIM AGAINST OFFICERS, AGENTS OR EMPLOYEES**

No claim whatsoever shall be made by the Firm against any officer, agent, or employee of the County, for or on account of any act or omission in connection with this Agreement.

## **ARTICLE 38 - ENTIRE AGREEMENT**

The rights and obligations of the Parties and their respective agents, successors and assignees will be subject to and governed by this Agreement, including Schedules A, B, and C, which supersedes any other understandings or writings between or among the Parties to this Agreement.

## **ARTICLE 39 - SURVIVING OBLIGATIONS**

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The Firm’s obligations and those of the Firm’s employees, representatives, agents, subcontractors, successors, and assignees, assumed pursuant to Article 7 (Representations by the Firm), Article 8 (Corporate Compliance), Article 13 (Performance), Article 15 (Confidentiality), Article 16 (Ownership of Confidential Information), [Article 17 \(Intellectual Property\)](#), Article 18 (Publicity), Article 19 (Retention of Records), Article 25 (Indemnification), Article 26 (Responsibility to Correct Deficiencies), Article 28 (Protection of County Property), and Article 31 (Set-Off Rights) will survive completion of the Services and/or the expiration or termination of this Agreement.

## ARTICLE 40 - NOTICES

Except as expressly provided otherwise in this Agreement, all notices given to any of the Parties pursuant to or in connection with this Agreement will be in writing, will be delivered by hand, by certified or registered mail, return receipt requested, or by Federal Express, Express Mail, or other nationally recognized overnight carrier. Except where otherwise specifically defined within this Agreement, notices will be effective when received. Notice addresses are as follows:

Firm:

[Insert Firm Name]  
Attention: [Insert Appropriate Information]  
[Insert Firm Address]  
[Insert Firm City, State & Zip Code]

County:

Ulster County [Insert Department Name]  
Attention: [Insert Department Head Title]  
[Insert Department’s Physical Address]  
Kingston, New York 12401

Any communication or notice regarding indemnification, termination, litigation, or proposed changes to the terms and conditions of this Agreement will be deemed to have been duly made upon receipt by both the County’s Department of [\[Insert your Department\]](#) and the Ulster County Attorney’s Office at the addresses set forth herein, or such other addresses as may have been specified in writing by the County:

Mailing Address:

County of Ulster  
Attention: County Attorney  
Post Office Box 1800  
Kingston, New York 12402

Physical Address:

County of Ulster  
Attention: County Attorney  
244 Fair Street, 5<sup>th</sup> Floor  
Kingston, New York 12401

Either Party may, by written notice to the other Party given in accordance with the foregoing, change its address for notices.

## ARTICLE 41 - MODIFICATION

No changes, amendments, or modifications of any of the terms and/or conditions of this Agreement shall be valid unless reduced to writing and signed by the Parties to this Agreement, and no payment will be due in connection therewith, unless prior to the performance of any such Services, the Executive or the Director of General Services, after consultation with the Department Head, executes an Addendum, Amendment, or Change Order to this Agreement. The aforesaid Addendum, Amendment, or Change Order shall specifically set forth the scope of such extra or additional services, the amount of compensation, and the extension of time for performance, if any, for any such extra or additional services. Unless otherwise specifically provided for therein, the provisions of this Agreement will apply with full force and effect to the terms and conditions contained in such Addendum, Amendment, or Change Order.

## ARTICLE 42 – FORCE MAJEURE

Neither Party hereto will be considered in default in the performance of its obligations hereunder, to the extent that performance of any such obligation is prevented and/or delayed by any cause, existing or future, beyond the control of such Party, and which by that Party’s exercise of due diligence and foresight could not reasonably have been avoided (“Impacted Party”) including, without limitation, the following force majeure events (“Force Majeure Events”): (a) acts of God; (b) flood, fire, earthquake, other potential disaster(s) or catastrophe(s), such as epidemics or pandemics, or explosion; (c) war, invasion, hostilities (whether war is declared or not); (d) national or regional emergencies; and (e) other similar events beyond the reasonable control of the Impacted Party.

The Impacted Party shall give written notice within thirty (30) days of the Force Majeure Event to the other Party and the Impacted Party shall use diligent efforts to end the failure or delay and ensure the effects of such Force Majeure Event are minimized.

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Upon removal of such cause, the Impacted Party affected shall resume its performance as soon as reasonably possible. The Firm's financial inability to perform will not be deemed to be a Force Majeure Event regardless of the source causing such financial inability. If the Firm is so delayed in the timely performance of the Services, the Firm's sole and exclusive remedy is to request that a Change Order, Amendment, or Addendum to this Agreement be issued by the County and signed by the Executive or the Director of General Services, permitting an extension of time to perform the Services in an amount equal to the time lost due to such delay. Such request shall be based upon written notice only, stating the specific nature of the claim, delivered to the Department Head promptly, but not later than thirty (30) days after the initial occurrence of the event giving rise to such claim. An extension of time to perform the Services may only be granted by a written Change Order, Amendment, or Addendum to this Agreement, signed by the Executive or the Director of General Services. In no event will the County be liable to the Firm or to its subcontractors, agents, assignees, or any other person or entity for damages arising out of, or resulting from, any such delays.

**ARTICLE 43 - HEADINGS AND DEFINED TERMS**

The Article headings used in this Agreement are for reference and convenience only, and will not in any way limit or amplify the terms, conditions, and/or provisions hereof. All capitalized terms, acronyms, and/or abbreviations will have the meanings ascribed to them by this Agreement.

**ARTICLE 44 – COUNTERPARTS**

The Parties may execute this Agreement in counterparts, each of which shall be deemed an original, and all of which taken together constitute one and the same instrument. Delivery of an executed counterpart of this Agreement by facsimile, email in portable document format (.pdf), or by any other electronic means intended to preserve the original graphic and pictorial appearance of a document has the same effect as delivery of an executed original of this Agreement.

**IN WITNESS WHEREOF**, the Parties hereto have caused their duly authorized representatives to enter into this Agreement as of the dates set forth below, effective as of the beginning date set forth in Article 2 above.

**[INSERT DEPARTMENT NAME]**

(Approved as to content)

By: \_\_\_\_\_  
NAME: [\[Department Head\]](#)  
TITLE: [\[Department Head\]](#)  
DATE: \_\_\_\_\_

**COUNTY OF ULSTER**

By: \_\_\_\_\_  
NAME: Edward M. Jordan  
TITLE: Director of General Services  
DATE: \_\_\_\_\_

**[INSERT FIRM NAME]**

By: \_\_\_\_\_  
NAME: [\[If known\]](#)  
TITLE: [\[If known\]](#)  
DATE: \_\_\_\_\_



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**SCHEDULE A**  
**SCOPE OF SERVICES**

1. State that the Firm will be performing the Services for the County. (Example: *The Firm shall perform engineering design Services for the County's Department of Public Works.*)
2. Provide a detailed description of **WHAT** Services the Firm shall perform for the County.
3. State **WHERE** the Services shall be performed by the Firm.
4. State **HOW** the Services are to be performed by the Firm.
5. State **WHEN** the Services shall be performed by the Firm.
6. Provide a detailed description of **WHAT** outcomes/products/deliverables are expected upon completion of the Services.
7. State **WHEN** the work products/reports/deliverables are due.
8. State **WHERE and to WHOM** the work product/reports/deliverables are to be delivered.

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**SCHEDULE B**  
**FEES, EXPENSES, AND SUBMISSIONS FOR PAYMENT**

1. The Firm's fee for Services shall not exceed the amount of **[ENTER WRITTEN DOLLAR AMOUNT]** AND \_\_\_/100 (\$ .00) **DOLLARS** for the Term of this Agreement.
2. The Firm shall invoice the County's **[Enter Department Name here]** on a **[weekly/monthly/quarterly]** basis for the Services provided, at a rate of **[ENTER WRITTEN DOLLAR AMOUNT]** AND \_\_\_/100 (\$ .00) **DOLLARS** per **[hour/day/week/month]**, which shall not exceed the amount of **[ENTER WRITTEN DOLLAR AMOUNT]** AND \_\_\_/100 (\$ .00) **DOLLARS** per **[week/month/quarter]**.
3. The Firm shall submit to the County original invoices for payment.
4. The Firm shall submit its invoices by the **[write out: first, tenth, etc.]** (\_\_<sup>th</sup>) day of each **[month/quarter]**, for the Services provided during the previous **[month/quarter]**.
5. The Firm's invoices shall contain, or have attached, sufficient supporting detail as reasonably required by the County to verify the claim, including:
  - A. Reporting of wages and salaries paid to employees of Firm and subcontractors providing services to the County which may be accessed electronically at <https://ulstercountyny.gov/purchasing/reporting-of-wages-and-salaries> (a hard copy will be provided upon the Firm's request); and
  - B. Certification of wages in accordance with Article 23 (Ulster County Living Wage Act) which may be accessed electronically at <https://ulstercountyny.gov/living-wage-act> (a hard copy will be provided upon the Firm's request).
6. In no event shall claims be submitted in advance or accrued prior to expenditure.
7. The Firm's final invoice under this Agreement shall be submitted by the **[write out: tenth, thirtieth, etc.]** (\_\_<sup>th</sup>) day of the month following the ending date contained in Article 2 (Term of Agreement).
8. The County will remit payment to the Firm within sixty (60) days of approval of the invoice by the **[Department Head Title]** of the County's Department of **[Department Name]** and the Ulster County Comptroller.
9. Notwithstanding any other term or provision of this Agreement, including this Schedule B, the Firm's invoices, together with all documentation required, must be promptly and timely submitted. The County reserves the right to reject payment of invoices that are submitted more than one hundred twenty (120) days after the required submission date set forth above, regardless of whether the service, work, or delivery was rendered.
10. The Firm agrees to meet any additional invoicing requirements that the County may from time to time require, with reasonable notice to the Firm.

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# Sample Insurance Requirements

(Rev 6.01.19)

**PLEASE BRING THESE INSURANCE REQUIREMENTS TO YOUR INSURANCE AGENT TO ENSURE PROPER COVERAGE AND LIMITS ARE IN PLACE. FAILURE TO PROVIDE CERTIFICATE(S) OF INSURANCE EVIDENCING REQUIREMENTS BELOW, SHALL DELAY CONTRACT EXECUTION.**

## **SCHEDULE C**

### **COUNTY OF ULSTER CONTRACT INSURANCE REQUIREMENTS**

#### **I. CONDITIONS OF INSURANCE**

Unless otherwise authorized by the Ulster County Insurance Officer, strict adherence to this schedule is required. Any deviation without prior authorization from the County's Department of Risk Management will result in a delay in the finalization of this Agreement.

The Vendor shall submit copies of any or all required insurance documents as and when requested by the County. Upon policy renewal, the Vendor shall submit updated insurance policy information.

#### **II. CERTIFICATES OF INSURANCE**

The Vendor shall file with the County's Department of Risk Management, prior to commencing work under this Agreement, all proper Certificates of Insurance.

The Certificates of Insurance shall include:

- a. Name and address of Insured
- b. Issue date of certificate
- c. Insurance company name
- d. Type of coverage in effect
- e. Policy number
- f. Inception and expiration dates of policies included on the certificate
- g. Limits of liability for all policies included on the certificate
- h. **"Certificate Holder" for all certificates shall be the County of Ulster, P.O. Box 1800, Kingston, New York 12402-1800.**

If the Vendor's insurance policies should be non-renewed or canceled, or should expire during the life of this Agreement, the County shall be provided with a new certificate indicating the replacement policy information as requested above. The County requires thirty (30) days prior written notice of cancellation [ten (10) days for non-payment of premium] from the Insurer, its agents or representatives.

**The Vendor agrees to indemnify the County of Ulster for any applicable deductibles and self-insured retentions.**

#### **III. WORKERS' COMPENSATION AND DISABILITY INSURANCE**

The Vendor shall take out and maintain during the life of this Agreement, Workers' Compensation (WC) Insurance and Disability Benefits (DB) Insurance, for all of its employees employed at the site of the project, and shall provide Certificates of Insurance evidencing this coverage to the County's Department of Risk Management.

If the Vendor is not required to carry such insurance, the Vendor must submit form CE-200 attesting to the fact that it is exempt from providing WC and/or DB Insurance coverage for all of its employees.

The manner of proof related to WC and DB Insurance is controlled by New York State Laws, Rules and Regulations. "ACORD" forms are not acceptable proof of WC and/or DB Insurance.

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**IV. WORKERS' COMPENSATION REQUIREMENTS**

To assist the State of New York and municipal entities in enforcing WCL Section 57, a business entity (the Vendor) seeking to enter into a contract with a municipality (the County) must provide one of the following forms to the municipal entity with which it is entering into a contract. The Vendor should contact their insurance agent to obtain acceptable proof of WC coverage:

- Form C-105.2 – "Certificate of NYS Workers' Compensation Insurance" **or**
- Form U-26.3 – "Certificate of Workers' Compensation Insurance" issued by the New York State Insurance Fund **or**
- Form SI-12 – "Affidavit Certifying that Compensation has Been Secured" issued by the Self-Insurance Office of the Workers' Compensation Board if the Vendor is self-insured **or**
- Form GSI-105.2 – "Certificate of Participation in Workers' Compensation Group Self-Insurance" issued by the Self-Insurance administrator of the group **or**
- Form GSI-12 – "Certificate of Group Workers' Compensation Group Self-Insurance" issued by the Self-Insurance Office of the Workers' Compensation Board if the Vendor is self-insured.

If the Vendor is not required to carry WC coverage, it must submit Form CE-200, "Certificate of Attestation of Exemption" from New York State Workers' Compensation and/or Disability Benefits Insurance Coverage. This form and the instructions for completing it are available at <http://www.wcb.ny.gov>

**V. DISABILITY BENEFITS REQUIREMENTS**

To assist the State of New York and municipal entities in enforcing WCL Section 220(8), a business entity (the Vendor) seeking to enter into a contract with a municipality (the County) must provide one of the following forms to the municipal entity it is entering into a contract with. The Vendor should contact their insurance agent to obtain acceptable proof of DB Insurance Coverage:

- Form DB-120.1 – "Certificate of Insurance Coverage Under the NYS Disability Benefits Law" **or**
- Form DB-155 – "Compliance with Disability Benefits Law" issued by the Self-Insurance Office of the Workers' Compensation Board if the Vendor is self-insured.

If the Vendor is not required to carry DB Insurance coverage, it must submit Form CE-200, "Certificate of Attestation of Exemption" from New York State Workers' Compensation and/or Disability Benefits Insurance Coverage. This form and the instructions for completing it are available at <http://www.wcb.ny.gov>

**VI. COMMERCIAL GENERAL LIABILITY INSURANCE**

The Vendor shall take out and maintain during the life of this Agreement, such bodily injury liability and property damage liability insurance as shall protect it and the County from claims for damages for bodily injury including accidental death, as well as from claims for property damage that may arise from operations under this Agreement, whether such operations be by the Vendor, by any subcontractor, or by anyone directly or indirectly employed by either of them.

It shall be the responsibility of the Vendor to maintain such insurance in amounts sufficient to fully protect itself and the County, but in no instance shall amounts be less than the minimum acceptable levels of coverage set forth below:

- Bodily Injury Liability and Property Damage Liability Insurance in an amount not less than **ONE MILLION AND 00/100 (\$1,000,000.00) DOLLARS** for each occurrence, and in an amount not less than **TWO MILLION AND 00/100 (\$2,000,000.00) DOLLARS** general aggregate.

**Other Conditions of Commercial General Liability Insurance:**

- a. Coverage shall be written on Commercial General Liability form.
- b. Coverage shall include:
  1. Contractual Liability
  2. Independent Contractors
  3. Products and Completed Operations

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- c. "Additional Insured" status shall be granted to "County of Ulster, P.O. Box 1800, Kingston, New York, 12402-1800", shown on the Commercial General Liability policy, further stating that this insurance shall be primary and non-contributory with any other valid and collectable insurance.

**VII. UMBRELLA LIABILITY OR EXCESS LIABILITY INSURANCE**

Umbrella Liability or Excess Liability Insurance shall be provided by the Vendor in an amount not less than **TWO MILLION AND 00/100 (\$2,000,000.00) DOLLARS**.

**NOTE: As long as all minimum underlying limits have been met, insurance limits may be a total combined limit of the Umbrella/Excess Liability limits and the underlying liability insurance limits.**

**The Umbrella/Excess Liability coverage MUST be written on a follow-form (drop down) basis to the underlying insurance coverage with no additional exclusions.**

"Additional Insured" status shall be granted to "County of Ulster, P.O. Box 1800, Kingston, New York, 12402-1800", shown on the Umbrella policy, further stating that this insurance shall be primary and non-contributory with any other valid and collectable insurance.

**VIII. AUTOMOBILE LIABILITY INSURANCE**

Automobile Bodily Injury Liability and Property Damage Liability Insurance shall be provided by the Vendor, with a minimum Combined Single Limit (CSL) of **ONE MILLION AND 00/100 (\$1,000,000.00) DOLLARS**.

Coverage shall include:

- a. All owned vehicles
- b. Any hired automobile
- c. Any non-owned automobile
- d. "Additional Insured" status shall be granted to "County of Ulster, P.O. Box 1800, Kingston, New York, 12402-1800", shown on the Auto Liability policy, further stating that this insurance shall be primary and non-contributory with any other valid and collectable insurance.

**IX. PROFESSIONAL LIABILITY INSURANCE (e.g. MALPRACTICE, MEDIA LIABILITY, ERRORS & OMISSIONS INSURANCE)**



If this box is checked, Professional Liability Insurance shall be provided by the Vendor in an amount not less than **ONE MILLION AND 00/100 (\$1,000,000.00) DOLLARS** for each occurrence and in an amount of not less than **TWO MILLION AND 00/100 (\$2,000,000.00) DOLLARS** general aggregate.

**X. CYBER LIABILITY INSURANCE:**



If this box is checked, Cyber Liability Insurance shall be provided by the Vendor in an amount not less than **FIVE MILLION AND 00/100 (\$5,000,000.00) DOLLARS** for each occurrence and in an amount of not less than **FIVE MILLION AND 00/100 (\$5,000,000.00) DOLLARS** general aggregate. **Copies of policy must be submitted with certificate of insurance.**

**XI. SEXUAL ABUSE & MOLESTATION COVERAGE:**

If this box is checked, Sexual Abuse & Molestation Coverage shall be provided by the Vendor in an amount not less than **ONE MILLION AND 00/100 (\$1,000,000.00) DOLLARS** for each occurrence and in an amount of not less than **TWO MILLION AND 00/100 (\$2,000,000.00) DOLLARS** general aggregate.

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**ALL QUESTIONS PERTAINING TO THIS RFP MUST BE SUBMITTED IN WRITING 10 DAYS PRIOR TO SUBMITTAL RETURN DATE.**

**This form can be used and faxed to 845-340-3434 to the attention of Ancolie Martelly, Principal Buyer.  
Or questions can be submitted by email to [anma@ulstercountyny.gov](mailto:anma@ulstercountyny.gov) with a cc to  
ejor@ulstercountyny.gov.  
We will respond as soon as possible.**

<b>Date:</b>	<hr/>
<b>Company Name:</b>	<hr/>
<b>Contact Name:</b>	<hr/>
<b>Telephone No.:</b>	<hr/>
<b>Fax No.:</b>	<hr/>
<b>E-mail:</b>	<hr/>

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**COUNTY OF ULSTER – DEPARTMENT OF GENERAL SERVICES**

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**THE FOLLOWING SHEETS MUST BE**  
**COMPLETED AND RETURNED**  
**WITH YOUR PROPOSAL**

**RESPONSE RETURN FORM**

**VENDOR NAME:** \_\_\_\_\_

**TITLE:** \_\_\_\_\_

**PHONE NUMBER:** \_\_\_\_\_

**E-MAIL:** \_\_\_\_\_

**ADDRESS:** \_\_\_\_\_

**AUTHORIZED SIGNATURE:** \_\_\_\_\_

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**RESPONDER'S NAME:** \_\_\_\_\_

## RFP RESPONSE CHECKLIST

Please note below is a list of documents which must be submitted in full as part of this proposal. Failure to submit any of the documents as part of your proposal may be cause for rejection of the proposal.

**Please check each item indicating your compliance.**

**THIS CHECKLIST MUST BE COMPLETED & SUBMITTED AS PART OF YOUR PROPOSAL.**

- \_\_\_\_\_ RESPONSE CHECKLIST
- \_\_\_\_\_ ONE (1) ORIGINAL AND ONE (1) PHOTOCOPY OF TECHNICAL PROPOSAL
- \_\_\_\_\_ ONE (1) FEE/COST PROPOSAL ORIGINAL AND (1) PHOTOCOPY
- \_\_\_\_\_ ONE (1) ELECTRONIC COPY TO INCLUDE TECHNICAL PROPOSAL, FEE PROPOSAL IN WORD AND PDF FORMAT
- \_\_\_\_\_ ASSUMED NAME CERTIFICATION
- \_\_\_\_\_ ORGANIZATION INFORMATION FORM
- \_\_\_\_\_ DISCLOSURE OF OWNERSHIP INTEREST CERTIFICATION FORM
- \_\_\_\_\_ LIVING WAGE ACKNOWLEDGEMENT AND ACCEPTANCE DECLARATION
- \_\_\_\_\_ AFFIDAVIT OF NON-COLLUSION
- \_\_\_\_\_ IRANIAN DIVESTMENT CERTIFICATE (NOTARIZED)
- \_\_\_\_\_ MACBRIDE FAIR EMPLOYMENT PRINCIPLES
- \_\_\_\_\_ INSURANCE REQUIREMENTS
- \_\_\_\_\_ ADDENDUM(S) ACKNOWLEDGED (IF APPLICABLE)

**PLEASE SUBMIT YOUR COMPLETED PROPOSAL UNBOUND & UNSTAPLED**



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**RESPONDER’S NAME:** \_\_\_\_\_

**ASSUMED NAME CERTIFICATION**

**\*If the responder’s business is conducted under an assumed name, a copy of the certificate required to be filed under the New York general business law must be attached.**

ASSUMED NAME: \_\_\_\_\_

If the responder is an individual, the proposal must be signed by that individual; if the responder is a corporation, by an officer of the corporation, or other person authorized by resolution of the board of directors, and in such case a copy of the resolution must be attached; if a partnership, by one of the partners or other person authorized by a writing signed by at least one general partner and submitted with the proposal or previously filed with the Director of General Services.

**The submission of this proposal constitutes a certification that no County Officer has any interest therein. (Note: In the event that any County Officer has any such interest, the full nature thereof should be disclosed below.)**

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**INSURANCE STATEMENT**

**Responder agrees as follows - please mark appropriate box(es):**

Insurance Certificate as requested is attached ☐

**OR**

I certify that I can supply insurance as specified if awarded the contract ☐

Insurance Certificate filed on \_\_\_\_\_  
DATE

**FAILURE TO PROVIDE SPECIFIED INSURANCE SHALL DISQUALIFY RESPONDER**

\_\_\_\_\_  
AUTHORIZED SIGNATURE

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**ORGANIZATION INFORMATION FORM**

RESPONDER NAME: \_\_\_\_\_

TYPE OF ENTITY: CORP. \_\_\_\_\_ PARTNERSHIP \_\_\_\_\_ INDIVIDUAL \_\_\_\_\_ OTHER \_\_\_\_\_

FEDERAL EMPLOYER ID #: \_\_\_\_\_ OR SOCIAL SECURITY #: \_\_\_\_\_

NYS DOS ID #: \_\_\_\_\_ DUNS # (FTA Projects): \_\_\_\_\_

DATE OF ORGANIZATION: \_\_\_\_\_

IF APPLICABLE: DATE FILED: \_\_\_\_\_ STATE FILED: \_\_\_\_\_

If a non-publicly owned corporation:

CORPORATION NAME: \_\_\_\_\_

LIST PRINCIPAL STOCKHOLDERS: (owning 5% or more of outstanding shares)

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

LIST OFFICERS AND DIRECTORS:

NAME	TITLE
------	-------

_____	_____
_____	_____

\*\*\*\*\*

If a partnership:

PARTNERSHIP NAME: \_\_\_\_\_

LIST PARTNERS NAME(S):

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

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**DISCLOSURE OF OWNERSHIP INTEREST CERTIFICATION FORM**

Pursuant to Ulster County Resolution Number 8 of 2023, please list the following information (if necessary, use additional sheets):

1. The names of all individuals with an interest in, ownership or control of 10% or more of the profits or assets of \_\_\_\_\_ (“the Company”) seeking to do business with Ulster County, or individuals owning or controlling 10% or more of the stock of said business in the case of a business entity that is a for profit corporation.

_____	_____
_____	_____
_____	_____

2. The names of all principals, partners, officers, or directors of the Company seeking to do business with Ulster County and their immediate family members and members of household.

_____
_____
_____
_____
_____

3. The names of any subsidiary business entities directly or indirectly controlled by Company.

_____
_____

4. For business entities holding 10% or more of the profits or assets of the Company, the names of all principals, partners, officers, or directors of that business entity and their immediate family members and members of household.

_____
_____
_____
_____
_____

INITIALS: \_\_\_\_\_

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## ACKNOWLEDGMENT AND ACCEPTANCE DECLARATION

Living Wage Act - Local Law Number 6 of 2021

(To be completed by each respondent to a bid/proposal solicitation  
when that solicitation has included Living Wage Advertisement/Solicitation Language.)

**CONTRACTING AGENCY:** \_\_\_\_\_

**AGENCY CONTRACT NUMBER:** \_\_\_\_\_

**VENDOR NAME:** \_\_\_\_\_

**DATE PREPARED:** \_\_\_\_\_ **PREPARED BY:** \_\_\_\_\_

**VENDOR TELEPHONE NUMBER:** \_\_\_\_\_

**VENDOR EMAIL ADDRESS:** \_\_\_\_\_

**VENDOR MAILING ADDRESS:** \_\_\_\_\_

As the authorized representative of the above-referenced bidder or proponent, I hereby acknowledge that the bidder/proponent understands that the contract or agreement that will be executed with a successful bidder/proponent pursuant to this solicitation is subject to the Living Wage Act and the regulations associated therewith. The bidder/proponent hereby agrees to comply with the Living Wage Act and the associated regulations if awarded a contract pursuant to this solicitation. I am authorized to make the above representations on behalf of the bidder or proponent.

### AUTHORIZED REPRESENTATIVE CERTIFICATION:

**X** \_\_\_\_\_

**NAME:** \_\_\_\_\_

**TITLE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

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## **CERTIFICATION AND SIGNATURE FORM**

### **AFFIDAVIT OF NON-COLLUSION**

NAME OF RESPONDER: \_\_\_\_\_ PHONE NO.: \_\_\_\_\_ EXT: \_\_\_\_\_

BUSINESS ADDRESS: \_\_\_\_\_ FAX NO.: \_\_\_\_\_

I hereby attest that I am the person responsible within my firm for the final decision as to the prices(s) and amount of this proposal or, if not, that I have written authorization, enclosed herewith, from that person to make the statements set out below on his or her behalf and on behalf of my firm.

I further attest that:

1. The price(s) and amount of this proposal have been arrived at independently, without consultation, communication or agreement for the purpose of restricting competition with any other contractor, responder or potential responder.
2. Neither the price(s), nor the amount of this proposal, have been disclosed to any other firm or person who is a responder or potential responder on this project, and will not be so disclosed prior to proposal opening.
3. No attempt has been made or will be made to solicit, cause or induce any firm or person to refrain from responding to this RFP, or to submit a proposal higher than the proposal of this firm, or any intentionally high or non-competitive proposal or other form of complementary proposal.
4. The proposal of my firm is made in good faith and not pursuant to any agreement or discussion with, or inducement from any firm or person to submit a complementary proposal.
5. My firm has not offered or entered into a subcontract or agreement regarding the purchase of materials or services from any other firm or person, or offered, promised or paid cash or anything of value to any firm or person, whether in connection with this or any other project, in consideration for an agreement or promise by an firm or person to refrain from responding to this RFP or to submit a complementary proposal on this project.
6. My firm has not accepted or been promised any subcontract or agreement regarding the sale of materials or services to any firm or person, and has not been promised or paid cash or anything of value by any firm or person, whether in connection with this or any project, in consideration for my firm's submitting a complementary proposal, or agreeing to do so, on this project.
7. I have made a diligent inquiry of all members, officers, employees, and agents of my firm with responsibilities relating to the preparation, approval or submission of my firm's proposal on this project and have been advised by each of them that he or she has not participated in any communication, consultation, discussion, agreement, collusion, act or other conduct inconsistent with any of the statements and representations made in this affidavit.

**8. By submission of this proposal, I certify that I have read, am familiar with, and will comply with any and all segments of these specifications.**

The person signing this proposal, under the penalties of perjury, affirms the truth thereof.

\_\_\_\_\_  
Signature & Company Position

\_\_\_\_\_  
Print Name & Company Position

\_\_\_\_\_  
Company Name

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Federal I.D. Number

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**RESPONDER'S NAME:** \_\_\_\_\_

**CERTIFICATION OF COMPLIANCE WITH THE IRAN DIVESTMENT ACT**

Pursuant to State Finance Law §165-a, on August 10, 2012 the Commissioner of the Office of General Services (OGS) posted a prohibited entities list of "persons" who are engaged in "investment activities in Iran" (both are defined terms in the law) on the OGS website at: <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>

By submitting a bid in response to this solicitation or by assuming the responsibility of a Contract awarded hereunder, each Bidder/Contractor, any person signing on behalf of any Bidder/Contractor and any assignee or subcontractor and, in the case of a joint bid, each party thereto, certifies, under penalty of perjury, that once the Prohibited Entities List is posted on the OGS website, that to the best of its knowledge and belief, that each Bidder/Contractor and any subcontractor or assignee is not identified on the Prohibited Entities List created pursuant to SFL § 165-a(3)(b).

Additionally, Bidder/Contractor is advised that once the Prohibited Entities List is posted on the OGS Website, any Bidder/Contractor seeking to renew or extend a Contract or assume the responsibility of a Contract awarded in response to this solicitation must certify at the time the Contract is renewed, extended or assigned that it is not included on the Prohibited Entities List.

During the term of the Contract, should the County receive information that a Bidder/Contractor is in violation of the above-referenced certification, the County will offer the person or entity an opportunity to respond. If the person or entity fails to demonstrate that he/she/it has ceased engagement in the investment which is in violation of the Act within 90 days after the determination of such violation, then the County shall take such action as may be appropriate including, but not limited to, imposing sanctions, seeking compliance, recovering damages or declaring the Bidder/Contractor in default.

The County reserves the right to reject any bid or request for assignment for a Bidder/Contractor that appears on the Prohibited Entities List prior to the award of a contract and to pursue a responsibility review with respect to any Bidder/Contractor that is awarded a contract and subsequently appears on the Prohibited Entities List.

I, \_\_\_\_\_, being duly sworn, deposes and says that he/she is the  
\_\_\_\_\_ of the \_\_\_\_\_

Corporation and that neither the Bidder/Contractor nor any proposed subcontractor is identified on the Prohibited Entities List.

\_\_\_\_\_  
SIGNED

SWORN to before me this

\_\_\_\_\_ day of \_\_\_\_\_

202 \_\_\_\_

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

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**RESPONDER'S NAME:** \_\_\_\_\_

**MACBRIDE FAIR EMPLOYMENT PRINCIPLES**

Ulster County Resolution 108 of March 8, 2001, in an attempt to prevent discrimination in all forms, provides the requirement that vendors who do business with Ulster County read, initial and return the attached statement as part of their official document.

Please read and initial **either** Statement #1 or Statement #2.

**DO NOT INITIAL BOTH STATEMENTS.**

- \_\_\_ 1. The Bidder, and any individual or legal entity in which the Bidder holds a 10% or greater ownership interest and any individual or legal entity that holds a 10% or greater ownership interest in the Bidder, has no business operations in Northern Ireland.
  
- \_\_\_ 2. The Bidder, and any individual or legal entity in which the Bidder holds a 10% or greater ownership interest and any individual or legal entity that holds a 10% or greater ownership interest in the Bidder 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 and shall permit the independent monitoring of their compliance with such principles.

\_\_\_\_\_  
AUTHORIZED SIGNATURE

\_\_\_\_\_  
PRINT NAME:

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**INSURANCE REQUIREMENTS:**

*The following insurance acknowledgement must be completed and signed and submitted with this bid even if the bidder is unable to provide their certificate of insurance with their bid.*

BIDDER NAME: \_\_\_\_\_, if a successful bidder, agrees to provide an insurance certificate with endorsement, in compliance with the insurance requirements set forth in this bid. Insurance certificates, with County of Ulster listed as additional insured, must be supplied within ten (10) business days or as specified in the notice of award or the award may be rescinded.

BID TITLE: \_\_\_\_\_

**Authorized Signature:** \_\_\_\_\_

Name & Title of  
Authorized Signer: \_\_\_\_\_

Dated: \_\_\_\_\_

Insurance Agency: \_\_\_\_\_

Address of Agency: \_\_\_\_\_

Contact Person  
At Agency: \_\_\_\_\_

Phone Number  
of Agency: \_\_\_\_\_

Current Policy Limits: \_\_\_\_\_

G/L Occurrence

G/L Aggregate

Umbrella or Excess

Automobile

Professional or Other Required



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**RESPONDER’S NAME:** \_\_\_\_\_

**ACKNOWLEDGEMENT OF RECEIPT OF ADDENDUMS**

The responder acknowledges receipt of the following addendums to the Documents (Give number and date of each):

Addendum No. \_\_\_\_\_, dated \_\_\_\_\_

Addendum No. \_\_\_\_\_, dated \_\_\_\_\_

Addendum No. \_\_\_\_\_, dated \_\_\_\_\_

Addendum No. \_\_\_\_\_, dated \_\_\_\_\_

Addendum No. \_\_\_\_\_, dated \_\_\_\_\_

Addendum No. \_\_\_\_\_, dated \_\_\_\_\_

Addendum No. \_\_\_\_\_, dated \_\_\_\_\_

**SUBMITTED BY (Signature)**  
\_\_\_\_\_

**AGENCY/COMPANY NAME**  
\_\_\_\_\_