

6693

2015-2016 Regular Sessions

I N A S S E M B L Y

March 30, 2015

Introduced by M. of A. ENGLEBRIGHT -- read once and referred to the  
Committee on Governmental Operations

AN ACT to amend the state finance law, in relation to establishing a  
responsible bidders database in the department of audit and control

THE PEOPLE OF THE STATE OF NEW YORK, REPRESENTED IN SENATE AND ASSEM-  
BLY, DO ENACT AS FOLLOWS:

1 Section 1. Short title. This act shall be known and may be cited as  
2 the "responsible bidders database act".

3 S 2. The state finance law is amended by adding a new section 148 to  
4 read as follows:

5 S 148. RESPONSIBLE BIDDERS COMPUTERIZED DATABASE; REPORTING OF  
6 CONTRACTED GOODS AND SERVICES. 1. THE STATE COMPTROLLER SHALL MAINTAIN A  
7 COMPUTERIZED DATABASE SYSTEM THAT SHALL CONTAIN INFORMATION FOR EVERY  
8 CONTRACT FOR A STATE AGENCY OR PUBLIC AUTHORITY. THE STATE COMPTROLLER  
9 SHALL MAINTAIN THE INFORMATION REQUIRED BY THIS SECTION IN A FORM THAT  
10 WILL ENABLE EACH AGENCY AND PUBLIC AUTHORITY TO PERFORM ITS DUTIES.

11 2. EACH STATE AGENCY AND PUBLIC AUTHORITY SHALL COLLECT THE INFORMA-  
12 TION SET FORTH IN THIS SUBDIVISION FOR EACH CONTRACT THAT THE AGENCY OR  
13 PUBLIC AUTHORITY ENTERS INTO, AND SHALL PROVIDE THIS INFORMATION TO THE  
14 STATE COMPTROLLER. THE INFORMATION SHALL BE SUBMITTED IN A FORM OR  
15 FORMAT AND ON A SCHEDULE TO BE DETERMINED BY THE STATE COMPTROLLER. THE  
16 INFORMATION SHALL INCLUDE, BUT NOT BE LIMITED TO, AT LEAST THE FOLLOWING  
17 DATA:

18 A. THE CURRENT ADDRESSES AND TELEPHONE NUMBERS OF THE CONTRACTOR'S  
19 PRINCIPAL EXECUTIVE OFFICES AND THE CONTRACTOR'S PRIMARY PLACE OF BUSI-  
20 NESS IN THE STATE, IF DIFFERENT;

21 B. THE ADDRESSES OF THE THREE LARGEST SITES AT WHICH IT IS ANTICIPATED  
22 THAT WORK WOULD OCCUR IN CONNECTION WITH THE PROPOSED CONTRACT, BASED ON  
23 THE NUMBER OF PERSONS TO BE EMPLOYED AT EACH SITE;

24 C. ANY OTHER NAMES UNDER WHICH THE CONTRACTOR HAS CONDUCTED BUSINESS  
25 WITHIN THE PRIOR FIVE YEARS;

EXPLANATION--Matter in ITALICS (underscored) is new; matter in brackets  
[ ] is old law to be omitted.

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1 D. THE ADDRESSES AND TELEPHONE NUMBERS OF ALL PRINCIPAL PLACES OF  
2 BUSINESS AND PRIMARY PLACES OF BUSINESS IN THE STATE, IF DIFFERENT,  
3 WHERE THE CONTRACTOR HAS CONDUCTED BUSINESS WITHIN THE PRIOR FIVE YEARS;

4 E. THE DUN & BRADSTREET NUMBER OF THE CONTRACTOR, IF ANY;

5 F. THE TAXPAYER IDENTIFICATION NUMBERS, EMPLOYER IDENTIFICATION  
6 NUMBERS OR SOCIAL SECURITY NUMBERS OF THE CONTRACTOR AND OF THE DIVISION  
7 OR BRANCH OF THE CONTRACTOR WHICH IS ACTUALLY ENTERING INTO THE  
8 CONTRACT;

9 G. THE TYPE OF BUSINESS ENTITY OF THE CONTRACTOR, INCLUDING, BUT NOT  
10 LIMITED TO, SOLE PROPRIETORSHIP, PARTNERSHIP, JOINT VENTURE OR CORPO-  
11 RATION;

12 H. THE DATE SUCH BUSINESS ENTITY WAS FORMED, THE STATE, COUNTY, AND  
13 COUNTRY IF NOT WITHIN THE UNITED STATES, IN WHICH IT WAS FORMED, AND THE  
14 COUNTIES WITHIN THE STATE IN WHICH IT HAS TRANSACTED OR DONE BUSINESS  
15 WITHIN THE PRIOR FIVE YEARS;

16 I. THE PRINCIPAL OWNERS AND OFFICERS OF THE CONTRACTOR, THEIR DATES OF  
17 BIRTH, TAXPAYER IDENTIFICATION NUMBERS, SOCIAL SECURITY NUMBERS AND  
18 THEIR CURRENT BUSINESS ADDRESSES AND TELEPHONE NUMBERS;

19 J. THE NAMES, CURRENT BUSINESS ADDRESSES AND TELEPHONE NUMBERS,  
20 TAXPAYER IDENTIFICATION NUMBERS AND EMPLOYER IDENTIFICATION NUMBERS OF  
21 AFFILIATES OF THE CONTRACTORS;

22 K. THE PRINCIPAL OWNERS AND OFFICERS OF AFFILIATES OF THE CONTRACTOR  
23 AND THEIR CURRENT BUSINESS ADDRESSES AND TELEPHONE NUMBERS;

24 L. THE PRINCIPAL OWNERS AND OFFICERS OF EVERY SUBCONTRACTOR;

25 M. THE TYPE, AMOUNT AND CONTRACT REGISTRATION NUMBER OF ALL OTHER  
26 CONTRACTS AWARDED TO THE CONTRACTOR, AS REFLECTED IN THE DATABASE MAIN-  
27 TAINED PURSUANT TO SUBDIVISION ONE OF THIS SECTION;

28 N. THE CONTRACT SANCTION HISTORY OF THE CONTRACTOR FOR THE PRIOR FIVE  
29 YEARS, INCLUDING, BUT NOT LIMITED TO, ALL CAUTIONS, SUSPENSIONS, DEBAR-  
30 MENTS, CANCELLATIONS OF A CONTRACT BASED UPON THE CONTRACTOR'S BUSINESS  
31 CONDUCT, DECLARATIONS OF DEFAULT ON ANY CONTRACT MADE BY ANY GOVERN-  
32 MENTAL ENTITY, DETERMINATIONS OF INELIGIBILITY TO BID OR PROPOSE ON  
33 CONTRACTS, AND WHETHER ANY PROCEEDINGS TO DETERMINE ELIGIBILITY TO BID  
34 OR PROPOSE ON CONTRACTS ARE PENDING;

35 O. THE CONTRACT SANCTION HISTORY FOR THE PRIOR FIVE YEARS OF AFFIL-  
36 IATES OF THE CONTRACTOR INCLUDING, BUT NOT LIMITED TO, ALL CAUTIONS,  
37 SUSPENSIONS, DEBARMENTS, CANCELLATIONS OF A CONTRACT BASED UPON SUCH  
38 ENTITY'S BUSINESS CONDUCT, DECLARATIONS OF DEFAULT ON ANY CONTRACT MADE  
39 BY ANY GOVERNMENTAL ENTITY, DETERMINATIONS OF INELIGIBILITY TO BID OR  
40 PROPOSE ON CONTRACTS AND WHETHER ANY PROCEEDINGS TO DETERMINE ELIGIBIL-  
41 ITY TO BID OR PROPOSE ON CONTRACTS ARE PENDING;

42 P. THE NAME AND TELEPHONE NUMBER OF THE CHIEF CONTRACTING OFFICER OR  
43 OTHER EMPLOYEE OF THE AGENCY OR AUTHORITY RESPONSIBLE FOR SUPERVISION OF  
44 THOSE CHARGED WITH DAY-TO-DAY MANAGEMENT OF THE CONTRACT;

45 Q. JUDGMENTS, MEDIATION AND ARBITRATION DECISIONS AND AWARDS AND  
46 INJUNCTIONS, ISSUED WITHIN THE PRIOR FIVE YEARS, IN ANY JUDICIAL ACTIONS  
47 OR PROCEEDINGS AND IN ANY MEDIATION OR ARBITRATION PROCEEDINGS AND  
48 INITIATED BY ANY AGENCY OR PUBLIC OFFICER AGAINST THE CONTRACTOR WITH  
49 RESPECT TO A CONTRACT AND ANY SUCH JUDICIAL ACTIONS OR PROCEEDINGS AND  
50 MEDIATION OR ARBITRATION PROCEEDINGS THAT ARE PRESENTLY PENDING OR FOR  
51 WHICH NOTICE OF CLAIM HAS BEEN RECEIVED;

52 R. RECORD OF ALL SANCTIONS IMPOSED WITHIN THE PRIOR FIVE YEARS AS A  
53 RESULT OF JUDICIAL OR ADMINISTRATIVE DISCIPLINARY PROCEEDINGS WITH  
54 RESPECT TO ANY PROFESSIONAL LICENSES HELD BY THE CONTRACTOR, OR A PRIN-  
55 CIPAL OWNER OR OFFICER OF THE CONTRACTOR;

1 S. WHETHER STATE INCOME TAX RETURNS, WHERE REQUIRED, HAVE BEEN FILED  
2 FOR THE PAST FIVE YEARS;

3 T. OUTSTANDING TAX WARRANTS AND UNSATISFIED TAX LIENS, AS REFLECTED IN  
4 THE RECORDS OF THE STATE;

5 U. INFORMATION FROM PUBLIC REPORTS OF THE ORGANIZED CRIME CONTROL  
6 BUREAU AND THE STATEWIDE ORGANIZED CRIME TASK FORCE THAT INDICATES  
7 INVOLVEMENT IN CRIMINAL ACTIVITY;

8 V. CRIMINAL PROCEEDINGS PENDING AGAINST THE CONTRACTOR AND ANY PRINCIPAL  
9 OWNER OR OFFICER OF SUCH CONTRACTOR;

10 W. RECORD OF ALL CRIMINAL CONVICTIONS OF THE CONTRACTOR, ANY CURRENT  
11 PRINCIPAL OWNER OR OFFICER FOR ANY CRIME RELATED TO TRUTHFULNESS OR  
12 BUSINESS CONDUCT AND FOR ANY OTHER FELONY COMMITTED WITHIN THE PRIOR TEN  
13 YEARS, AND OF ANY FORMER PRINCIPAL OWNER OR OFFICER, WITHIN THE PRIOR  
14 TEN YEARS, FOR ANY CRIME RELATED TO TRUTHFULNESS OR BUSINESS CONDUCT AND  
15 FOR ANY OTHER FELONY COMMITTED WHILE HE OR SHE HELD SUCH POSITION OR  
16 STATUS;

17 X. ALL PENDING BANKRUPTCY PROCEEDINGS AND ALL BANKRUPTCY PROCEEDINGS  
18 INITIATED WITHIN THE PAST SEVEN YEARS BY OR AGAINST THE CONTRACTOR AND  
19 ITS AFFILIATES;

20 Y. WHETHER THE CONTRACTOR HAS CERTIFIED THAT IT WAS NOT FOUNDED OR  
21 ESTABLISHED OR IS NOT OPERATED IN A MANNER TO EVADE THE APPLICATION OR  
22 TO DEFEAT THE PURPOSE OF THIS SECTION AND IS NOT THE SUCCESSOR, ASSIGNEE  
23 OR AFFILIATE OF AN ENTITY WHICH IS INELIGIBLE TO BID OR PROPOSE ON  
24 CONTRACTS OR AGAINST WHICH A PROCEEDING TO DETERMINE ELIGIBILITY TO BID  
25 OR PROPOSE ON CONTRACTS IS PENDING; AND

26 Z. THE NAME AND MAIN BUSINESS ADDRESS OF ANYONE WHO THE CONTRACTOR  
27 RETAINED, EMPLOYED OR DESIGNATED TO INFLUENCE THE PREPARATION OF  
28 CONTRACT SPECIFICATIONS OR THE SOLICITATION OR AWARD OF THIS CONTRACT.

29 3. WHEN PERSONNEL FROM ANY AGENCY OR PUBLIC AUTHORITY LEARN THAT THE  
30 CERTIFICATION REQUIRED BY PARAGRAPH Y OF SUBDIVISION TWO OF THIS SECTION  
31 MAY NOT BE TRUTHFUL, THE APPROPRIATE LAW ENFORCEMENT OFFICIAL SHALL BE  
32 IMMEDIATELY INFORMED OF SUCH FACT AND THE FACT OF SUCH NOTIFICATION  
33 SHALL BE REFLECTED IN THE DATABASE, EXCEPT WHEN CONFIDENTIALITY IS  
34 REQUESTED BY THE LAW ENFORCEMENT OFFICIAL.

35 4. INFORMATION REQUIRED FROM A CONTRACTOR CONSISTING OF A CONTRACTOR'S  
36 SOCIAL SECURITY NUMBER SHALL BE OBTAINED BY THE AGENCY OR PUBLIC AUTHORITY  
37 ENTERING INTO A CONTRACT AS PART OF THE ADMINISTRATION OF THE TAXES  
38 ADMINISTERED BY THE COMMISSIONER OF TAXATION AND FINANCE FOR THE PURPOSE  
39 OF ESTABLISHING THE IDENTIFICATION OF PERSONS AFFECTED BY SUCH TAXES.

40 5. IN THE EVENT THAT PROCUREMENT OF GOODS, SERVICES OR CONSTRUCTION  
41 MUST BE MADE ON AN EMERGENCY BASIS, THE REQUIRED INFORMATION MAY BE  
42 SUBMITTED AFTER AWARD OF THE CONTRACT. HOWEVER, ALL OF THE INFORMATION  
43 REQUIRED BY SUBDIVISION TWO OF THIS SECTION SHALL BE SUBMITTED NO LATER  
44 THAN THIRTY DAYS FROM THE DATE OF THE AWARD.

45 6. WHERE A CONTRACTOR OR SUBCONTRACTOR BECOMES OBLIGATED TO SUBMIT  
46 INFORMATION REQUIRED BY THIS SUBDIVISION BY REASON OF HAVING BEEN  
47 AWARDED A CONTRACT OR SUBCONTRACT, THE VALUE OF WHICH, WHEN AGGREGATED  
48 WITH THE VALUE OF ALL OTHER CONTRACTS OR SUBCONTRACTS AWARDED TO THAT  
49 CONTRACTOR OR SUBCONTRACTOR DURING THE IMMEDIATELY PRECEDING  
50 TWELVE-MONTH PERIOD, IS VALUED AT ONE HUNDRED THOUSAND DOLLARS, OR MORE,  
51 SUCH INFORMATION SHALL BE SUBMITTED NO LATER THAN THIRTY DAYS AFTER  
52 REGISTRATION OF THE CONTRACT WHICH RESULTED IN THE OBLIGATION TO SUBMIT  
53 SUCH INFORMATION. A CONTRACTOR OR SUBCONTRACTOR WHO FAILS TO PROVIDE  
54 SUCH INFORMATION AS REQUIRED BY THIS SUBDIVISION SHALL BE INELIGIBLE TO  
55 BID OR PROPOSE ON A CONTRACT OR SUBCONTRACT UNTIL SUCH INFORMATION IS  
56 PROVIDED.

1 7. NO CONTRACT FOR GOODS OR SERVICES INVOLVING THE EXPENDITURE OF MORE  
2 THAN TEN THOUSAND DOLLARS OR IN THE CASE OF CONSTRUCTION, REPAIR, REHA-  
3 BILITATION OR ALTERATION, THE EXPENDITURE OF MORE THAN FIFTEEN THOUSAND  
4 DOLLARS, FRANCHISE OR CONCESSION SHALL BE LET BY AN AGENCY OR PUBLIC  
5 AUTHORITY, UNLESS THE CONTRACT MANAGER OR OTHER PERSON RESPONSIBLE FOR  
6 MAKING THE RECOMMENDATION FOR AWARD HAS CERTIFIED THAT THESE COMPUTER-  
7 IZED DATABASES AND THE INFORMATION MAINTAINED PURSUANT TO THIS SECTION  
8 HAVE BEEN EXAMINED.

9 8. NOTHING IN THIS SECTION SHALL BE DEEMED TO REQUIRE THE DISCLOSURE  
10 OF INFORMATION THAT IS CONFIDENTIAL OR PRIVILEGED OR THE DISCLOSURE OF  
11 WHICH WOULD BE CONTRARY TO LAW IN THE ABSENCE OF THIS SECTION.

12 9. ANY CONTRACTOR OR SUBCONTRACTOR THAT HAS SUBMITTED TO ANY AGENCY OR  
13 PUBLIC AUTHORITY THE INFORMATION REQUIRED TO BE PROVIDED IN ACCORDANCE  
14 WITH SUBDIVISION TWO OF THIS SECTION SHALL BE REQUIRED TO UPDATE THAT  
15 INFORMATION ONLY AT THREE-YEAR INTERVALS, EXCEPT THAT INFORMATION  
16 REQUIRED BY PARAGRAPHS N, O, Q, R, V, W AND X OF SUBDIVISION TWO OF THIS  
17 SECTION SHALL BE UPDATED EACH TIME THE CONTRACTOR OR SUBCONTRACTOR IS  
18 CONSIDERED FOR THE AWARD OF ANOTHER CONTRACT OR SUBCONTRACT, EXCEPT AS  
19 PROVIDED IN SUBDIVISION FIVE OR SIX OF THIS SECTION, AND NO CONTRACT OR  
20 SUBCONTRACT SHALL BE AWARDED UNLESS THE CONTRACTOR OR SUBCONTRACTOR HAS  
21 CERTIFIED THAT INFORMATION PREVIOUSLY SUBMITTED AS TO THOSE REQUIREMENTS  
22 IS CORRECT AT THE TIME OF THE AWARD OF THE CONTRACT OR SUBCONTRACT.

23 10. EXCEPT AS OTHERWISE PROVIDED, FOR THE PURPOSES OF THIS SECTION:

24 A. "AFFILIATE" SHALL MEAN AN ENTITY IN WHICH THE PARENT OF THE  
25 CONTRACTOR OWNS MORE THAN FIFTY PERCENT OF THE VOTING STOCK, OR AN ENTI-  
26 TY IN WHICH A GROUP OF PRINCIPAL OWNERS WHICH OWNS MORE THAN FIFTY  
27 PERCENT OF THE CONTRACTOR ALSO OWNS MORE THAN FIFTY PERCENT OF THE  
28 VOTING STOCK.

29 B. "CAUTIONARY INFORMATION" SHALL MEAN, IN REGARD TO A CONTRACTOR, ANY  
30 ADVERSE ACTION BY ANY AGENCY OR PUBLIC AUTHORITY, INCLUDING BUT NOT  
31 LIMITED TO POOR PERFORMANCE EVALUATION, DEFAULT, NON-RESPONSIBILITY  
32 DETERMINATION, DEBARMENT, SUSPENSION, WITHDRAWAL OF PREQUALIFIED STATUS,  
33 OR DENIAL OF PREQUALIFIED STATUS.

34 C. "CONTRACT" SHALL MEAN AND INCLUDE ANY AGREEMENT BETWEEN AN AGENCY  
35 OR PUBLIC AUTHORITY AND A CONTRACTOR, OR ANY AGREEMENT BETWEEN SUCH A  
36 CONTRACTOR AND A SUBCONTRACTOR, WHICH (I) IS FOR THE PROVISION OF GOODS,  
37 SERVICES OR CONSTRUCTION AND HAS A VALUE THAT WHEN AGGREGATED WITH THE  
38 VALUES OF ALL OTHER SUCH AGREEMENTS WITH THE SAME CONTRACTOR OR SUBCON-  
39 TRACTOR AND ANY FRANCHISES OR CONCESSIONS AWARDED TO SUCH CONTRACTOR OR  
40 SUBCONTRACTOR DURING THE IMMEDIATELY PRECEDING TWELVE-MONTH PERIOD IS  
41 VALUED AT ONE HUNDRED THOUSAND DOLLARS OR MORE; OR (II) IS FOR THE  
42 PROVISION OF GOODS, SERVICES OR CONSTRUCTION IS AWARDED TO A SOLE SOURCE  
43 AND IS VALUED AT TEN THOUSAND DOLLARS OR MORE; OR (III) IS A CONCESSION  
44 AND HAS A VALUE THAT WHEN AGGREGATED WITH THE VALUE OF ALL OTHER  
45 CONTRACTS HELD BY THE SAME CONCESSIONAIRE IS VALUED AT ONE HUNDRED THOU-  
46 SAND DOLLARS OR MORE; OR (IV) IS A FRANCHISE.

47 D. "CONTRACTOR" SHALL MEAN AND INCLUDE ALL INDIVIDUALS, SOLE PROPRIE-  
48 TORSHIPS, PARTNERSHIPS, JOINT VENTURES OR CORPORATIONS WHO ENTER INTO A  
49 CONTRACT, AS DEFINED IN PARAGRAPH C OF THIS SUBDIVISION, WITH AN AGENCY  
50 OR PUBLIC AUTHORITY.

51 E. "OFFICER" SHALL MEAN ANY INDIVIDUAL WHO SERVES AS CHIEF EXECUTIVE  
52 OFFICER, CHIEF FINANCIAL OFFICER, OR CHIEF OPERATING OFFICER OF THE  
53 CONTRACTOR, BY WHATEVER TITLES KNOWN.

54 F. "PARENT" SHALL MEAN AN INDIVIDUAL PARTNERSHIP, JOINT VENTURE OR  
55 CORPORATION, WHICH OWNS MORE THAN FIFTY PERCENT OF THE VOTING STOCK OF A  
56 CONTRACTOR.

1 G. "PRINCIPAL OWNER" SHALL MEAN AN INDIVIDUAL, PARTNERSHIP, JOINT  
2 VENTURE OR CORPORATION WHICH HOLDS A TEN PERCENT OR GREATER OWNERSHIP  
3 INTEREST IN A CONTRACTOR OR SUBCONTRACTOR.

4 H. "SUBCONTRACT" SHALL MEAN ANY CONTRACT, AS DEFINED IN PARAGRAPH C OF  
5 THIS SUBDIVISION, BETWEEN A SUBCONTRACTOR AND A CONTRACTOR.

6 I. "SUBCONTRACTOR" SHALL MEAN AN INDIVIDUAL, SOLE PROPRIETORSHIP,  
7 PARTNERSHIP, JOINT VENTURE OR CORPORATION WHICH IS ENGAGED BY A CONTRAC-  
8 TOR PURSUANT TO A CONTRACT, AS DEFINED IN PARAGRAPH C OF THIS SUBDIVI-  
9 SION.

10 11. THE STATE COMPTROLLER MAY ENTER INTO COOPERATIVE AGREEMENTS FOR  
11 THE EXCHANGE OF INFORMATION WITH ANY MUNICIPALITY THAT MAINTAINS A DATA-  
12 BASE SUBSTANTIALLY SIMILAR TO THE ONE REQUIRED BY THIS SECTION.

13 S 3. This act shall take effect on the ninetieth day after it shall  
14 have become a law.