NEW YORK STATE OF OPPORTUNITY. | NY Power Authority | Canal Corporation

PROPOSED AGENDA
JOINT GOVERNANCE COMMITTEE MEETING
Videoconference - March 30, 2021 – 8:30 a.m.

1. **Adoption of the March 30, 2021 Proposed Meeting Agenda**

2. **Motion to Conduct an Executive Session**

3. **Motion to Resume Meeting in Open Session**

4. **DISCUSSION AGENDA:**
   a. Diversity, Equity and Inclusion Program Update (**Nancy Harvey, Victoria Daniels & Lisa Wansley)**

   b. 2021-25 Sustainability Plan and 2020 Report – Resolution **(Kerry-Jane King)**

5. **CONSENT AGENDA:**
   a. Approval of the Minutes of the Joint Special Meeting of the New York Power Authority and Canal Corporation Governance Committee held on December 1, 2020

   b. New York Power Authority and Canal Corporation Ethics and Compliance Program Report **(Joseph Gryzlo/Robert Knowlton)**

   c. Procurement and Related Reports for New York Power Authority and Canal Corporation **(John Canale)**

   d. Annual Report of Procurement Contracts, Guidelines for Procurement Contracts and Annual Review of Open Procurement Service Contracts **(John Canale)**

   e. Annual Review and Approval of Guidelines for the Disposal of Personal Property and Expenditure Authorization Procedures for New York Power Authority and Canal Corporation **(John Canale)**

   f. Annual Review and Approval of Guidelines and Procedures for the Disposal of Real Property, Acquisition of Real Property, Annual Reports for the Disposal and Acquisition of Real Property, and Expenditure Authorization Procedures **(Ruth N. Colon)**

   g. Annual Review and Approval of Certain Policies for New York Power Authority and Canal Corporation **(Kristine Pizzo)**

   h. 2020 NYPA and Canal Annual Board Evaluation Pursuant to Sections 2800 and 2824 of the Public Authorities Law and Guidance of the Authorities Budget Office (**Chair Trainor)**

   i. Annual Review and Approval of Guidelines for the Investment of Funds and 2020 Annual Report on Investment of Authority Funds **(Adam Barsky)**

6. **Next Meeting**

NEW YORK STATE OF OPPORTUNITY. | NY Power Authority | Canal Corporation

March 30, 2021

Motion to Conduct an Executive Session

I move that the Committee conduct an executive session to discuss matters leading to the possible appointment, employment, or promotion of a particular person or corporation (pursuant to section 105 of the Public Officers Law).

NEW YORK STATE OF OPPORTUNITY. | NY Power Authority | Canal Corporation

March 30, 2021

Motion to Resume Meeting in Open Session

Chair, I move to resume the meeting in Open Session.

NEW YORK STATE OF OPPORTUNITY. | NY Power Authority

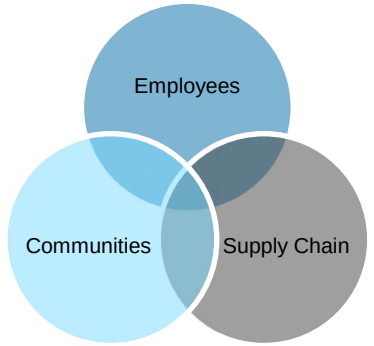
Diversity, Equity and Inclusion Plan Update

Nancy Harvey, Chief Diversity, Equity & Inclusion Officer
Victoria Daniels, Manager Supplier Diversity
Lisa Wansley, Vice President, Environmental Justice

Diversity, Equity, and Inclusion

at NYPA & Canals

Establish NYPA as a leader in DEI, including developing an internal culture of inclusion, a diverse supplier chain, and a commitment to environmental justice



Office of Civil Rights and Inclusion Dashboard

Commitment	Status	% Complete	Due Date
Reaffirm NYPA's commitment to building and maintaining a diverse, equitable and inclusive culture.	▲	20%	Q1-Q3
Cast a wider net and secure a diverse slate of applicants for vacancies by partnering with professional organizations such as the American Association of Blacks in Energy, Historically Black Colleges and Universities and local and national colleges and universities.	▲	15%	Q1-Q4
Create a Chief Diversity Equity and Inclusion Officer, reporting to the President and CEO and to the Chief HRAO, and increase investment in the Office of Civil Rights and Inclusion.	▲	10%	Q4
Ensure that NYPA processes, policies and procedures are transparent and free from bias.	▲	10%	Q4
Expand ongoing training to our employees on antiracism, unconscious bias, microaggression, and cultural competency.	▲	50%	Q3
Invest in our Diverse employees and create pathways for career development and upward mobility.	▲	25%	Q3
Partner and support our employee unions at the national, regional and local levels and invest in their diversity, equity and inclusion programs and initiatives.	▲	10%	Q4

Status Update for Q1/2021

Office of Civil Rights and Inclusion

2021 Key Accomplishments To-date

- ✓ Delivered **~4,000** DEI org-wide trainings
- ✓ Launched DEI **Audit** & **survey**
- ✓ Increased **diverse sourcing** and **partnerships** (e.g., AABE)
- ✓ AAO **investigator** hired
- ✓ Created **oversight committees** to review trends and decision-making
- ✓ Launched **applicant demographics survey** tool
- ✓ 75% of management **development plans** complete
- ✓ **Career Path** framework (Part 1)
- ✓ DEI embedded in **corporate values** and **performance reviews**
- ✓ 10 ERG **engagement initiatives**
- ✓ Labor identified potential opportunities to partner with **unions and students**

Goals

- *A representative workforce of communities in which we live and work*
- *Cultural adoption of diversity, equity and inclusion principles*
- *Accountable staff and leadership*
- *Transparent metrics, policies, programs and practices*

2021 Commitments

1. Transparency & Governance - Establish a governance and oversight structure to assess policies & procedures will improve transparent and best practice decision-making.

2. Training - Educate staff on values, behaviors and standards.

3. Development - Continuous EMC oversight of developing and mentoring programs to ensure opportunities for all.

Office of Civil Rights and Inclusion

2021 YE Actions

- Complete DEI Audit of policies and programs
- Conduct Inclusion focus groups and survey
- Implement leadership oversight and governance structure
- Organization-wide AAO investigation program training
- Career development plans for staff
- Diversity Equity and Inclusion scorecard
- Career pathing – job architecture, mapping and profiles
- Engage unions to explore and identify inclusion partnership initiatives

2021 Commitments

4. **Culture -** Establish values that represent our commitment to diversity and a robust communication plan to inform and reinforce.

5. **Pipeline -** Increase the volume of postings to diverse outlets, expand partnerships and mechanisms for assessment to expand the applicant pipeline.

6. **Resources -** Hire staff to support and implement programs.

Office of Civil Rights and Inclusion

2021 YE Actions

- Communications strategy and increased DEI content
- Hire Office of Civil Rights and Inclusion staff
- Establish corporate values with a commitment to DEI
- Implement frameworks to improve Employee Resource Group execution and engagement and mature the function
- 20 Employee Resource Group (ERG) engagement initiatives
- Further increase diverse postings and partnerships (e.g., AABE, Historically Black Colleges and Universities and local and national colleges and universities)
- Evaluate recruiting and selection policies and procedures and modify practices to increase transparency

Supplier Diversity Program Dashboard

Commitment	Status	% Complete	Due Date
Leverage NYPA's experience, resources and purchasing power to build capacity and access to MWBE firms.		10%	Q1-Q4

- Build MWBE capacity through training, mentoring and networking
- Reduce barriers for supplier entry in policies, procedures and programs
- Create accountability through corporate/department goals and training

Status Update for Q1/2021

Supplier Diversity Program

2021 Key Accomplishments To-date

- ✓ **Roadmap** complete
- ✓ On track with meeting **NYS FY 2021 MWBE Goals**
- ✓ Completed **3 outreach events**
  - Over **500+ attendees**
  - Increased network of **new diverse suppliers**

Goals

- *DEI established throughout NYPA/Canals supply chain*
- *Strengthen community and supplier relationships*
- *Accountable staff and leadership*
- *Transparent policies, programs and practices*
- *Increased availability of local and regional MWBEs trained on NYPA requirements*

2021 Commitment

1. Leverage NYPA's experience, resources and purchasing power to build capacity and access to MWBE firms.

- Build MWBE capacity through training, mentoring and networking
- Reduce barriers for supplier entry in policies, procedures and programs
- Create accountability through corporate/department goals and training

Supplier Diversity Program

2021 YE Actions

- Develop Supplier Mentor Protégé and Training Program
- 12 supplier educational and outreach events (3 completed)
- Develop Supplier Surety Bonding and Training Program
- Develop Supplier Networking and Outreach Program
- Revised Procurement Policies and Procedures
- Develop Supplier Diversity Program Marketing Plan
- Develop Departmental/Business Unit Diversity Goals
- Develop organizational Supplier Diversity training and engagement program
- Supplier Diversity Roadmap (completed)

Environmental Justice Dashboard

Commitment	Status	% Complete	Due Date
Broaden our community-based STEM, student internship and mentorship programs to Increase the pipeline of utility and clean energy workers of tomorrow–including the creation of a targeted college scholarship program.		50%	Q2 – Q4
Create an enterprise-wide employee service program dedicated to understanding racial justice through our clean energy and sustainability work in environmental justice communities.		25%	Q2 – Q4

These two external facing DEI initiatives undertaken by Environmental Justice will further NYPA's commitment to promoting equity in underserved communities throughout NYS.

Status Update for Q1/2021

Environmental Justice Program

2021 Key Accomplishments To-date

- ✓ **Designed** 2021 Future Energy Leaders Scholarship Program
- ✓ **Executed** five scholarship administrative contracts
- ✓ **Established** 2021 P-TECH partnerships with:
  - Energy Tech HS (Queens)
  - Be Solar HS (Buffalo)
  - OHM BOCES (Utica)
- ✓ **Designed** 2021 P-TECH Internship program
  - Best practice sharing with IBM and ConEd P-TECH teams
  - Launched P-Tech internship application portal for eligible students
- ✓ **Issued** press release announcing P-TECH collaboration
- ✓ **Reviewed** NYPA paid volunteering policy and protocols for EJ Community Volunteer Corps

Goals

- *Increased pipeline of utility and clean energy workers of tomorrow*
- *Engaged NYPA community that actively contribute to NYPA's underserved communities*
- *Historically disadvantaged communities benefitting from NYPA programs*

2021 Commitments

1. Broaden our community-based STEM, student internship and mentorship programs to Increase the pipeline of utility and clean energy workers of tomorrow–including the creation of a targeted college scholarship program.

2. Create an enterprise-wide employee service program dedicated to understanding racial justice through our clean energy and sustainability work in environmental justice communities.

Environmental Justice Program

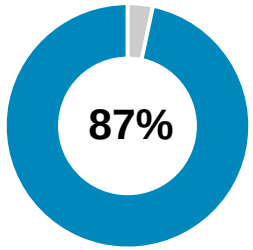
2021 YE Actions

- Future Energy Leaders Scholarship awarded to 10 college students
- NYPA P-TECH program provided:
  - 15 paid summer internships
  - Industry career exposure and mentorship engagements
  - Skills mapping and curriculum support
  - Dedicated NYPA P-Tech staff member for each school
- Designed and established community partnerships for Employee Community Volunteer Corps and execute two COVID friendly activities

2021 Key Metrics and Indicators To-Date

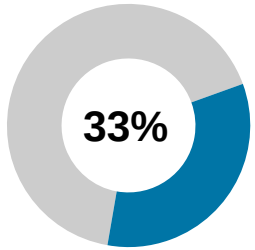
Completion Rate of Trainings

4,295 training modules completed



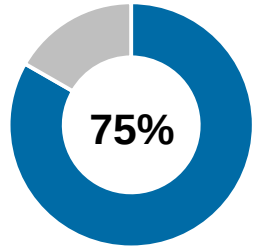
Employee Resource Group Engagements/Events

10 of 30 ERG Initiatives completed



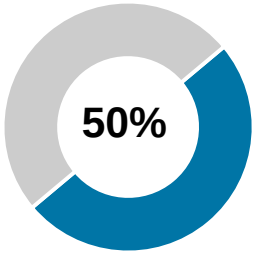
Development Plans for Management Employees

75% plans completed



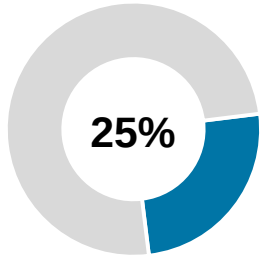
NYPA Future Energy Leaders Scholarship Partners

5 Partner administrative contracts executed



MWBE Engagements/Events

3 Events attracted 500 attendees



- Progress toward target

Program Metrics and Indicators

Division	KPI	Impact Area	Reporting Period	YE Target	YTD Progress*	STATUS
Office of Civil Rights & Inclusion	% Staff Completing Training	Values	Bi-annually	90%	87%	●
	% Development Plans Complete	Development	Annually	90%	75%	●
	% Specialty Program Participation	Development	Annually	40%		●
	# ERG Engagements	Engagement	Bi-annually	30	10	●
Supplier Diversity Program	% MWBEs added to Ariba	Operational	Bi-annually	5%	1.25%	●
	% MWBE spend	Operational	Annually	10%	2.5%	●
	% Outreach events	Marketing	Annually	12	3	●
	% Increase in discretionary spend	Operational	Bi-annually	10%	2.5%	●
Environmental Justice	# NYPA PTECH partnerships	Pipeline	Annually	3	3	●
	# NYPA PTECH Scholars	Pipeline	Annually	240		●
	# PTECH Scholars placed in NYPA paid internships	Scholarship	Annually	10		●
	# NYPA employees engaged in PTECH mentorship	Engagement	Annually	4		●
	# NYPA Future Energy Leaders Scholarships	Scholarship	Annually	10		●
	# Volunteer opportunities	Engagement	Annually	4		●

* Q1 through 3/24/21

● Meeting or exceeding target ● Missing target ● Significantly Missing target ● Data reported annually

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Memorandum

Date: **March 30, 2021**

To: **THE GOVERNANCE COMMITTEE**

From: **THE PRESIDENT and CHIEF EXECUTIVE OFFICER**

Subject: **2021-25 Sustainability Plan and 2020 Report**

SUMMARY

The Governance Committee is recommending that the New York Power Authority's (NYPA) Board of Trustees and the Canal Corporation's Board of Directors (Board) approve the Authority's 2021-2025 Sustainability Plan (the "Plan") and 2020 Sustainability Report (the "Report"), which are attached as Exhibits "A" and "B," respectively.

BACKGROUND

VISION2030, NYPA's ten-year strategic plan approved in December 2020, identifies ESG (Environmental, Social, Governance) as one of five foundational pillars. The Authority's ESG ambition is to deliver on a best-in-class sustainability strategy to meet the present and future needs of its stakeholders and ensure long-term environmental, social, governance and economic performance. ESG is viewed as an enterprise-wide effort that is critical to accomplishing the Authority's mission.

The Sustainability Plan and Sustainability Report are core elements of the ESG foundational pillar. The Plan has been developed as a roadmap to achieving the Authority's ESG ambition, and the Report is a first step in charting the Authority's progress and communicating its commitment to ESG transparency and accountability.

In 2020, the Authority conducted a comprehensive assessment to identify NYPA's material ESG issues. The process included the identification, definition, and prioritization of 15 material ESG topics that are considered to have the greatest potential impact on the Authority's business and to be of most importance to its stakeholders. To inform the process, the Authority conducted a benchmarking analysis of peer practices, industry trends and priorities, state regulations and initiatives, and industry leading sustainability frameworks and standards. Stakeholders were identified, mapped, and prioritized to ensure a robust and inclusive engagement process. NYPA and Canals employees, the Sustainability Advisory Council and the Executive Management Committee were engaged throughout the assessment process.

DISCUSSION

The 2021-2025 Sustainability Plan describes the goals and strategies that the Authority has identified for each of its 15 material ESG topics, in alignment with VISION2030, the Climate Leadership and Community Protection Act, state programs and executive orders, and industry leading practices. The Plan has been developed with guidance and input from business units and department leaders across the organization, including the Sustainability Advisory Council, subject matter experts and other key stakeholders. The Plan is an integrated, cross-functional, and collaborative living document that will be refreshed as the Authority's sustainability journey evolves and its ESG ambitions grow.

The Sustainability Report details the Authority's progress toward achieving the goals outlined in the Plan. The Report was prepared in accordance with the Global Reporting Initiative ("GRI") Standards Core option. The Authority's disclosures are aligned with the Sustainability Accounting Standards Board (SASB) Electric Utilities Standard. The Authority has also included in its approach the integration of the Task Force on Climate-related Financial Disclosures ("TCFD"), and plans to further expand disclosures in future years as its reporting journey progresses. For global context, the Authority includes alignment with and contributions to the United Nations Sustainable Development Goals ("UN SDGs")

FISCAL INFORMATION

The Sustainability Plan expands the scope of the 2019-2023 Sustainability Plan in key areas. The Sustainability Program budget is not expected to increase significantly with this expanded scope but will vary by year as the Plan is implemented and projects and initiatives are identified. The 2021 Sustainability Program budget is $5.725 million.

RECOMMENDATION

The Executive Vice President and Chief Financial Officer, the Executive Vice President and General Counsel, the Senior Vice President and Chief Strategy Officer, and the Director of Sustainability recommend that the Trustees approve the adoption of the Authority's 2021-2025 Sustainability Plan and 2020 Sustainability Report.

The Governance Committee, at its March 30, 2021 meeting, adopted a resolution recommending that the Trustees and Canal Corporation Board of Directors approve the aforementioned Plan and Report.

For the reasons stated, I recommend the approval of the above-requested action by adoption of the resolution below.

Gil C. Quiniones
President and Chief Executive Officer

R E S O L U T I O N

RESOLVED, That the Authority's 2021-2025 Sustainability Plan and 2020 Sustainability Report, as described in the attached memorandum of the President and Chief Executive Officer, and as detailed in Exhibits "A" and "B" be, and hereby is, approved; and be it further

RESOLVED, That the Chairman, the Vice Chairman, the President and Chief Executive Officer, the Chief Operating Officer and all other officers of the Authority are, and each of them hereby is, authorized on behalf of the Authority to do any and all things, take any and all actions and execute and deliver any and all agreements, certificates and other documents to effectuate the foregoing resolution, subject to the approval of the form thereof by the Executive Vice President and General Counsel.

Exhibit A
March 30, 2021

Sustainability Plan 2021-25

Advancing the ESG Foundational Pillar of **VISION**2030

NEW YORK STATE OF OPPORTUNITY.

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Introduction

About this Sustainability Plan

OVERVIEW AND SCOPE

The New York Power Authority's (NYPA) mission is to lead the transition to a carbon-free, economically vibrant New York through customer partnerships, innovative energy solutions, and the responsible supply of affordable, clean and reliable electricity.

VISION2030, NYPA's ten-year strategic plan approved in December 2020, identifies five key *strategic priorities* we must act on to realize our ambition. As a *foundational pillar* of VISION2030, ESG (Environmental, Social, Governance) is viewed as an enterprise-wide effort that is critical to accomplish our mission.

NYPA's ESG ambition is to deliver on a best-in-class sustainability strategy to meet the present and future needs of our stakeholders and enhance long-term environmental, social, governance and economic performance.

This 2021-2025 Sustainability Plan serves as a road map to help bring this ambition to life. The Plan outlines the steps NYPA and our subsidiary, the New York State Canal Corporation (Canals), are committed to taking to advance sustainability efforts across 15 material ESG focus areas over 2021-2025.

PURPOSE

This plan describes the goals and strategies that we have identified for each of our 15 material ESG topics, in alignment with VISION2030, industry leading practices and New York State policy.

The strategies contained in this plan reflect numerous inputs, including the **Intergovernmental Panel on Climate Change's** (IPCC) *Special Report on Global Warming of 1.5°C* and the **United Nations Sustainable Development Goals (UN SDGs)**. Further, we recognize NYPA's pivotal role in achieving the state's bold sustainability agenda, and have aligned our ambitions to New York State's **Climate Leadership and Community Protection Act (CLCPA)**.

The Sustainability Plan has been developed with guidance and input from business units and department leaders across the organization, including the Sustainability Advisory Council (SAC), subject matter experts and other key stakeholders. **It is a living document that will evolve as necessary to align with VISION2030 implementation.**

Beginning in 2021, NYPA will publish an annual Sustainability Report to communicate our progress, highlighting key ESG achievements and transparently disclosing performance metrics in alignment with leading ESG reporting and disclosure frameworks and standards.

CLCPA TARGETS

70%
RENEWABLE ENERGY BY 2030

100%
ZERO CARBON ELECTRICITY BY 2040

40%
REDUCTION IN GHG EMISSIONS BY 2030

85%
REDUCTION IN GHG EMISSIONS BY 2050

35%
BENEFITS TO DISADVANTAGED COMMUNITIES

6 GW
DISTRIBUTED SOLAR BY 2025

3 GW
ENERGY STORAGE BY 2030

9 GW
OFFSHORE WIND BY 2035

Sustainability Governance

ENSURING EFFECTIVE, IMPACT-DRIVEN MANAGEMENT AND OVERSIGHT

NYPA and Canals recognize the importance of strong governance to achieving our sustainability goals and rely on clear policies, practices and controls to guide our sustainability efforts.

Our Sustainability Policy defines responsibilities for ESG planning, executing, monitoring and reporting, and calls for the creation of long-term and annual action plans for program implementation.

NYPA and Canals' inclusive sustainability governance framework applies to leadership at the highest levels of the organization and spans across all key business units to ensure accountability for our actions and performance.

Key stakeholders in this evolving oversight and management structure include, but are not limited to:

- **Board of Trustees:** provides the vision and oversight on strategic ESG priorities and oversees policies, programs and performance related to sustainability.
- **Chief Executive Officer (CEO) and Executive Management Committee (EMC):** lead and guide the management of ESG strategy and goal setting, supporting the board's governance of ESG-related issues and ensuring the achievement of goals identified in the Sustainability Plan.
- **EMC's ESG Sponsors:** support the board's governance of ESG-related issues and work directly with the Sustainability Department to provide guidance on sustainability strategy, goal setting and reporting.
- **Sustainability Department:** provides strategic direction, oversight and reporting for ESG issues, including spearheading the development of the Sustainability Plan. Sustainability engages with

the EMC, to which it reports, and the SAC on plan development and implementation and provides support to business units on day-to-day execution.

- **Sustainability Advisory Council (SAC):** serves as the cross-functional collaborative body to manage ESG-related efforts and ensure successful implementation of the goals, targets and strategies outlined in the Sustainability Plan. The SAC consists of heads of all relevant departments.

REPORTING AND DISCLOSURE

To ensure accountability and transparency, NYPA and Canals will report and disclose comprehensive data related to the implementation of sustainability goals.

This approach to sustainability performance management and reporting will evolve to ensure the most relevant data is accurately and consistently captured and leveraged for decision-making across the organization. NYPA is developing a robust data management system to support this effort.

Central to our ESG disclosure efforts is the annual **Sustainability Report**. Starting with the 2020 reporting cycle, NYPA and Canals are committed to publishing an annual Sustainability Report, in alignment with the reporting requirements of the *Global Reporting Initiative* (GRI) and *Sustainability Accounting Standards Board* (SASB). We have also included our approach to integrating the *Task Force on Climate-Related Financial Disclosures* (TCFD), and plan to further expand our disclosures in future years as our reporting journey progresses—**with the ambition to become among the first U.S. utilities and government entities to issue an integrated report for the 2022 reporting cycle**.

NYPA and Canals will also expand voluntary data disclosure efforts to share ESG progress, such as through *The Climate Registry* (TCR).

NYPA and Canals aspire to become among the first U.S. utilities and government entities to issue an integrated report for the 2022 reporting cycle.

VISION2030

NYPA and Canals' 10-year strategic plan provides a roadmap to bring about our vision of a thriving, resilient New York State powered by clean energy. ESG is embedded as an essential element of the strategy.

VISION2030 details NYPA and Canals' plans to:

- Preserve and enhance the value of our hydropower assets as a core source of carbon-free power and of flexibility and resilience as the state's grid evolves
- Pioneer the path to decarbonization by acting as a test-bed for innovation
- Be the leading transmission developer, owner and operator for New York State and its changing needs
- Partner with our customers and the state to meet their energy goals
- Repurpose the New York Canal System for the economic and recreational benefit of New Yorkers while driving operational efficiency

ESG is recognized as a *foundational pillar* in VISION2030, reflecting its role as a central element of our strategy. Other foundational pillars include Diversity, Equity & Inclusion (DEI), Enterprise Resilience, Digitization and Resource Alignment.

VISION

A thriving, resilient New York State powered by clean energy

MISSION

Lead the transition to a carbon-free, economically vibrant New York through customer partnerships, innovative energy solutions and the responsible supply of affordable, clean and reliable electricity.

STRATEGIC PRIORITIES

FOUNDATIONAL PILLARS

Materiality Assessment

In accordance with *GRI Reporting Principles* and the *AA1000 AccountAbility Principles*, development of this Sustainability Plan began with a review of NYPA and Canals' material ESG topics. This assessment included an analysis of peer practices, industry trends and priorities, regulations, and sustainability and industry frameworks and standards–bolstered through a stakeholder identification, mapping and prioritization process using AcccountAbility's *AA1000 Stakeholder Engagement Standard*.

Key stakeholder groups consulted during the process included NYPA and Canals employees, the SAC and the EMC. Representative data has been used to reflect other stakeholder priorities.

Through the materiality assessment, 15 topics were identified as material to NYPA and Canals and our stakeholders, which inform the focus areas for the sections in this Sustainability Plan.

ESG Focus Areas

The Sustainability Plan addresses each of the 15 material ESG areas in detail. Topic sections are grouped into the categories **Environmental**, **Social** and **Governance** and each section follows a similar structure.

> Definition of focus area

> High-level context, highlighting areas of relevance for NYPA and Canals, New York State and stakeholders

> Overview of selected goals and supporting strategies

> "Spotlights" on key milestones, initiatives and related activities

An overview of all metrics we will be disclosing against in our Sustainability Report is listed in the Appendix.

ESG Focus Areas

ENVIRONMENTAL

CLIMATE CHANGE & GHG EMISSIONS
Adaptation to and mitigation of climate change impacts and risks, and the capitalization of associated business opportunities, as well as NYPA's Scope 1 (direct), Scope 2 (energy indirect) and Scope 3 (other indirect) greenhouse gas emissions

RENEWABLE ENERGY & ENERGY STORAGE
Renewable energy capacity, generation, storage and consumption

ENERGY RELIABILITY
Reliability of NYPA's network and infrastructure for consistent and uninterrupted supply, including optimization and innovation of smart grid technologies and transmission systems

ENERGY EFFICIENCY & ELECTRIFICATION
Electrification and energy efficiency of NYPA and Canals' infrastructure, including buildings, facilities and vehicle fleet

ENVIRONMENTAL STEWARDSHIP
Management and minimization of water, waste and air effluent and emissions, conservation of natural resources, promotion of biodiversity, and increased resilience and carbon sequestration on land owned or managed by NYPA and Canals

SOCIAL

HEALTH & SAFETY
Promotion and management of physical and mental health and safety in the workplace, and prevention of harm in the communities in which NYPA and Canals operate

EMPLOYEE DEVELOPMENT
Attraction and retention of talent, and the development of NYPA and Canals employees

DIVERSITY, EQUITY & INCLUSION
Commitments and actions that build and maintain a diverse, equitable and inclusive culture in the workplace and across NYPA and Canals' value chain

COMMUNITY ENGAGEMENT
Interaction and communication with community members and organizations, customers and other stakeholders in the areas in which NYPA and Canals operate

ACCESS & AFFORDABILITY
Affordability and accessibility of services across customer types in the communities in which NYPA operates

ECONOMIC DEVELOPMENT
Creation of more resilient communities and promotion of economic growth and local employment

GOVERNANCE

ENTERPRISE RISK & RESILIENCE
The identification, assessment, mitigation, monitoring and reporting of risks and impacts related to NYPA and Canals' activities, and the incorporation of risk management strategies to enhance enterprise resilience, including plans for emergencies and disasters, into both long-term planning and day-to-day operations

REGULATORY MANAGEMENT & COMPLIANCE
Management and compliance with relevant federal, New York State and local environmental and socioeconomic laws and regulations

CYBER & PHYSICAL SECURITY
Security of NYPA and Canals' network and infrastructure, as well as properties and personnel, including data protection and data breach risk minimization

SUPPLY CHAIN & PROCUREMENT PRACTICES
Sourcing practices for goods and services and the environmental and social impacts of NYPA and Canals' supply chain

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Environmental

Climate Change & GHG Emissions

Adaptation to and mitigation of climate change impacts and risks, and the capitalization of associated business opportunities, as well as NYPA's Scope 1 (direct), Scope 2 (energy indirect) and Scope 3 (other indirect) greenhouse gas emissions

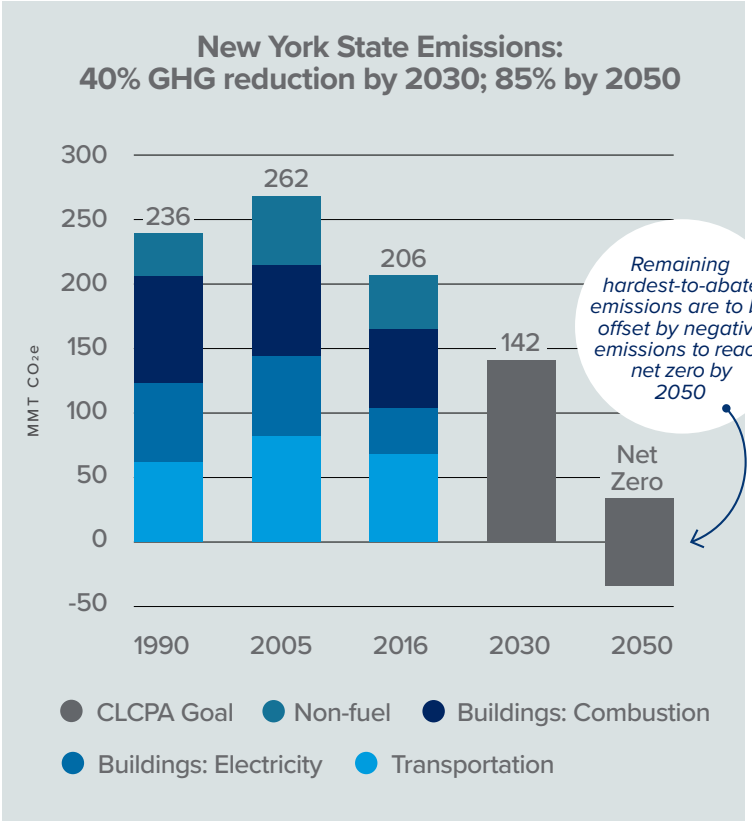
Addressing climate change and reducing greenhouse gas (GHG) emissions is a core focus area for NYPA and Canals.

To advance and achieve our decarbonization targets, we intend to:

- Preserve and enhance the value of hydropower assets
- Decarbonize generation assets by 2035
- Expand the high voltage transmission system
- Increase the procurement of renewable energy
- Invest in customer-centric decarbonization opportunities that include energy efficiency, distributed solar generation, customer-sited storage and electrified transport
- Increase the energy-efficiency and electrification of our buildings, facilities and vehicle fleet, as well as onsite distributed energy resources
- Assess the physical impacts of climate change on system operations
- Enhance our performance management and reporting by developing a comprehensive GHG inventory, integrating disclosures aligned with the TCFD in our annual Sustainability Report and voluntarily reporting annual GHG emissions to TCR

NYPA's climate change commitments, as described in VISION2030, are in alignment with the cross-sector decarbonization pathways outlined in the IPCC's *Special Report on Global Warming of 1.5°C*, the CLCPA and other New York State initiatives–setting some of the most ambitious energy and GHG reduction goals in the U.S.

CLCPA GOALS ARE AMBITIOUS AND NYPA WILL PLAY A KEY ROLE IN ACHIEVING THEM



VISION2030 sets NYPA on a path to support the CLCPA's goal of achieving a net zero carbon economy by 2050 by supporting renewable energy and electrification, energy storage, transmission and other efforts, including exploration of natural carbon sequestration opportunities.

Chart Source: New York State Energy Research and Development Authority's (NYSERDA) *Pathways to Deep Decarbonization in New York State Report*

OVERVIEW OF GHG SCOPES AND EMISSIONS

CO_2 CH_4 N_2O HFCs PFCs SF_6 NF_3

SCOPE 1
DIRECT

> Stationary combustion of fuels (power plants, facilities)

> Mobile combustion (fleet vehicles, corporate aircraft)

> Fugitive emissions (sulfur hexafluoride (SF_6) associated with electrical equipment)

SCOPE 2
ENERGY INDIRECT

> Consumption of purchased electricity, heat or steam

> Transmission line losses

SCOPE 3
OTHER INDIRECT

> Employee commuting

> Employee business travel

> Emissions associated with electricity sales (contracted and wholesale market purchases)

GOAL 1

Manage Scope 1, 2 and 3 emissions and implement GHG reduction strategies

STRATEGIES

> Use natural gas plants as a test-bed for innovation and new low-to-zero carbon technologies

> Expand and upgrade transmission

> Plan to procure renewable energy

> Provide clean energy products and services to our customers

> Implement building and fleet energy efficiency and electrification programs

> Install renewable energy at our facilities

> Identify and implement ecosystem-based mitigation strategies

> Conduct stakeholder engagements to accelerate the adoption of clean technologies

INITIATIVE SPOTLIGHTS

NYPA CLIMATE ADAPTATION AND RESILIENCE ASSESSMENT

NYPA has developed a plan to assess climate risks and impacts, the outcomes of which will be used to inform the development of climate change adaptation and resilience strategies.

PHASE I: ASSESS PHYSICAL IMPACTS OF CLIMATE CHANGE ON NYPA'S ASSETS AND OPERATIONS (2021-2022)

NYPA will assess the projected impact of climate change on physical assets, system operations and capital improvement planning, with the goal of increasing organizational resilience by minimizing service disruptions and ensuring that capital expenditures are aligned to NYPA's risk posture.

PHASE II: ASSESS SOCIAL AND ECONOMIC IMPACTS OF CLIMATE CHANGE ON NYPA'S STAKEHOLDERS (2023-2024)

Building on the physical impact assessment, NYPA will evaluate the social and economic impacts of climate change on customers, communities and other stakeholders, and identify strategies to support regional and community adaptation and resilience planning efforts.

GOAL 2

Conduct climate impact study and identify resilience strategies

STRATEGIES

> Conduct assessment of the physical impacts of climate change

> Conduct assessment of the social and economic impacts of climate change on NYPA stakeholders

> Implement climate resilience initiatives identified as part of *Reimagine the Canals*

REIMAGINE THE CANALS AND CLIMATE RESILIENCE

Through its focus on building resilient communities and resilient infrastructure, NYPA's *Reimagine the Canals* program will harness the potential of the Canal system to reduce the impacts of extreme and unpredictable weather.

Key resilience projects include:

> **Western Water Management and Irrigation:** a program that will utilize existing infrastructure and Erie Canal water in Western New York to enhance agricultural irrigation, enabling farmers to invest in high-value crops.

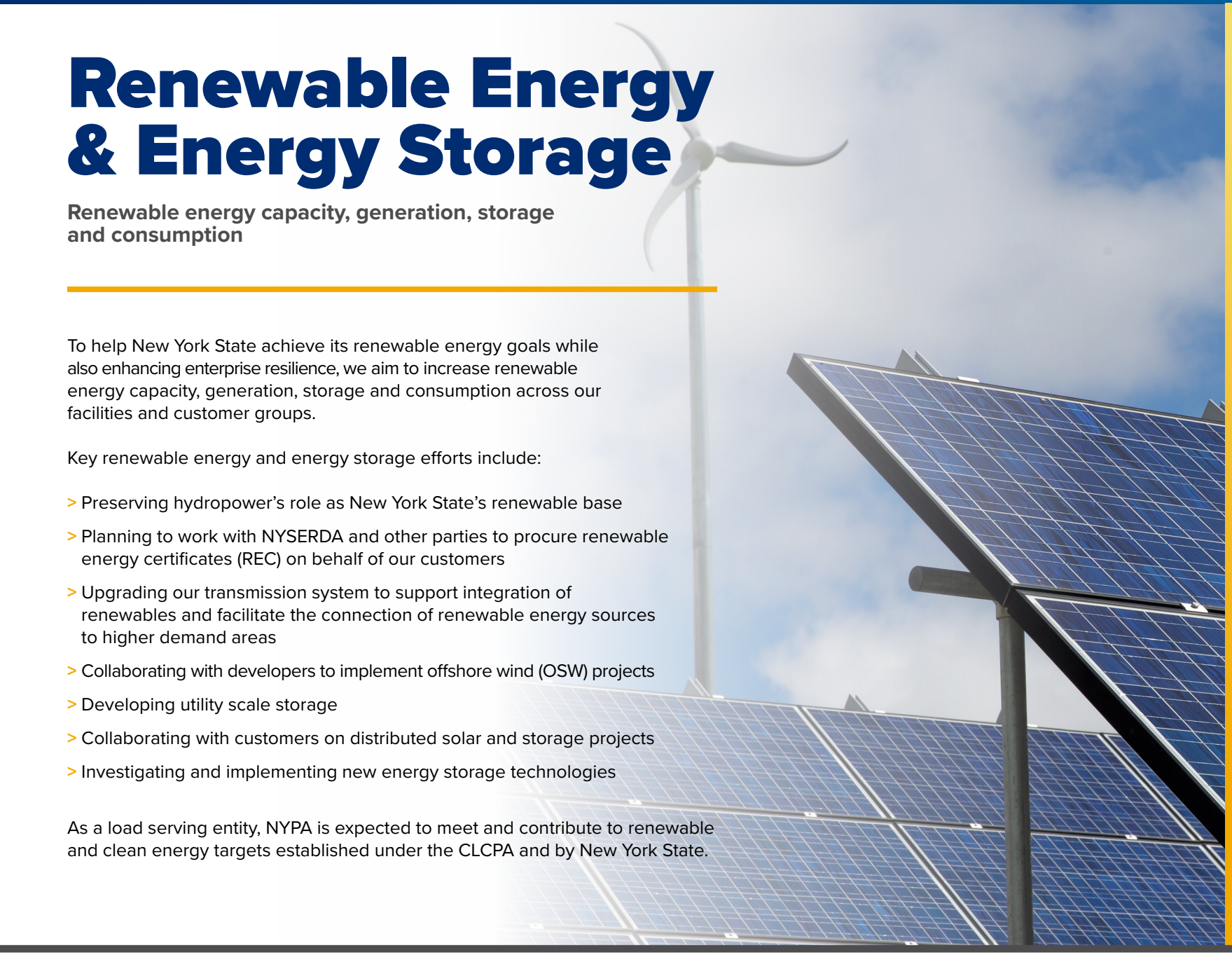
> **Ice Jam Mitigation:** a suite of projects that will mitigate the effects of ice jams to reduce flooding, while improving forecasting and early-warning systems.

SEE ALSO

> *Renewable Energy & Energy Storage*
> *Energy Reliability*
> *Energy Efficiency & Electrification*
> *Environmental Stewardship*
> *Community Engagement*
> *Access & Affordability*
> *Economic Development*

Renewable Energy & Energy Storage

Renewable energy capacity, generation, storage and consumption



To help New York State achieve its renewable energy goals while also enhancing enterprise resilience, we aim to increase renewable energy capacity, generation, storage and consumption across our facilities and customer groups.

Key renewable energy and energy storage efforts include:

- Preserving hydropower's role as New York State's renewable base
- Planning to work with NYSERDA and other parties to procure renewable energy certificates (REC) on behalf of our customers
- Upgrading our transmission system to support integration of renewables and facilitate the connection of renewable energy sources to higher demand areas
- Collaborating with developers to implement offshore wind (OSW) projects
- Developing utility scale storage
- Collaborating with customers on distributed solar and storage projects
- Investigating and implementing new energy storage technologies

As a load serving entity, NYPA is expected to meet and contribute to renewable and clean energy targets established under the CLCPA and by New York State.

KEY NEW YORK STATE ENERGY TARGETS

70%
RENEWABLE ENERGY GENERATION BY 2030

100%
ZERO-CARBON ELECTRICITY BY 2040

6 GW
OF DISTRIBUTED SOLAR BY 2025

3 GW
OF ENERGY STORAGE BY 2030

VISION2030 Strategic Priority

GOAL 1
Preserve and enhance the value of NYPA hydropower

STRATEGIES

> Advocate for New York Independent System Operator (NYISO) market rules and Public Service Commission (PSC) policies that reflect the value of hydro units

> Invest in hydro assets to extend useful life and improve efficiency, including completion of life extension and modernization projects

> Make hydro facilities more competitive by identifying ways to increase flexible load management abilities, improve trading capabilities, and increase operational and maintenance efficiency

> Pursue contracting arrangements with customers to capture environmental and balancing value of hydro generation and evaluate offtake options for new electric or hydrogen electrolysis loads

GOAL 2
Support the achievement of CLCPA renewable energy goals by providing clean energy

STRATEGIES

> Procure increasing volumes of various Tier RECs for customers and recover associated costs through NYPA's clean energy program

> Procure up to NYPA's load ratio share of Zero Emissions Credits (ZECs) from NYSERDA, provide ZECs to customers and recover associated costs through NYPA's clean energy program

> Own and operate renewable energy assets as strategically beneficial and statutorily allowable, for the benefit of New York State

GOAL 3
Upgrade NYPA's transmission system to support integration of intermittent renewable energy sources into the grid

STRATEGIES

> Invest $200 million to $400 million annually to grow transmission asset base by three to five times by 2030

> Pursue transmission development opportunities through the PSC's Priority Transmission Project (PTP) process and NYISO's Public Policy Transmission Planning (PPTP) process

> Establish NYPA's transmission development business as a new business unit and elevate its capabilities

> Collaborate with OSW developers to support project development

GOAL 4

Support the achievement of CLCPA energy storage goals by developing 300 megawatts (MW) of utility scale storage by 2030

STRATEGIES

> Collaborate with private developers on energy storage projects

> Explore implementation of energy storage at NYPA facilities

> Collaborate with the PEAK Coalition to evaluate energy storage potential at NYPA's Small Clean Power Plants (SCPP)

GOAL 5

Install 150 MW of distributed storage and 500 MW of distributed solar to scale clean energy across New York State by 2030

STRATEGIES

> Install Distributed Energy Resources (DER) and monetize these assets via distribution and NYISO DER markets

> Aggregate DERs into a virtual power plant to provide load balancing services to the grid and generate new revenue streams for customers

> Advise customers on the development of solar and storage projects and mitigate challenges government entities have faced in adopting distributed renewable energy

SEE ALSO

> *Energy Reliability*
> *Energy Efficiency & Electrification*
> *Access & Affordability*

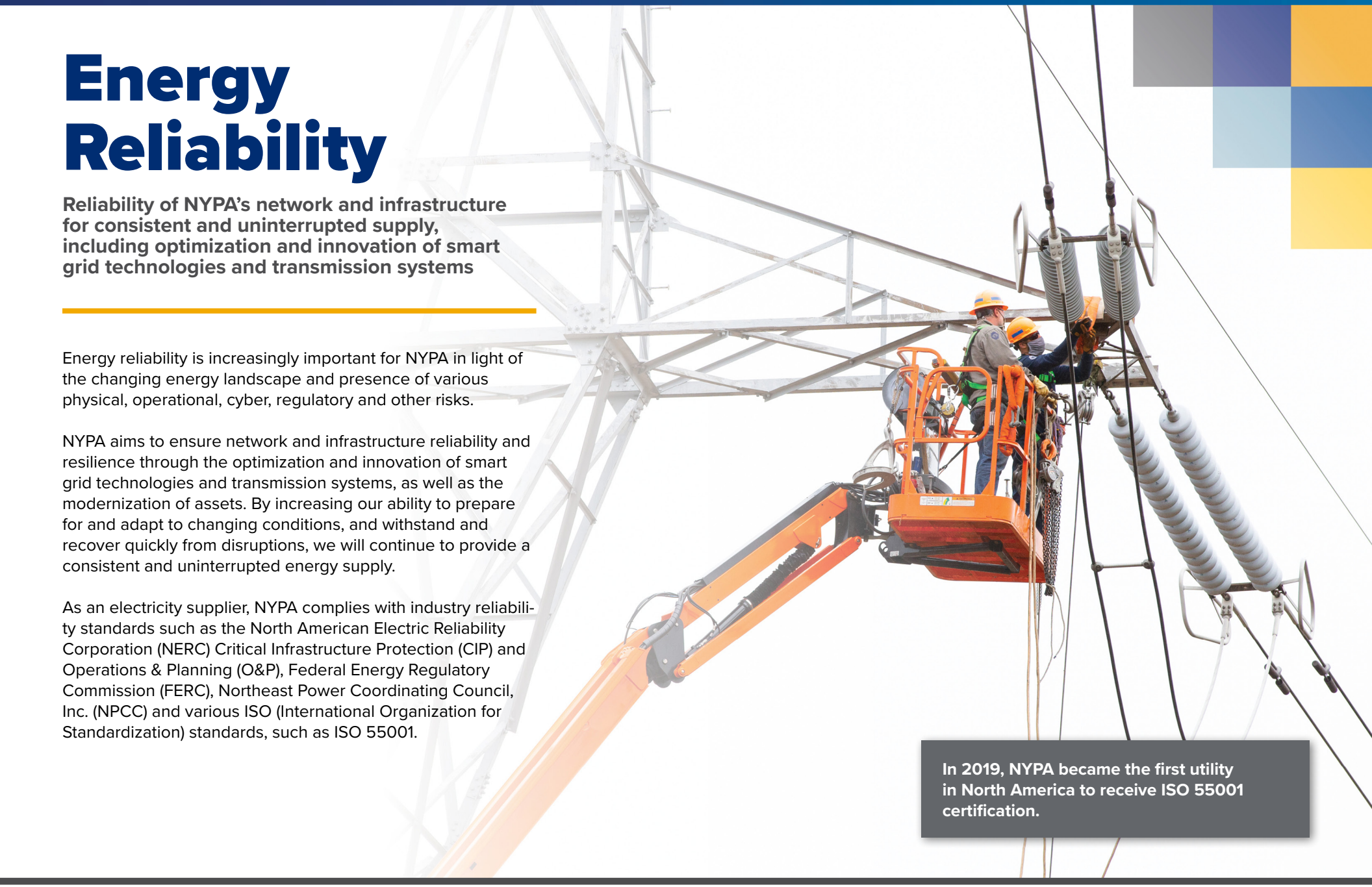
Energy Reliability

Reliability of NYPA's network and infrastructure for consistent and uninterrupted supply, including optimization and innovation of smart grid technologies and transmission systems

Energy reliability is increasingly important for NYPA in light of the changing energy landscape and presence of various physical, operational, cyber, regulatory and other risks.

NYPA aims to ensure network and infrastructure reliability and resilience through the optimization and innovation of smart grid technologies and transmission systems, as well as the modernization of assets. By increasing our ability to prepare for and adapt to changing conditions, and withstand and recover quickly from disruptions, we will continue to provide a consistent and uninterrupted energy supply.

As an electricity supplier, NYPA complies with industry reliability standards such as the North American Electric Reliability Corporation (NERC) Critical Infrastructure Protection (CIP) and Operations & Planning (O&P), Federal Energy Regulatory Commission (FERC), Northeast Power Coordinating Council, Inc. (NPCC) and various ISO (International Organization for Standardization) standards, such as ISO 55001.



In 2019, NYPA became the first utility in North America to receive ISO 55001 certification.

GOAL 1

Upgrade and modernize NYPA's Generation & Transmission (G&T) assets to improve efficiency, reliability, security and resilience

STRATEGIES

> Implement state-of-the-art technology and operational initiatives, such as sensor deployment, advanced analytics and communications backbone

> Leverage the Advanced Grid Innovation Lab for Energy (AGILe) to test, model and create new solutions for energy systems

> Modernize and extend the life of G&T assets through implementation of the Next Generation Niagara Life Extension and Modernization (LEM) project and Transmission Life Extension and Modernization (TLEM) projects

> Accelerate technology development through strategic partnerships

> Empower the workforce with digital solutions that provide access to information anywhere and drive data-driven decisions

GOAL 2

Optimize asset management strategies to ensure an agile response to changing industry landscape

STRATEGIES

> Place focus on data as an asset by maintaining data governance for all data, tiered with data owners, governors and consumers, and in compliance with ISO 55001

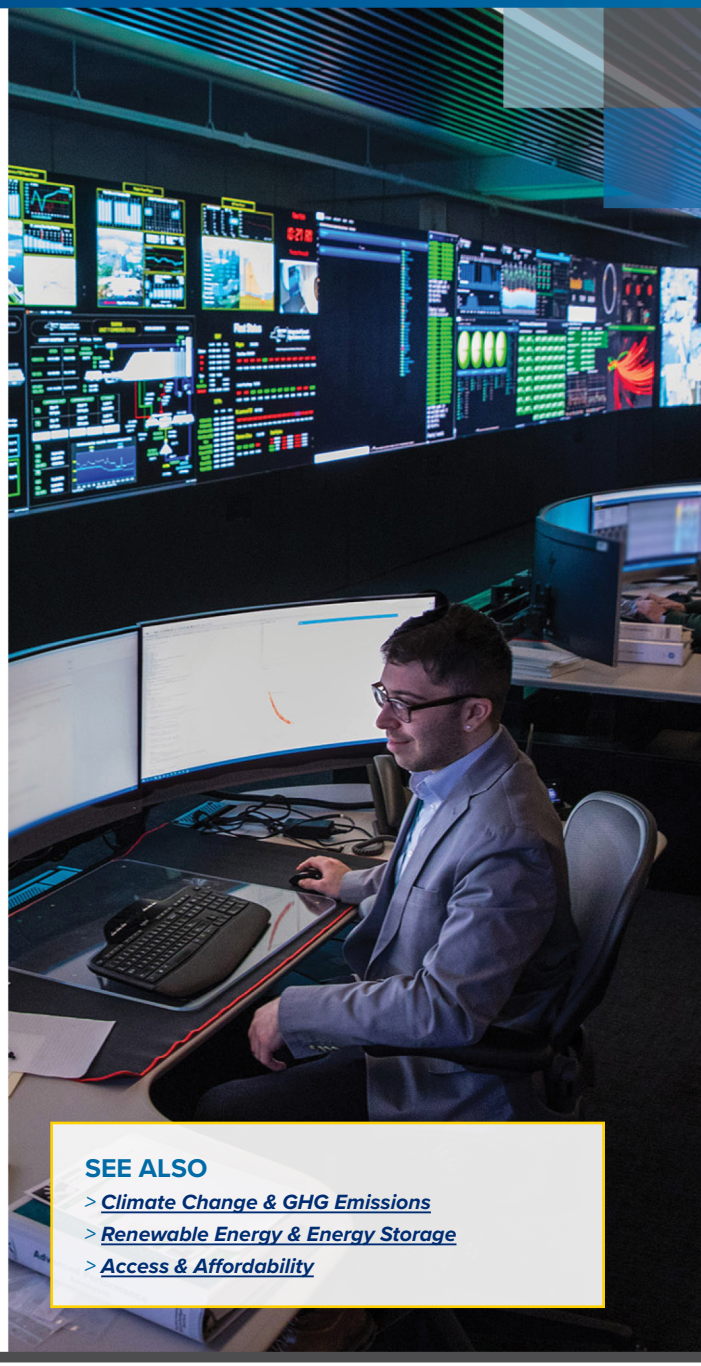
> Ratify, adopt and refresh enterprise and regional asset management objectives (AMO) through scenario planning

> Identify operational opportunities by assessing risks, options exercises, and capital/operations and maintenance (O&M) investments

> Execute a six-year plan to establish frameworks for asset management decision-making and risk assessments

> Promote an asset performance management culture by optimizing training and communications

> Partner with industry to benchmark asset performance and measure value



SEE ALSO

> *Climate Change & GHG Emissions*
> *Renewable Energy & Energy Storage*
> *Access & Affordability*

Energy Efficiency & Electrification

Electrification and energy efficiency of NYPA and Canals' infrastructure, including buildings, facilities and vehicle fleet

Buildings and transportation account for a combined 70% of GHG emissions in New York State, underscoring the importance of energy efficiency and electrification in achieving clean energy goals.

NYPA and Canals are committed to leading by example in the energy efficiency and electrification of buildings and vehicles, in alignment with the CLCPA, *New Efficiency: New York* and BuildSmart 2025.

BUILDINGS

NYPA's building portfolio includes 120 buildings, spanning over three million square feet. Approximately 40% of these buildings serve administrative and support functions, with the remainder housing generation and transmission assets. Most NYPA buildings use electricity from hydroelectric generating facilities, while other buildings use electricity generated from NYPA's natural gas power plants and some administrative offices use purchased electricity.

The Canals building portfolio consists of 121 facilities spanning over 250,000 square feet, including locks, warehouses and offices that all use purchased electricity.

NYPA has a target under BuildSmart 2025 to reduce building energy use by 0.12 Trillion British Thermal Units (TBtu) by 2025 from a Fiscal Year (FY) 2014-2015 baseline.*

TRANSPORTATION

NYPA's vehicle fleet consists of 303 light-duty vehicles, 147 medium-duty vehicles and 39 heavy-duty vehicles. Canals' vehicle fleet consists of 123 light-duty vehicles and 122 medium-duty vehicles.

NYPA has set an ambitious goal to electrify the light-duty fleet 50% by 2025 and 100% by 2030, exceeding the Zero Emission Vehicles Memorandum of Understanding (ZEV MOU) 25% by 2025 target. The organization has also set a goal to reduce the GHG intensity and absolute GHG emissions of NYPA fleet vehicles 25% by 2025 and 40% by 2030, from a FY 2014-2015 baseline.

**The Canals target is not yet confirmed.*

GOAL 1

Increase the efficiency of buildings and maximize onsite renewable energy capacity to reduce building load and work toward net zero

STRATEGIES

> Adopt advanced standards for new construction (including Net Zero Energy/Net Zero Carbon)

> Install submeters, identify energy efficiency and electrification opportunities and develop project pipeline for BuildSmart 2025

> Install intelligent controls to enable better equipment scheduling and management, and implement equipment upgrades and other energy efficiency and electrification improvements

> Install onsite renewables across our facilities, including rooftop solar and vertical axis wind units

> Benchmark and track building energy performance through the NY Energy Manager

INITIATIVE SPOTLIGHTS

BUILDSMART 2025 - NYPA

Under BuildSmart 2025, we are developing a pipeline of building energy efficiency and renewable energy projects with the target of 0.12 TBtu in savings for NYPA (2015-2025), including:

> **Advanced building management systems and heating, ventilation and air conditioning (HVAC) controls**, which maintain building comfort and can reduce energy consumption by as much as 20%

> **Lighting upgrades**, which increase efficiency, improve safety and lower maintenance requirements

> **Building envelope improvements**, which minimize temperature loss, save energy and increase comfort

> **Onsite renewable energy installations**, which will help reduce facility electrical loads

ONSITE RENEWABLE ENERGY PROGRAM

We are implementing a program to install small-scale renewable energy installations at our facilities. In 2020, a feasibility assessment was completed at NYPA sites for solar photovoltaics (PV) and vertical-axis wind applications. The first project—a 377.5 kilowatt (kW) rooftop solar array at the Zeltmann Power Project—is now underway. This installation, along with four vertical axis wind units previously installed, will help to offset facility electrical load and associated GHG emissions. Projects will be implemented at other sites in 2022.

BUILDING ELECTRIFICATION

NYPA will assess electrification opportunities for heating and cooling and identify opportunities to demonstrate ground source and air source heat pumps.

As outlined in *New Efficiency: New York*, building space and water heating and space cooling account for up to one-third of New York State's energy consumption and GHG emissions. Heat pumps provide an effective solution. While they increase electricity consumption, they reduce onsite use of fossil fuels and, if coupled with electricity from renewable sources, can eliminate emissions from heating and cooling entirely.

GOAL 2

Promote vehicle electrification and reduce GHG emissions from vehicle fleet and commuting

STRATEGIES

> Replace internal combustion vehicles with electric and plug-in hybrid vehicles

> Promote vehicle right-sizing and purchase smaller, more efficient vehicles where feasible to reduce fuel consumption

> Test emerging electric technologies and low-carbon fuels in medium- and heavy-duty applications

> Complete installation of charging infrastructure to support fleet electrification target

> Promote car-pooling, video conferencing and use of public transportation to reduce total fleet miles traveled

> Encourage employee adoption of electric vehicles (EV) by expanding workplace charging infrastructure to accommodate future demand

> Promote alternative transportation commuting options such as biking and walking

INITIATIVE SPOTLIGHT

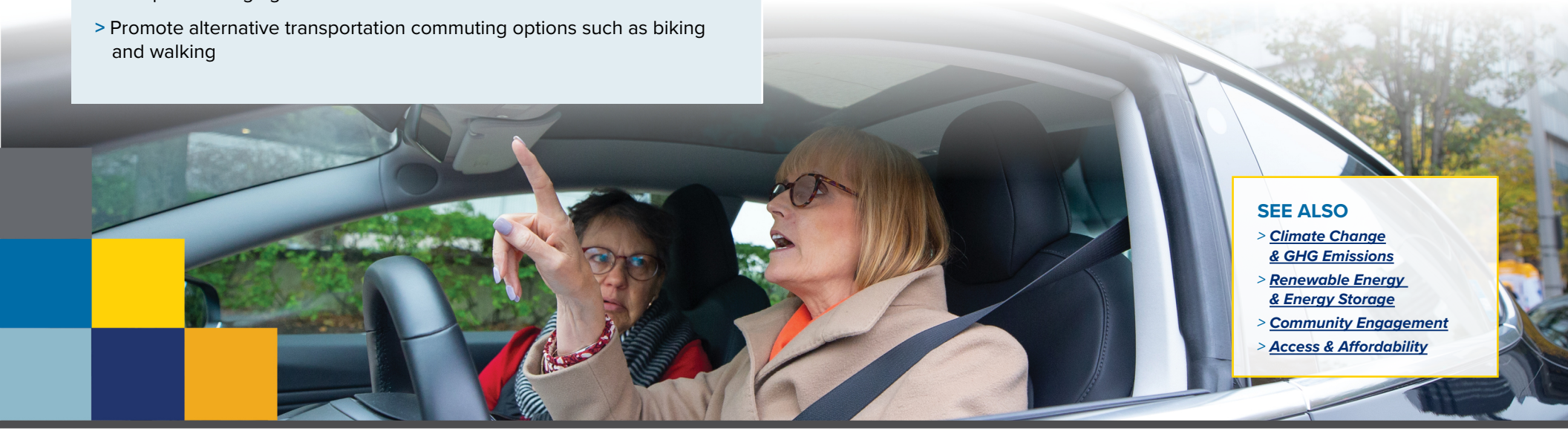
VEHICLE ELECTRIFICATION

NYPA is implementing a range of programs to accelerate EV adoption and reach our fleet targets.

> **Fleet Electrification:** NYPA is replacing all light-duty fleet vehicles with electric vehicles and plug-in hybrids, and is increasing the number of charging stations at all sites to support the fleet electrification target.

> **Workplace Charging:** Employees at all NYPA facilities are participating in the Workplace Charging Program which provides guaranteed charging access during work hours. The program reduces concerns about vehicle range to make EVs a good commuting option for many employees.

> **Electric Vehicle Training:** Education plays an important role in advancing vehicle electrification goals. EV ride and drive events, fleet trainings and public engagement trainings are provided on a regular basis.



SEE ALSO

> *Climate Change & GHG Emissions*
> *Renewable Energy & Energy Storage*
> *Community Engagement*
> *Access & Affordability*

Environmental Stewardship

Management and minimization of water, waste and air effluent and emissions, conservation of natural resources, promotion of biodiversity, and increased resilience and carbon sequestration on land owned or managed by NYPA and Canals

NYPA's operations span more than 80,000 acres of water and land. NYPA owns 12,000 acres of forested and non-forested land, including facility grounds, parks, wildlife areas and rights of way (ROW), and manages an additional 24,000 acres of privately owned land through ROW easements. The remaining acreage is comprised of water. Canals' operations span over 38,500 acres of water and land, with 22,900 acres of canal-adjacent areas that include facility grounds and public access points.

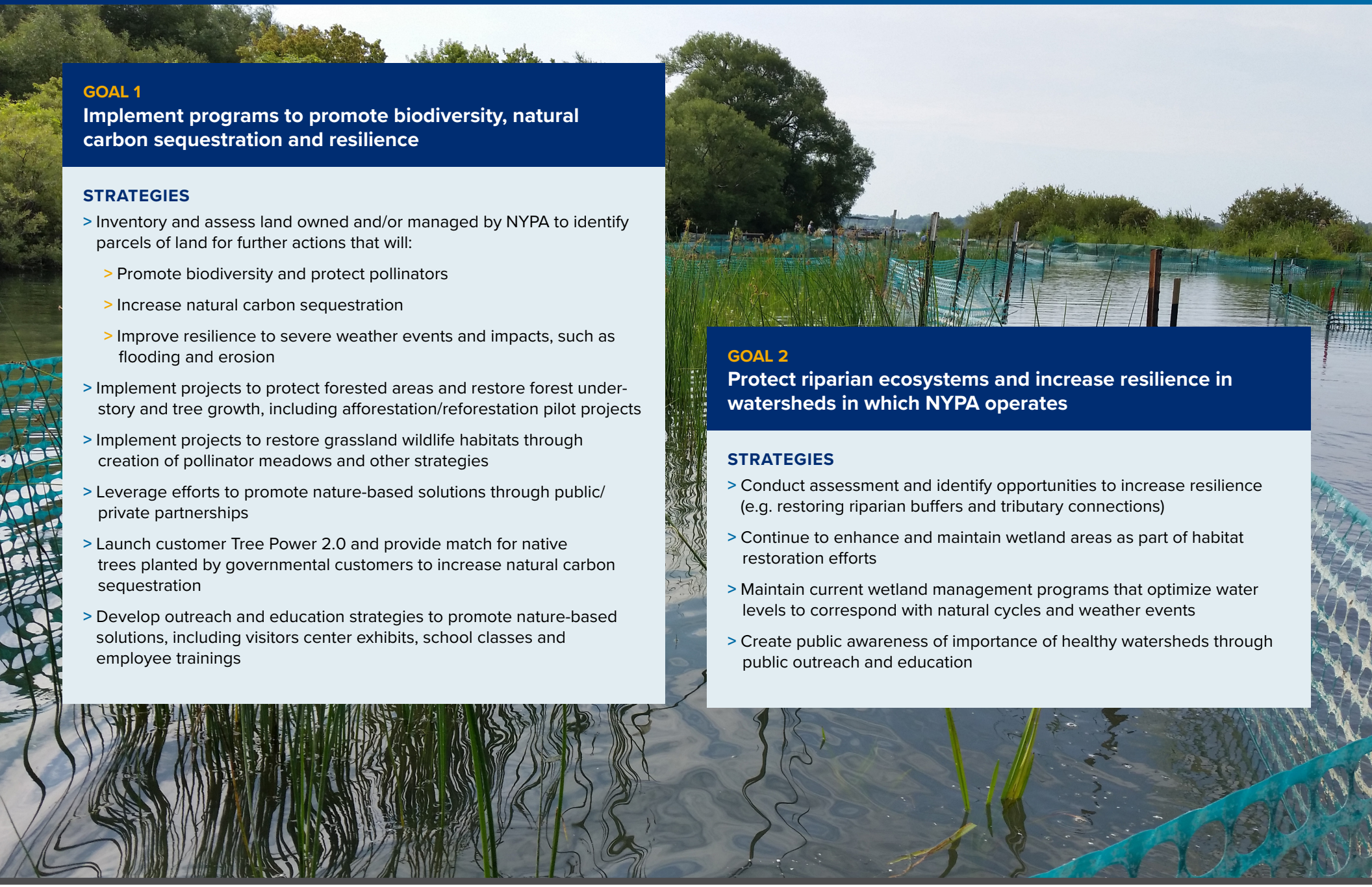
Over 80% of NYPA's power generation is hydro. The remainder is from our natural gas plants, and also relies on water for its processes. In accordance with NYPA's obligations to water managing agencies, including the International Joint Commission and the New York State Canal Corporation itself, we work to reduce our impact on groundwater aquifers and surface water sources.

Canals manages water levels across the system to allow for commercial and recreational navigation while directly and indirectly supporting supplemental uses such as irrigation, fish habitat enhancement and municipal/ private water use. Canals operates as a non-traditional Municipal Separate Storm Sewer System (MS4) to reduce pollution to water through education and system monitoring.

We rely on these lands and waterways to successfully operate our business and serve our customers and communities, and as stewards of our natural resources, we are committed to conserving and protecting them. For NYPA, this is also a key requirement of state and federal re-licensing and permitting of our hydroelectric generating and transmission facilities.

COMPLIANCE NOTE

Compliance-related objectives and strategies are not included in this section. NYPA and Canals maintain compliance with existing and future federal and state environmental regulations and legislation for management of water, hazardous waste and air emissions.



GOAL 1

Implement programs to promote biodiversity, natural carbon sequestration and resilience

STRATEGIES

- Inventory and assess land owned and/or managed by NYPA to identify parcels of land for further actions that will:
  - Promote biodiversity and protect pollinators
  - Increase natural carbon sequestration
  - Improve resilience to severe weather events and impacts, such as flooding and erosion
- Implement projects to protect forested areas and restore forest understory and tree growth, including afforestation/reforestation pilot projects
- Implement projects to restore grassland wildlife habitats through creation of pollinator meadows and other strategies
- Leverage efforts to promote nature-based solutions through public/private partnerships
- Launch customer Tree Power 2.0 and provide match for native trees planted by governmental customers to increase natural carbon sequestration
- Develop outreach and education strategies to promote nature-based solutions, including visitors center exhibits, school classes and employee trainings

GOAL 2

Protect riparian ecosystems and increase resilience in watersheds in which NYPA operates

STRATEGIES

- Conduct assessment and identify opportunities to increase resilience (e.g. restoring riparian buffers and tributary connections)
- Continue to enhance and maintain wetland areas as part of habitat restoration efforts
- Maintain current wetland management programs that optimize water levels to correspond with natural cycles and weather events
- Create public awareness of importance of healthy watersheds through public outreach and education

INITIATIVE SPOTLIGHT

PROTECTING AND RESTORING HABITATS

NYPA is implementing a range of programs and strategies to promote biodiversity, enhance natural carbon sinks and increase resilience to climate impacts.

HABITAT IMPROVEMENT PROJECTS

> As part of state and federal relicensing and permitting of our hydroelectric generating facilities, we continue to restore and maintain wetlands and other wildlife habitats across NYPA-owned lands.

ROW INTEGRATED VEGETATION MANAGEMENT (IVM) PROGRAM

> NYPA's IVM program selectively controls tall growing plants and promotes sustainable, compatible vegetation with minimal disturbance, thus supporting a rich pollinator habitat along the ROWs and protecting natural carbon sinks.

POLLINATOR INITIATIVE

> NYPA is creating pollinator gardens and meadows at visitors centers and other locations. The first pollinator garden will be completed at NYPA's Power Vista Visitors Center in Niagara in 2021.

NATURE-BASED APPROACHES TO CLIMATE CHANGE ADAPTATION AND MITIGATION

The CLCPA sets a target of carbon neutrality by 2050, including up to 15% negative emissions to offset those that cannot be reduced with technology. Ecosystem-based restoration and biodiversity management are identified as critical strategies for increasing resilience to changing weather patterns and achieving net zero.

GOAL 3

Reduce the frequency, magnitude and duration of high water levels that lead to flooding along the Canal System

STRATEGIES

> Work with technical and regional councils to communicate about Canal infrastructure, operations and land use

> Repurpose existing Canal infrastructure and develop a long-range program to mitigate summer and winter flooding, restore ecosystems and increase irrigation

> Identify and engage stakeholders in flood prone areas

INITIATIVE SPOTLIGHT

WESTERN WATER MANAGEMENT, IRRIGATION AND FISHING

Canals aims to increase local farmers' high-value crop yield, recreational fishing and angling-related regional tourism. Illustrative examples of ongoing projects that support these goals include:

> Utilizing **existing infrastructure, a newly developed incentive program and Erie Canal water** to increase agricultural irrigation in Western New York and enable farmers to invest in high-value crops

> Adjusting **Canal water flows in Lake Ontario tributaries** to optimize environmental benefit to fish and expand opportunities for recreational fishing and angling-related tourism

> Reconstructing **water-release gates** to more efficiently regulate water flows and discharges

INITIATIVE SPOTLIGHT

ICE JAM MITIGATION PROGRAM

The Mohawk River portion of the New York State Canal System is plagued by serious flooding from summer storms and winter ice jams, both of which are exacerbated by climate change. This project will mitigate the effects of ice jams to reduce flooding and improve forecasting and early-warning systems.

GOAL 4
Minimize the impact of non-operational water use and increase water efficiency

STRATEGIES
> Install water meters where necessary and establish baselines

> Identify opportunities to reduce water use (e.g., cooling systems, bathroom/kitchen fixtures, landscape irrigation) and establish project pipeline

> Install green infrastructure to further conserve water resources and increase resilience (e.g., green roofs, permeable paving, rain gardens)

GOAL 5
Reduce waste generation and divert recoverable materials and recyclable waste from landfill and incineration

STRATEGIES
> Implement redesign, reduction, reuse and recycling strategies and provide employee training

> Improve waste sorting capabilities at each NYPA and Canals site

> Develop partnerships with local communities to donate goods or materials

> Develop processes to improve the accuracy of waste data tracking and reporting

INITIATIVE SPOTLIGHT

ZERO WASTE TO LANDFILL PROGRAM

The Zero Waste to Landfill program is a long-term initiative across our sites. We will conduct a zero-waste assessment of 20 NYPA and nine Canals sites to identify redesign, reduction, reuse and recycling strategies, and establish diversion rate milestones and targets. A Zero Waste Team will be formed to coordinate site efforts.

SEE ALSO
> *Climate Change & GHG Emissions*

NEW YORK STATE OF OPPORTUNITY. | NY Power Authority | Canal Corporation

Social

Health & Safety

Promotion and management of physical and mental health and safety in the workplace, and prevention of harm in the communities in which NYPA and Canals operate

The health and safety (H&S) of NYPA and Canals employees is critical to business performance, resilience and reliability.

In addition to creating work environments and communities that are free from recognized hazards and comply with applicable statutory and regulatory standards, we are also invested in promoting mental well-being in the workplace.

NYPA and Canals' H&S management aligns with best practices identified by The National Institute for Occupational Safety and Health (NIOSH), the National Fire Protection Association (NFPA) and the Institute of Electrical and Electronics Engineers (IEEE).

NYPA and Canals are subject to regulation of the New York State Department of Labor Public Employee Safety and Health Bureau (NYSPESH), created in 1980, which enforces safety and health standards promulgated under the United States Occupational Safety and Health Act and Coast Guard Regulations.

GOAL 1

Support employee physical and mental well-being to create a more resilient workforce

STRATEGIES

> Implement mitigation policies to adequately respond to COVID-19 and potential future pandemics

> Provide all employees an opportunity to receive a flu shot at their work site

> Provide free and confidential support and counseling through the Employee Assistance Program

> Sustain a culture of mindful action, mental agility, focus and well-being through education and communications

> Provide mindfulness sessions, monthly webinars, training and online tools through the “Be Mindful” initiative

INITIATIVE SPOTLIGHT

BE MINDFUL

The organization-wide “Be Mindful” initiative provides regular programming on the benefits of mindful action at work and shares tools for physical and mental well-being, focused around the following components.

> **Resilience:** Supporting adaptability through uncertainty to create a more resilient workforce

> **Focus:** Improving rational decision-making in high-stakes environments to increase workplace focus and awareness

> **Well-being:** Managing stress through improved physical and mental well-being, while also helping to develop individuals’ capacity to empathize with the challenges of others

GOAL 2
Ensure health and safety of employees working at NYPA and Canals sites and projects

STRATEGIES

> Support facilities and business units in the development, implementation and maintenance of H&S policies

> Conduct regular safety inspections and tailgate safety talks at all sites

> Encourage employees to report near misses and safety issues

> Conduct internal and third-party audits of the NYPA and Canals H&S program every three years

> Provide yearly H&S training to all employees in accordance with applicable statutes, regulations and other standards

> Provide digital courses on safety practices

GOAL 3
Support public safety in the communities that host NYPA and Canals facilities

STRATEGIES

> Ensure facilities and business units institute public safety policies which include the appropriate level of community involvement

> Develop and foster relationships with agencies that share a focus on public safety and operate in these same communities

> Conduct annual review of Emergency Response Plans, inclusive of stakeholder engagement and public outreach

> Review and expand public safety signage and protocols

SEE ALSO

> *Employee Development*

> *Cyber & Physical Security*

Employee Development

Attraction and retention of talent, and the development of NYPA and Canals employees

Employee development at NYPA and Canals focuses on growing and retaining a diverse workforce. NYPA aims to curate the most appropriate learning experiences for professional and personal growth. Our employee development approach encourages employees to take ownership and immerse themselves in their career development.

Adapting to the changing energy industry landscape requires new skills and ways of working. NYPA is committed to investing in our employees through a targeted workforce plan that supports the recruitment, development, training and retention of employees with the skills and capabilities needed to effectively deliver VISION2030.

As a testament to the strength of the employee development programs, **NYPA has been awarded the *Forbes Best Mid-Size Employer* distinction in 2018, 2019 and 2021.**

GOAL 1

Engage and develop a resilient workforce at NYPA

STRATEGIES

> Provide transparency regarding career development opportunities, including the skills and experience needed to advance professionally

> Provide employee training and development programs that advance VISION2030

> Leverage leading technologies to create engaging experiences for employee and talent development

> Promote the Eureka! program as forum for employees to share ideas

> Integrate the organizational values to continue to foster a mission-driven, forward-thinking and inclusive culture

> Issue an organization-wide survey to assess employee engagement

> Inform employees of Total Rewards benefits to communicate the value of working at NYPA

> Conduct succession planning exercises to identify critical roles and develop employees to ensure continuity of operations

INITIATIVE SPOTLIGHTS

TRAINING AND DEVELOPMENT

NYPA has created comprehensive training and development programs for individuals, teams and management. Goals are cascaded throughout the organization annually to align with and support the implementation of VISION2030. Programs include:

> Customized teambuilding activities to engage employees in performance-enhancing behaviors

> Curated learning curriculum to develop knowledge and skills that enable high performance

> Immersive learning experiences, including The Blue Standard suite of manager and leadership training programs and access to an employer paid onsite MBA program—in partnership with a nationally recognized sustainable business program

EUREKA! INNOVATION PROGRAM

The Eureka! Innovation Program provides a forum for employees to share innovative ideas on a range of topics, including operational improvements, sustainability opportunities, and employee and community engagement. Ideas submitted are assigned to Innovation Stewards and reviewed by an expert evaluation committee.

GOAL 2
Attract talent to shape NYPA's organizational culture and future growth

STRATEGIES

> Communicate transparently with new employees on career development opportunities within the organization

> Leverage technologies for talent acquisition

> Provide onboarding programs for new employees

> Map job roles and skills throughout the organization to provide clarity on career opportunities and the skills and experience needed to advance

GOAL 3
Shape Canals' organizational culture and future growth

STRATEGIES

> Provide comprehensive training and development programs to improve skills and competencies aligned to VISION2030

> Leverage leading technologies to create engaging experiences for employee and talent development

> Bring the Eureka! program to Canals as a forum for employees to share ideas

GOAL 4
Cultivate a sustainability mindset throughout the NYPA and Canals workforce

STRATEGIES

> Promote a sustainability mindset through educational programming, including courses, campaigns and events

> Utilize change management approaches to embed sustainability principles in day-to-day decision-making

> Develop targeted training on workplace practices and procedures

SEE ALSO

> *Diversity, Equity & Inclusion*

Diversity, Equity & Inclusion

Commitments and actions that build and maintain a diverse, equitable and inclusive culture in the workplace and across NYPA and Canals' value chain

NYPA and Canals are committed to creating a diverse, equitable and inclusive culture in the workplace and across the value chain. This includes:

- Fostering an internal culture of inclusion
- Developing leading practice DEI programs
- Ensuring a diverse supply chain
- Reinforcing commitments to environmental justice

DEI is a top corporate priority and foundational pillar of VISION2030. We recognize that a utility requires a dynamic workforce and rich culture that is truly representative. While NYPA has had a robust and wide-reaching DEI initiative, starting with the creation of the Office of Civil Rights & Inclusion (OCRI), we recently doubled our investment in DEI and crafted an enterprise-wide portfolio to ensure we are an employer of choice within the utility industry.

These commitments are outlined in our **Ten-Point Diversity, Equity and Inclusion Plan**, developed in alignment with the CLCPA.

EXECUTIVE ORDER 187 (EO187)
Instituted in 2018, EO187 establishes the Governor's Executive Committee for Diversity, Inclusion and Equal Opportunity, presents statewide objectives, and sets guidelines for agencies and authorities to prepare diversity and inclusion plans.

EMBEDDING DEI ACROSS THE ENTERPRISE

The DEI team works closely with other business units to integrate DEI commitments into our community and supply chain programs, including:

> Establishing community-based Science, Technology, Engineering and Mathematics (STEM), student internship and mentorship programs to increase the pipeline of diverse utility and clean energy workers

> Creating an enterprise-wide employee service program dedicated to community volunteer activities

> Continuing to prioritize commercial operations investments in historically disadvantaged communities

> Building capacity and access for diverse firms and increasing NYPA and Canals' spending with local and diverse suppliers

GOAL 1
Promote a culture of diversity, equity and inclusion at NYPA through education

STRATEGIES

> Accelerate and expand training to employees on behaviors, principles and skills that ensure a culture of civility and respect and support an inclusive workforce (e.g., unconscious bias training)

> Expand Employee Resource Groups (ERGs) and bring to NYPA sites

GOAL 2
Ensure employee and leadership accountability

STRATEGIES

> Conduct audits on programs, policies and governance

> Develop advanced metrics and key performance indicators

GOAL 3
Increase the transparency of DEI programs, practices and policies

STRATEGIES

> Expand partnerships with professional organizations and leadership programs to strengthen the pipeline of Black employees

> Develop, expand and refine policies, procedures and programs for increased transparency

SEE ALSO

> *Community Engagement*
> *Access & Affordability*
> *Supply Chain & Procurement Practices*

Community Engagement

Interaction and communication with community members and organizations, customers and other stakeholders in the areas in which NYPA and Canals operate

NYPA and Canals seek to establish and maintain relationships with community stakeholders across New York State, including customers, stakeholders in historically underserved communities and elected officials.

We are committed to ensuring the areas in which we operate have access to clean, renewable energy that creates jobs and continues to foster a green economy. These community engagement efforts are aligned with our mission and values, as well as VISION2030 and CLCPA's goal to drive decarbonization and a just transition in New York State.

Visitors Centers—*located in Niagara, St. Lawrence, Blenheim-Gilboa and the forthcoming New York Energy Zone in Utica*—and Nature Centers—*including the Nicandri Nature Center in Massena*—serve as educational resources for local communities and tourist attractions that support the local economy.

GOAL 1

Conduct outreach and education and provide programs and services to local communities and key stakeholders

STRATEGIES

- Participate in and support industry conferences and public events to communicate NYPA and Canals' goals to the greater community
- Establish relationships and communicate regularly with community leaders, providing updates on NYPA and Canals' programs and relevant legislation
- Collaborate across NYPA business units to develop programs that address specific community needs
- Expand outreach and education to increase awareness of NYPA and Canals' programs and their benefits to the community

INITIATIVE SPOTLIGHT

SUSTAINABILITY ENGAGEMENT AND EDUCATION

NYPA is dedicated to increasing public awareness around sustainability and climate change, promoting sustainable practices and encouraging the adoption of clean energy technologies. Business units collaborate to provide a variety of programs that meet community needs. These include educational tours of NYPA visitors and nature centers, STEM camps, classes for school groups on topics such as biodiversity and pollinators, and public events such as EV ride and drives.

NYPA also partners with training institutions and industry groups to promote organizational and New York State climate and sustainability initiatives.

GOAL 2

Engage with and support historically underserved communities located near NYPA facilities and contribute to New York State's just transition

STRATEGIES

> Foster open and proactive dialogue with EJ communities to broaden relationships with stakeholders

> Catalyze STEM learning opportunities for EJ communities to foster pathways for training and workforce development in the utility industry

> Deliver community energy literacy programs for adults, community educators and teachers

> Develop energy efficiency, clean energy and electrification demonstration projects

Environmental Justice (EJ) at NYPA is driven by a commitment to be a good neighbor to historically disadvantaged and marginalized communities located near our statewide facilities, assets and programs *(four-mile radius in an urban area, 10-mile radius in a rural area)*.

INITIATIVE SPOTLIGHT

ENVIRONMENTAL JUSTICE COMMUNITY VOLUNTEER CORPS

NYPA aims to create an enterprise-wide employee service program dedicated to racial justice through our clean energy business programs, such as community solar, and energy efficiency work in environmental justice communities.

This public service initiative provides the opportunity for employees to share their skills and expertise in diverse host communities and for local residents to engage directly with employees.

INITIATIVE SPOTLIGHT

FUTURE ENERGY LEADER PROGRAMS

NYPA's Ten-Point Diversity, Equity and Inclusion Plan includes a focus on supporting communities of color through a partnership with the American Association of Blacks in Energy (AABE).

Programs are designed to broaden NYPA's community-based STEM, student internship and mentorship programs to increase the pipeline of diverse utility and clean energy workers.

- **P-TECH Scholars Program:** The Pathways in Technology Early College High School (P-TECH) Program enables students located in historically under-resourced schools to begin their college and professional lives with more support than the typical school-to-work pathway. As an industry partner, NYPA selects public schools near our facilities. Students follow a utility-focused curriculum enhanced by mentorships, career centered events, paid internships and job shadowing to earn an associate degree at no cost. NYPA aims to establish 10 P-TECH partnerships by 2025.
- **The NYPA Future Energy Leader Scholarship:** NYPA will award 20 annual regional scholarships to high school students residing in historically disadvantaged communities near NYPA assets, for pursuit of energy-related STEM degrees.

GOAL 3

Build and sustain relationships with local, state and other government officials, and educate key stakeholders on NYPA and Canals programs

STRATEGIES

> Communicate regularly with key stakeholders to gain support for NYPA and Canals projects

> Develop a federal-level legislative tracking program to serve as a resource for managing NYPA's interests in Washington D.C., to be modeled after existing state-level legislative programming

GOAL 4

Enhance customer relationships and serve as a trusted energy advisor through frequent customer engagements

STRATEGIES

> Engage customers and key stakeholders at the community, New York State and vendor levels in supporting NYPA's environmental, social justice and economic objectives

> Expand customer engagement methods and programs, with a goal of 600 touchpoints per month, to reinforce NYPA's position as trusted energy advisor

INITIATIVE SPOTLIGHT

CUSTOMER ENGAGEMENT PROGRAM

NYPA has a robust customer engagement program that targets 600 customer touchpoints per month. Key initiatives reinforcing NYPA's end-to-end customer offerings include:

> **Customer Digital Experience (CDEx):** Creates a best-in-class, easy-to-navigate digital experience for NYPA customers via a collaborative roadmap that is regularly updated with customer input. Implemented and planned initiatives include a customer portal, energy efficiency project dashboards, billing enhancements, integrations with NY Energy Manager, a CRM transformation project and more personalized customer communications.

> **Voice of Customer (VoC):** Allows NYPA to systematically and routinely solicit, disseminate and act on feedback from customers and identify key drivers of customer satisfaction—targeting more than a 10% improvement in customer satisfaction by 2030.

> **Customer-First Sales Enablement:** Supports a customer-first approach by creating a new products and services website to show all product offerings, providing resources and information through targeted marketing campaigns, collateral, digital assets and videos, and leveraging data to drive deeper customer partnerships.

> **Account Plans and Executive Contact Programs:** Engages the largest, most strategic customers on their needs and planning processes in environmental, social justice and economic areas.

SEE ALSO

> *Diversity, Equity & Inclusion*

> *Access & Affordability*

Access & Affordability

Affordability and accessibility of services across customer types in the communities in which NYPA operates

We support New York State's vision for a just and equitable energy transition, as outlined in the CLCPA. NYPA's low-cost power supports all customers, including municipal and rural cooperatives. Access to affordable energy and energy services bolsters community livelihoods and facilitates economic development.

Our efforts to provide low-cost, carbon-free and accessible energy services include:

- Providing consulting services on energy efficiency, distributed energy resources and electric transportation
- Implementing turnkey energy efficiency, solar and electric transportation projects-
- Installing charging infrastructure in public locations to support EV adoption

As part of our commitment to access and affordability, NYPA is making the following investments:

- Up to $3 billion in financing for energy efficiency projects at customer facilities by 2030:
  - $1.9 billion for the Southeast New York Governmental Services Program
  - $1.1 billion for the Statewide Energy Services Program
- $550 million of third-party investment in customer sited renewables by 2025, 40% of which will be sited in low- to moderate-income (LMI) communities
- Over $100 million in electric vehicle charging infrastructure across all 10 Regional Economic Development Councils by 2025, as part of **EVolve NY**

GOAL 1

Provide low-cost power to support the economic development, resiliency and reliability of municipal and rural cooperatives and the communities they serve

STRATEGIES

> Encourage participation in the Technology & Innovation Task Force and 1 Mil Adder fund, and provide assistance in identification of energy efficiency, renewable energy and other clean technologies

> Stimulate technology and business innovation through technology demonstrations, such as the electric bucket truck program

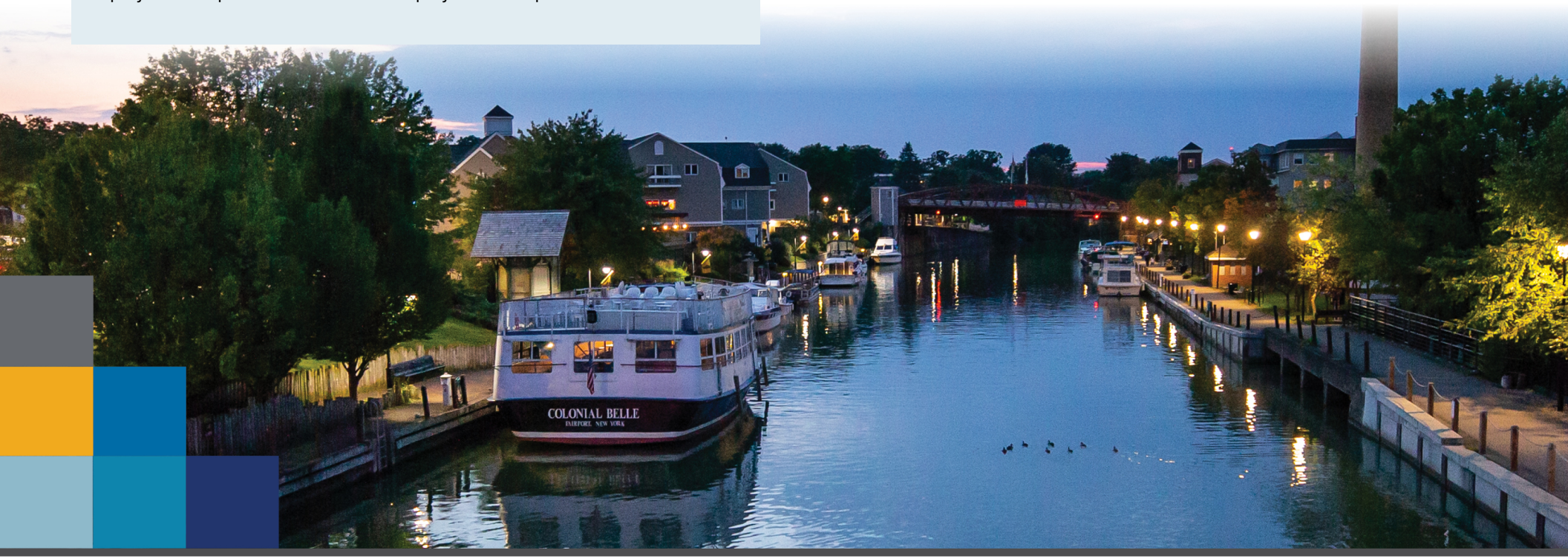
> Participate in a Joint Implementation Task Force, meeting regularly to track projects and provide assistance with project development for all customers

INITIATIVE SPOTLIGHT

INDUSTRIAL ECONOMIC DEVELOPMENT PROGRAM (IEDP)

Created in 1991 to optimize low-cost hydropower for economic development purposes, IEDP is an incentive for companies to locate in the marketing/franchise area of a municipal or rural electric cooperative. New and existing businesses planning expansion must demonstrate their long-term commitment to job creation and development or expansion of a facility.

As of 2021, the program has created or maintained approximately 15,000 jobs—6,000 supporting 22 electric utility customers and more than 9,000 established through 38 municipal or rural electric cooperative customers receiving low-cost power.



GOAL 2

Implement energy efficiency projects to reduce energy use and associated costs, as well as GHG emissions, in communities in which NYPA operates

STRATEGIES

> Provide $1.5 billion over five years in financing for energy efficiency programs

> Support 68 state agencies in achieving 11 TBtu savings by 2025 as part of BuildSmart 2025

> Convert 500,000 streetlights to light-emitting diodes (LEDs) by 2025 through Smart Streetlighting NY

> Provide advisory services and use of NY Energy Manager to assist customers in identifying opportunities for energy and cost savings

> Aid customers through the Energy Implementation Task Force in the development of new energy efficiency projects

INITIATIVE SPOTLIGHTS

SMART STREET LIGHTING NY

NYPA aims to convert 500,000 streetlights to energy-efficient LED lights across New York State by 2025. The streetlights will be outfitted with SMART controls that provide programmable dimming capabilities, energy metering, fault monitoring and additional tools for emergency services such as on-demand lighting level adjustments. LEDs achieve significant energy and cost savings. They also improve light quality which can lead to a reduction in crime and pedestrian and vehicle accidents, as well as support economic development opportunities for the local community.

BUILDSMART 2025: STATEWIDE

New York State has a target to reduce energy use by 185 TBtu by 2025, from a FY 2014-2015 baseline. BuildSmart 2025 directs state agencies and authorities to lead by example in this effort and reduce energy use by a total of 11 TBtu by 2025, with each organization allocated a portion of the total. The program applies to buildings 5,000 square feet and larger and incorporates energy reductions achieved from 2015 to 2020 under BuildSmart NY. NYPA is responsible for coordinating statewide efforts to deliver on this 11 TBtu goal.

GOAL 3
Provide customers affordable access to clean energy by increasing uptake of solar

STRATEGIES

> Leverage the Clean Energy Advisory Services team and Clean Energy Master Plans to make the business case for solar installations

> Support permitting and interconnection, conduct initial design of systems and support price negotiations

> Support customers in hosting and anchoring community solar projects for their constituents and stakeholder communities

GOAL 4
Promote adoption of EVs by developing charging infrastructure for government and public transport fleets, and the general public

STRATEGIES

> Offer EV charging infrastructure advisory services to customers

> Support installation of charging infrastructure for governmental customers through procurement, technical advisory services and construction management

> Provide master planning to transit agencies for bus procurement, charging infrastructure planning and workforce re-skilling, in partnership with NYSERDA

> Advance state policy to enable adoption of electric transit buses

> Install, own and operate DC fast charging network to provide access to fast charging infrastructure throughout New York State

> Raise awareness of the benefits of driving EVs through outreach and education

INITIATIVE SPOTLIGHT

EVOLVE NY

NYPA is building a network of fast, affordable and reliable public charging stations to increase adoption of EVs. Under this program, NYPA is investing over $100 million to install fast charging stations in key locations along major highways and at airports. Fast chargers are also being installed in municipal parking lots in downtown commercial revitalization areas to support the development of ten regional economic development zones.

SEE ALSO

> *Climate Change & GHG Emissions*
> *Energy Reliability*
> *Diversity, Equity & Inclusion*
> *Community Engagement*

Economic Development

Creation of more resilient communities and promotion of economic growth and local employment

Economic development at NYPA focuses on helping New York State's economy thrive by supporting its commerce, industry and communities with programs that drive capital investment and create jobs.

NYPA offers low-cost and renewable hydropower to support qualifying businesses and nonprofits in the Niagara region (Western New York Hydropower), counties near the St. Lawrence-Franklin D. Roosevelt Power Project (Preservation Power) and throughout the state (ReCharge NY). These programs are made available through a collaboration between state and local entities, such as Regional Economic Development Councils, the Empire State Development Corporation and industrial development agencies.

A significant portion of the benefits from our economic development activities flow to disadvantaged communities in the form of environmental value, jobs and capital investment.

COVID-19 RESPONSE

In response to the significant negative and long-term impacts of COVID-19 on New York State's economy, NYPA created the Economic Development Customer Assistance Program (EDCAP), which provides customers with assistance such as extended payment terms and additional hydropower.

NYPA remains committed to strengthening its support of New York State's economy, through times of hardship, unpredictability and prosperity.

GOAL 1

Support NYPA's economic development customers in achieving their energy and decarbonization goals, while also supporting their sustainable economic growth

STRATEGIES

> Offer low-cost hydropower and other incentives to eligible businesses and non-profits that commit to job retention/creation and capital investment in New York State

> Seek opportunities to promote new energy technologies and business innovations that will foster a clean energy economy

INITIATIVE SPOTLIGHTS

GREEN JOBS

NYPA is committed to supporting the development and retention of Green Jobs, with the target of developing 200 jobs by 2021. Green Jobs are any type of business role that produces goods and provides services that benefit the environment or conserve natural resources. These goods and services include research and development, installation and maintenance services related to:

> Renewable energy

> Energy efficiency

> Greenhouse gas and pollution reduction and removal

> Recycling and reuse

> Natural resources conservation

> Environmental education and training, compliance and public awareness

RECHARGE NY

Introduced in 2011, ReCharge NY provides 910 MW of hydro and market power to support economic development in the form of business attraction, expansion and retention across New York State.

Through the ReCharge NY program, qualifying businesses and nonprofits statewide can potentially lower their energy costs by using specially allocated NYPA power which is set aside by the state and the NYPA board for economic support. Companies receiving allocated power have made commitments such as remaining in the state, keeping or growing employment, expanding operations and/or making significant local investments in their businesses.

GOAL 2

Catalyze clean, diverse, inclusive and equitable economic growth in New York State

STRATEGIES

> Ensure economic development benefits from CLCPA implementation, including capital investments and job retention/ creation, flow to disadvantaged communities

> Stimulate clean energy opportunities, such as community solar Community Choice Aggregations (CCAs), for disadvantaged communities

> Ensure a minimum of 15% of the Proceeds fund programs are used to support energy-related projects

GOAL 3

Adaptively reuse Canals infrastructure and land bordering the waterways to improve recreational opportunities in neighboring communities

STRATEGIES

> Encourage private-sector funding as a means to leverage NYPA's investments in Canal revitalization

> Establish regional councils and a technical advisory council, to serve as channels for communication with stakeholder groups about Canal operations, economic development and resilience

> Invest in economic development projects that enhance water recreation, celebrate historic canal structures and develop canalside attractions

> Tie Canals' economic development efforts to recreational opportunities along the Empire State Trail

GOAL 4

Adaptively repurpose and reuse Canals infrastructure and land bordering the waterways to create economic opportunities for neighboring communities

STRATEGIES

> Develop a policy framework to increase public fishing rights access along Lake Ontario tributaries

> Identify opportunities for using Erie Canal infrastructure to expand irrigation for Western New York farms

INITIATIVE SPOTLIGHT

REIMAGINE THE CANALS

The *Reimagine the Canals* initiative celebrates historic canal structures, develops canalside attractions and activities, adaptively reuses canal infrastructure, and implements operational improvements to decrease cost and generate revenue.

Key projects to be developed and constructed by 2025 include:

> **Guy Park Manor:** a site being fully rehabilitated and reborn as a hospitality destination along the Mohawk River in Amsterdam, with a new pedestrian bridge to provide access to the Empire State Trail

> **Canastota Pocket Neighborhood:** developing a canalside pocket neighborhood at a former industrial property along the Old Erie Canal

> **Brockport Loop Pedestrian Bridge:** constructing a new pedestrian bridge to connect SUNY College at Brockport to the Empire State Trail

> **Cayuga Watercourse:** a new water sports course that will use existing canal infrastructure to control water flows

NEW YORK STATE OF OPPORTUNITY. | NY Power Authority | Canal Corporation

Governance

Enterprise Risk & Resilience

The identification, assessment, mitigation, monitoring and reporting of risks and impacts related to NYPA and Canals' activities, and the incorporation of risk management strategies to enhance enterprise resilience, including plans for emergencies and disasters, into both long-term planning and day-to-day operations

In alignment with VISION2030, we consolidated risk and resilience into one department to ensure resilience strategies effectively address and mitigate risks to NYPA and Canals, and to better prepare for a more distributed and uncertain operating environment.

NYPA and Canals' risk management and resilience efforts are a shared responsibility amongst all stakeholders. To protect and enhance the value we bring to New York State, we are implementing a governance framework and a system that provide transparency and visibility across the organization to ensure all leaders and personnel are equipped to identify typical and atypical emergent threats, understand risk/reward tradeoffs, develop mitigations in alignment with our risk appetite, undertake transparent decision-making and escalate challenges through numerous oversight functions.

In support of a forward-leaning, risk- and resilience-aware organizational culture, our approach leverages recurring touchpoints with the Board of Trustees and the Finance & Risk Committee, the EMC, the Executive Risk Management Committee and the NYPA Secure & Resilient Committee to validate and inform program frameworks, risk appetites, objectives and priorities. The tone set by our leadership and oversight bodies is cascaded across all echelons of the organization to enhance decision-making and minimize unnecessary risk.

GOAL 1

Protect and enhance the value of NYPA and Canals through effective risk management

STRATEGIES

> Integrate risk management across the organization to ensure risks are effectively identified, assessed, mitigated and monitored

> Continue to operationalize a robust risk governance structure and escalation path, inclusive of board oversight

> Support the development of a risk culture through training, participation in governance committees and transparent risk reporting

> Provide NYPA and Canals and our stakeholders with greater visibility into the organizations' risk profile and potential impacts

> Ensure broad participation in Executive Risk Management Committee meetings

GOAL 2

Ensure ESG-related issues are integrated in enterprise risk management processes and ESG-related risks are effectively measured and managed

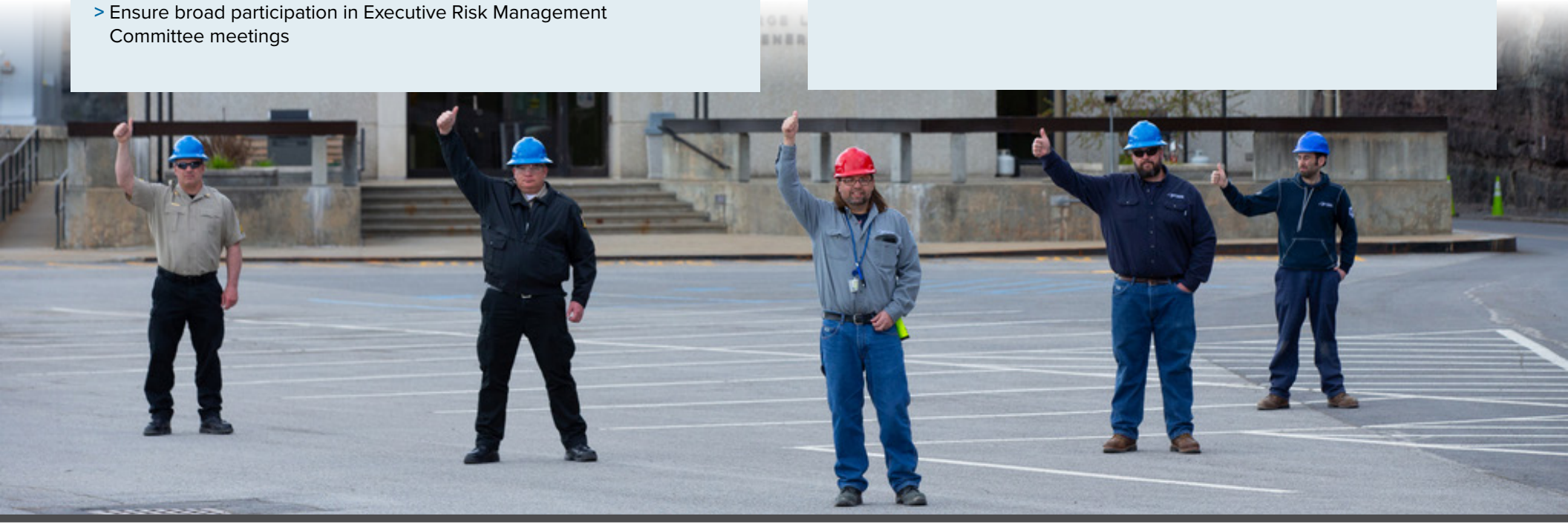
STRATEGIES

> Conduct annual review of existing risk registers, evaluation criteria, and management systems and programs to determine gaps in ESG coverage

> Provide effective challenge to ESG integration requirements and action planning

> Integrate ESG content into regular Enterprise Risk Management (ERM) reviews and engagements

> Ensure ESG issues are considered when evaluating new projects



GOAL 3

Embed resilience into NYPA's culture and collaborate with industry stakeholders to prepare for a more uncertain operating environment

STRATEGIES

- Implement processes for risk identification and mitigation, such as horizon scanning, scenario planning, threat analysis and vulnerability assessments
- Provide awareness and training to educate personnel on risk and resilience programs, processes and leading practices
- Work with regulators and industry to influence future mandatory reliability standards
- Develop and maintain partnerships with key industry and New York State entities to improve capabilities
- Participate in committees with industry partners to further NYPA's strategic position and showcase operational process efficiencies

AllWays Resilient

NEW YORK STATE OF OPPORTUNITY. | NY Power Authority

INITIATIVE SPOTLIGHT

ALLWAYS RESILIENT

To foster a resilience-aware culture, in 2020 NYPA launched its multi-year "AllWays Resilient" campaign featuring weekly FYIs, newsroom stories, fireside chats and panel interviews covering a range of resilience topics.

Regulatory Management & Compliance

Management and compliance with relevant federal, New York State and local environmental and socioeconomic laws and regulations

As the nation's largest state-owned public utility, NYPA is committed to ensuring all corporate and business unit policies, procedures and practices comply with the federal and state statutory, regulatory and industry requirements.

Beyond ensuring consistent compliance with current regulations as required by law, we are dedicated to monitoring future regulatory advancements by remaining proficient on relevant energy market issues that impact the implementation of renewable energy resources and transmission construction.

NYPA also actively participates in NYISO, PJM Interconnection LLC (PJM) and New York State's Transmission Owners (NYTO) meetings, when appropriate, to:

> Advocate for clean energy and smart transmission construction

> Assess opportunities to incorporate cost of carbon into energy prices

> Develop and implement equitable cost recovery mechanisms to allocate the costs of achieving a green new grid

GOAL 1

Remain up-to-date and proficient on statutes, regulations and standards applicable to NYPA and Canals and affecting employees and stakeholders

STRATEGIES

> Conduct advocacy, oversight and engagement with stakeholders across the organization to further NYPA and Canals' mission and strategy

> Actively participate in and monitor federal and state statutory and regulatory proceedings

GOAL 2

Develop and maintain H&S policies and procedures that describe expectations and accountability for compliance

STRATEGIES

> Participate in forums involving H&S topics, such as Power Apparatus, Mechanical Apparatus and Safety Administrator Committees

> Provide technical assistance in the review, interpretation and application of statutes, regulations and other standards relevant to H&S

> Monitor developments and changes to H&S rules and regulations and advise and support business units and operating projects

> Develop and implement site-specific H&S work procedures using applicable statutes, regulations, industry standards and corporate policies

> Ensure appropriate training of employees in accordance with applicable regulations and conduct safety meetings to bring awareness of safety issues to employees

GOAL 3

Develop and maintain environmental policies and procedures in alignment with relevant laws and regulations

STRATEGIES

> Conduct environmental reviews of proposed NYPA and Canals actions in accordance with state and federal laws and regulations, and NYPA and Canals' policies, procedures and environmental commitments

> Gain environmental licenses, permits and authorizations for new projects or expansions of existing facilities

GOAL 4

Ensure adherence to all applicable NERC Reliability Standards and promote an assertive and robust culture of compliance across NYPA through the Reliability Standards and Compliance Program

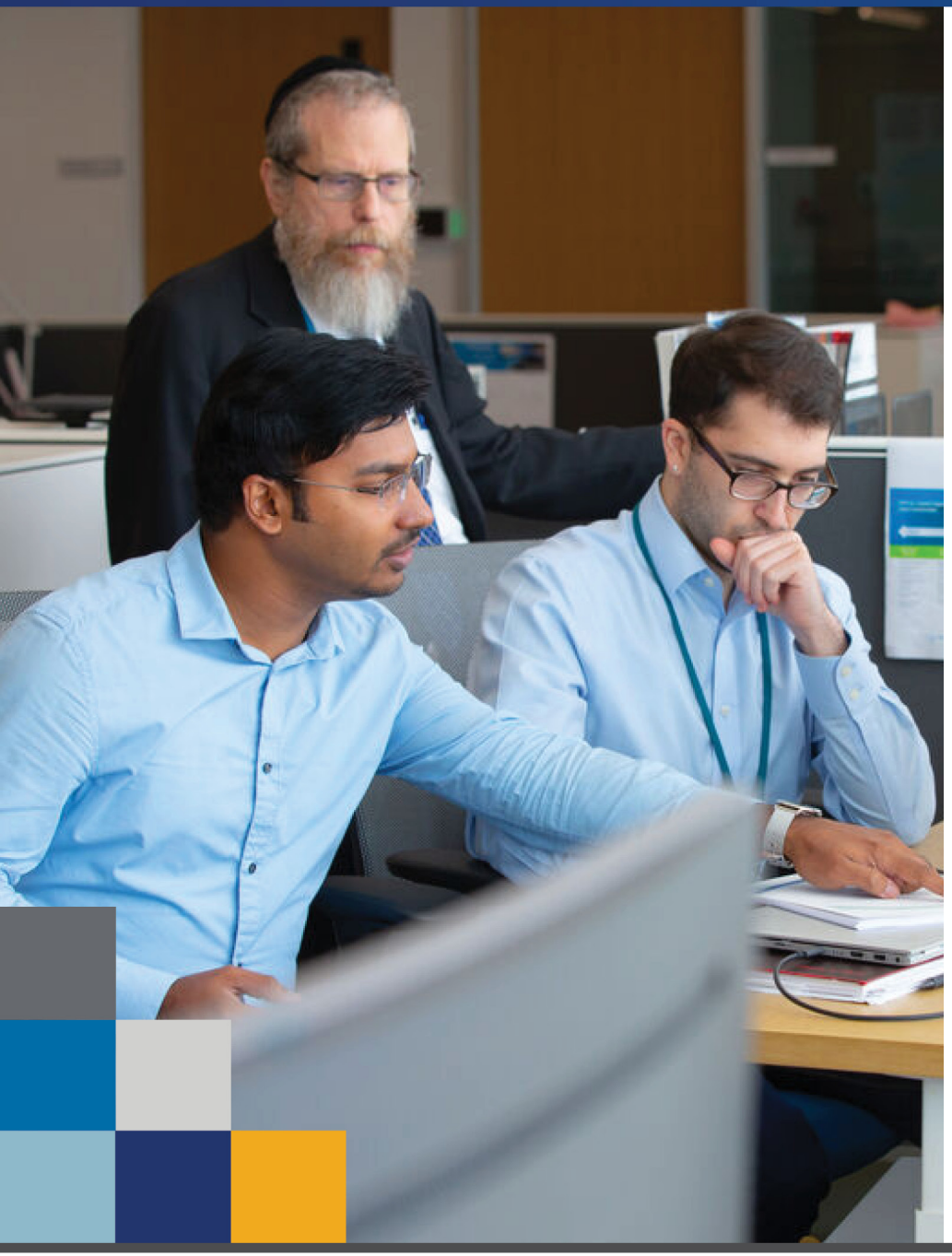
STRATEGIES

> Ensure the active participation of key executives, designated as program stakeholders, in compliance with policies and procedures

> Comply with all applicable Reliability Standards established by NERC and the NPCC, pursuant to NYPA's registrations under NERC's functional model

> Align internal compliance programs with NERC's Risk-Based Compliance Monitoring and Enforcement Program and monitor changes to ensure future compliance

> Facilitate broad compliance program awareness and participation across the organization



GOAL 5

Strengthen internal controls across the organization to improve business performance and protect NYPA and Canals from risks and compliance gaps

STRATEGIES

> Implement an enterprise-wide internal controls program consistent with the Internal Control Integrated Framework model developed by the Committee of Sponsoring Organizations of the Treadway Commission (COSO)

> Establish and maintain communication protocols for compliance reporting and standards for the maintenance of compliance evidence

> Evaluate existing business processes to identify any gaps impacting compliance with reliability standards

> Initiate and execute internal improvement plans to mitigate identified gaps/risks

> Implement remediation efforts and develop plan for the policy and procedural program refresh

SEE ALSO

> *Environmental Stewardship*
> *Health & Safety*

Cyber & Physical Security

Security of NYPA and Canals' network and infrastructure, as well as properties and personnel, including data protection and data breach risk minimization

Protecting NYPA and Canals from cyber and physical threats is critical to organizational safety, security and resilience.

By establishing a market-leading cyber and physical security program and building a work environment protected from cyber and physical threats, we strive to:

- Deliver secure solutions and services that advance our vision and support operations while helping to power New York State
- Increase organization-wide security awareness
- Ensure response readiness with actionable security standards and training
- Serve as a model of success for New York State utilities by promoting industry best practices in cyber and physical security

NYPA is subject to and complies with numerous laws and regulatory requirements, as well as NERC CIP compliance and FERC Hydrosecurity Standards.

GOAL 1
Protection of NYPA and Canals' business and operations systems from cyber and physical threats

STRATEGIES

> Implement cyber and physical defense programs to mitigate risk

> Assess, minimize, mitigate and respond to security threats and vulnerabilities

> Provide annual cyber and physical awareness and education programs designed to educate workforce on best practices

> Conduct continual technology defense improvements

> Implement advanced monitoring and detection capabilities

> Identify and minimize potential threats by conducting background screenings of employees, contractors and vendors

> Implement security controls for supply chain risk management in alignment with NERC CIP-013

> Ensure Board of Trustees and senior executives continue to provide management, oversight and communications support to advance security goals and strategies

GOAL 2
Maintain and grow partnerships and collaborations to gain better awareness of trending threats and enhance security of Bulk Electric System (BES)

STRATEGIES

> Develop collaborative pilot projects as part of NYPA's Cybersecurity Center for Excellence

> Participate in industry conferences and information sharing with peers

> Collaborate in information-sharing events and drills with government and industry partners

GOAL 3

Conduct internal drills to test the effectiveness and preparedness of NYPA and Canals' cyber and physical Incident Response Plans

STRATEGIES

> Conduct annual Incident Response Plan (IRP) drills for each NYPA operation site/region in alignment with NERC CIP-008

> Conduct annual IRP drill for Canals

> Ensure Incident Response Team complies with event handling and escalation processes

> Document lessons learned, collect evidence and communicate internally, as needed

> Participate in external drills such as GridEx, FERC information sharing drills, and New York State physical and cyber security drills

SECURITY PARTNERS

> American Public Power Association (APPA)

> Department of Homeland Security Cyber and Infrastructure (DHS/CISA)

> Federal Bureau of Investigation (FBI), state and local law enforcement

> Large Public Power Council (LPPC)

> Multi-State Information Sharing & Analysis Center (MS-ISAC)/ Elections Infrastructure Information Sharing and Analysis Center (E-ISAC)

> New York State Security Working Group (NYS SWG) and Division of Homeland Security & Emergency Services (NYS DHSES)

> North American Electric Reliability Corporation (NERC) and Federal Energy Regulatory Commission (FERC)

Supply Chain & Procurement Practices

Sourcing practices for goods and services and the environmental and social impacts of NYPA and Canals' supply chain

NYPA and Canals aim to manage a sustainable supply chain that reduces the environmental and social impacts of our operations.

Sustainability practices are integrated into the supply chain by embedding sustainability criteria in procurement process, building relationships with suppliers and increasing transparency across the supplier network.

NYPA and Canals seek to comply with state specifications for green purchasing identified in Executive Orders 4 and 18, as well as state policies on diverse firms.

EXECUTIVE ORDER 4 (EO4)

> Establishes an Interagency Committee on sustainability and green procurement
> Directs state entities to implement green procurement practices and sustainability initiatives
> Creates green procurement specifications for products and services

EXECUTIVE ORDER 18 (EO18)

> Prohibits use of state funds to purchase bottled water and requires all executive agencies to report bottled water purchases annually

GOAL 1

Reduce the environmental and social impacts of NYPA and Canals' suppliers

STRATEGIES

> Evaluate how suppliers are measuring, reporting and managing their environmental and social impacts through annual supplier assessments and RFP questionnaires

> Integrate sustainability principles into the procurement process through supplier codes of conduct and procurement policies

> Develop key performance indicators and targets for top suppliers by spend

> Engage suppliers through outreach programs and evaluation processes and drive continuous improvement in sustainable practices

> Integrate evaluation outcomes in performance management scorecards for strategic suppliers

COLLABORATION IN INDUSTRY GROUPS

> **Electric Utility Industry Sustainable Supply Chain Alliance (EUISSCA)**, to advance sustainability best practices and benchmark the environmental and social performance of strategic suppliers through an annual supplier assessment.

> **Natural Gas Supply Collaborative**, to increase transparency in reporting and promote responsible natural gas production and transportation.

> **Electric Power Research Institute (EPRI) SF_6 Program** to test SF_6 alternatives.

> **EPRI and EUISSCA programs** to evaluate renewable energy technologies from a lifecycle perspective.

GOAL 2
Reduce the environmental and social impacts of NYPA and Canals' purchased products

STRATEGIES

> Execute a sustainable procurement policy that identifies environmentally and socially preferable standards and establishes criteria for product selection

> Set targets for the purchase of sustainable products, including products that meet green specifications under EO4

> Develop training programs for NYPA and Canals employees on sustainable procurement practices

> Research replacements for products with large negative social or environmental impacts and, where applicable, conduct product testing and define new purchasing specifications

> Work with suppliers to reduce waste generation through changes to product and packaging design and/or takeback programs

> Assess the lifecycle environmental and social impacts of materials and products purchased

GOAL 3
Increase number of and spend with New York State/local and diverse suppliers

STRATEGIES

> Establish business unit and corporate diversity goals, with KPIs

> Host supplier diversity events, education and training to build capacity and access to diverse firms

> Simplify contract terms and conditions for low-risk projects

> Implement Surety Bonding program to assist state-certified diverse suppliers in obtaining bonding and access to capital

> Expand and launch a formal Mentor Protégé program to encourage and facilitate the participation of diverse firms

> Optimize communications to promote diverse supply chains, including branding, communication roadmaps and messaging

SEE ALSO

> *Diversity, Equity & Inclusion*
> *Community Engagement*

NEW YORK STATE OF OPPORTUNITY. | NY Power Authority | Canal Corporation

Appendix

2020 Sustainability Report Metrics

In addition to this Sustainability Plan, we recently published a 2020 Sustainability Report—our first report to align with GRI and SASB frameworks. On this page we list the metrics included in the 2020 Sustainability Report, many of which are required by GRI and SASB.

These metrics provide a foundation for future sustainability reporting, which we plan to build on as our reporting journey progresses.

ENVIRONMENTAL

- Scope 1 GHG emissions
- GHG emissions intensity
- Air emissions of the following pollutants: NOx, SOx, VOCs, particulate matter and hazardous air pollutants (HAP) and percentage of each in or near areas of dense population
- Total electricity generated and percentage by major energy source
- Reduction of energy use across buildings
- Number of employees enrolled in Workplace Charging Program
- Water withdrawal, total and by source
- Water recycled and reused
- Total water consumed
- Number of incidents of non-compliance with water quality and/or quantity permits, standards and regulations
- Acres of habitats protected or restored
- Waste by type and disposal method
- Number of significant spills
- Incidents of non-compliance with environmental laws and regulations

SOCIAL

- Total recordable injury rate
- Total fatality rate
- Near misses
- Employee DART rate (Days Away, Restricted or Transferred)
- Number of tailgate safety talks
- Number of safety walkdowns
- Hours of training per year per employee
- Percentage of employees receiving regular performance and career development reviews
- Percent of employees covered by collective bargaining agreements
- Diversity of governance bodies and employees
- Number of commercial customers served
- Customer electricity savings from efficiency measures by market in MWh
- BuildSmart 2025—TBtu conserved
- Capital investment commitment of economic development customers
- Jobs created/retained commitment of economic development customers

GOVERNANCE

- Noncompliance with laws and regulations in the social and economic area
- Amount of legal and regulatory fines and settlements associated with allegations of violations resulting from interactions with utility commission
- Substantiated complaints concerning breaches of customer privacy and losses of customer data
- Proportion of spending on local suppliers
- Percentage of new suppliers screened using social and environmental criteria in high impact procurements
- Total number of suppliers assessed for social and environmental impacts
- Percent of NYPA and Canals' total identified minority- and women-owned business enterprise spend with New York State certified suppliers
- Percent of NYPA and Canals' total identified service-disabled veteran-owned business spend with New York State certified suppliers

Glossary

A

AABE—American Association of Blacks in Energy

AGILe—Advanced Grid Innovation Lab for Energy

AMO—Asset Management Objectives

APPA—American Public Power Association

B

BES—Bulk Electric System

C

Canals—New York State Canal Corporation

CCA—Community Choice Aggregations

CDEx—Customer Digital Experience

CEO—Chief Executive Officer

CLCPA—Climate Leadership and Community Protection Act

COSO—Committee of Sponsoring Organizations of the Treadway Commission

D

DART—Days Away, Restricted or Transferred

DEI—Diversity, Equity and Inclusion

DER—Distributed Energy Resources

DHS/CISA—Department of Homeland Security Cyber and Infrastructure

E

E-ISAC—Elections Infrastructure Information Sharing and Analysis Center

EDCAP—Economic Development Customer Assistance Program

EJ—Environmental Justice

EMC—Executive Management Committee

EO—Executive Order

EPRI—Electric Power Research Institute

ERG—Employee Resource Group

ERM—Enterprise Risk Management

ESG—Environmental, Social and Governance

EUISSCA—Electric Utility Industry Sustainable Supply Chain Alliance

EV—Electric Vehicle

F

FBI—Federal Bureau of Investigation

FERC—Federal Energy Regulatory Commission

FY—Fiscal Year

G

GHG—Greenhouse Gas; additional scopes and emissions referenced include:

- > **CH_4**—Methane
- > **CO_2**—Carbon dioxide
- > **HFC**—Hydrofluorocarbons
- > **N_2O**—Nitrous oxide
- > **NF_3**—Nitrogen trifluoride
- > **PFC**—Perfluorocarbons
- > **SF_6**—Sulfur hexafluoride

GRI—Global Reporting Initiative

G&T—Generation & Transmission

GW—Gigawatt

H

H&S—Health and Safety

HVAC—Heating, ventilation and air conditioning

I

IEEE—Institute of Electrical and Electronics Engineers

IEDP—Industrial Economic Development Program

IPCC—Intergovernmental Panel on Climate Change

IRP—Incident Response Plan

ISO—International Organization for Standardization

IVM—Integrated Vegetation Management

K

KPI—Key Performance Indicator

kW—Kilowatt

L

LED—Light-emitting Diode

LEM—Life Extension and Modernization

LMI —Low- to Moderate- Income

LPPC—Large Public Power Council

M

MS4—Municipal Separate Storm Sewer System

MS-ISAC—Multi-State Information Sharing & Analysis Center

MW—Megawatt

MWBE—Minority- and Women-Owned Business Enterprises

N

NERC—North American Electric Reliability Corporation

- **NERC CIP**—NERC Critical Infrastructure Protection
- **NERC O&P**—NERC Operations & Planning

NFPA—National Fire Protection Association

NIOSH—National Institute for Occupational Safety and Health

NPCC—Northeast Power Coordinating Council, Inc.

NYISO—New York Independent System Operator

NYPA—New York Power Authority

NYSDHES—New York State Division of Homeland Security & Emergency Services

NYSERDA—New York State Energy Research and Development Authority

NYSPESH—New York State Department of Labor Public Employee Safety and Health Bureau

NYSSWG—New York State Security Working Group

NYTO—New York State's Transmission Owners

O

OCRI—Office of Civil Rights & Inclusion

OSW—Offshore Wind

P

P-TECH—Pathways in Technology Early College High School

PJM—PJM Interconnection LLC

PPTP—Public Policy Transmission Planning

PSC—Public Service Commission

PTP—Priority Transmission Project

PV—Photovoltaics

R

REC—Renewable Energy Certificates

ROW—Rights of Way

S

SAC—Sustainability Advisory Council

SASB—Sustainability Accounting Standards Board

SCPP—Small Clean Power Plants

SDVOB—Service-Disabled Veteran-Owned Businesses

STEM—Science, Technology, Engineering and Mathematics

T

TBtu—Trillion British Thermal Units

TCFD—Task Force on Climate-Related Financial Disclosures

TCR—The Climate Registry

TLEM—Transmission Life Extension and Modernization

V

VOC—Voice of Customer

Z

ZEC—Zero Emissions Credits

ZEV MOU—Zero Emission Vehicles Memorandum of Understanding

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123 MAIN ST.
WHITE PLAINS, NY 10601
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Exhibit B
March 30, 2021

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2020 SUSTAINABILITY REPORT

NYPA.GOV

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A Note From Our Chairman

IN THIS TIME OF UNPRECEDENTED UNCERTAINTY AND DISRUPTION, Environmental, Social and Governance (ESG) issues are central to financial recovery and growth. Individually and collectively, they have a profound impact on all aspects of a business, its people and its operating ecosystem—including the natural environment and the economic infrastructure. In this still new century, sustainability is more than a responsible practice, it is a competitive advantage. It says who we are and what we will achieve going forward.

We, therefore, believe it is critically important for ESG to become even more central to NYPA's strategy and mission, and, consequently, have made it a foundational pillar of VISION2030. Our ESG commitments and investments will enhance engagement with our stakeholders and increase our business resilience.

NYPA is playing a key role in transforming how energy is generated and transmitted in New York State. Our efforts align with the Intergovernmental Panel on Climate Change's (IPCC) goal to achieve climate stabilization at 1.5 °C. We are helping to implement the New York State Climate Leadership and Community Protection Act (CLCPA) and facilitate a just transition to a carbon-free, economically vibrant New York State.

This Sustainability Report, and NYPA's 2021-2025 Sustainability Plan, are important next steps that demonstrate NYPA's commitment to building a more sustainable business that will, in turn, support New York State's ambitious climate agenda.

An integral component of this effort is strong governance with well-established policies, practices and controls to guide our sustainability efforts. Our inclusive sustainability governance framework applies to every level of our organization and is designed to ensure accountability for our actions and performance.

JOHN R. KOELMEL
Chairman

EUGENE L. NICANDRI
Vice Chairman

MICHAEL BALBONI
Trustee

TRACY B. MCKIBBEN
Trustee

ANTHONY J. PICENTE, JR.
Trustee

DENNIS TRAINOR
Trustee

At the Board level, our ESG commitments include:

> Leading and guiding the management of ESG strategy and goal setting

> Supporting our governance of ESG-related issues, including managing committees focused on risk and resilience to further embed ESG into our operations

> Ensuring the achievement of goals identified in the Sustainability Plan

> Reinforcing corporate accountability around setting, monitoring, evaluating and achieving our sustainability goals

Climate change is one of the most important challenges of this era and a strong ESG foundation will support our efforts to create a new energy future for the people, communities and businesses of New York State.

JOHN R. KOELMEL
Chairman

Planning for a Better Future

NEW YORKERS ARE TOUGH, INNOVATIVE AND thoughtful. We look to the future, dream about what could be and take the steps to make it happen.

But don't take my word for it.

A small sample of our state's inspiring narrative of leadership over roughly the past 175 years reveals a series of historical turning points: Elizabeth Cady Stanton and Lucretia Mott championing the women's rights movement in Seneca Falls; Thomas Edison and Nikola Tesla electrifying the world; the modernization of labor laws after the Triangle Shirtwaist Factory fire in Manhattan, and the emergence of the national environmental movement in the Hudson Valley.

NYPA's focus on sustainability, or ESG, builds on this history of commitment and perseverance. It is a foundational pillar of VISION2030, our recently introduced 10-year strategic plan.

VISION2030 will enable us to help bring about a thriving, resilient New York State powered by clean energy. To achieve this vision, we are advancing the nation's most ambitious climate targets and setting some of the boldest ESG goals of any U.S. government-owned utility.

This Sustainability Report outlines our approach to ESG, which guides our long-term business investments and plays a crucial role in the growth and development of our organization. We are committed to using the *Global Reporting Initiative* (GRI) and the *Sustainability Accounting Standards Board* (SASB) reporting frameworks to strengthen disclosures and our accountability to stakeholders.

The following pages highlight our sustainability efforts in 2020 and into 2021, including:

> Releasing **NYPA and Canals' Sustainability Plan**, an implementation document complementing this report and providing deeper insight into the actions we are taking to advance sustainability efforts through 2025

> Announcing a **2035 target for eliminating carbon emissions** from our natural gas portfolio, a significant step toward meeting the state's goal of a carbon-free power system by 2040

> Financing hundreds of millions of dollars of **customer energy efficiency** and **clean energy** projects

> Supporting **400,000 jobs across New York State** through economic development programs, including a financial relief program introduced at the start of the COVID-19 pandemic

> Introducing our **Ten-Point Diversity, Equity and Inclusion (DEI) Plan** to support the development, retention, promotion and engagement of a diverse workforce; empowerment of diverse suppliers; and forging of science, technology, engineering and mathematics (STEM) partnerships to build a pipeline of energy workers in environmental justice communities

> Funding a **$300 million *Reimagine the Canals* initiative** to revitalize the Erie Canal corridor as a prime tourism and recreation destination, while boosting economic development and environmental resilience

The next decade will be exciting and productive for NYPA and Canals. We will use our innovative talent, visionary strategies, industry-leading ambition and "New York Tough" mindset to pursue decarbonization, foster economic growth and create an ESG blueprint for others to follow.

Everything we do will be shaped by the sustainability goals and organization-wide commitments detailed here. This will be a collaborative effort, and we will keep our communities and stakeholders fully updated on our progress as we move forward together toward a cleaner, brighter future.

GIL C. QUINONES
President and
Chief Executive Officer

Our 2020 ESG Impact "At a Glance"

ENVIRONMENTAL

$1.2 BILLION
issued in long-term bonds—including nearly **$800 million** in Green Bonds—for planned capital projects

Advanced construction of **33 MW** of distributed solar, planned to become operational in 2021

>80% of the electricity NYPA produces is **clean renewable hydropower**

Established target to achieve **zero** carbon electricity generation by 2035, **five years** ahead of the CLCPA target

Began construction on a transmission project to supply **900 MW** of renewable energy

SOCIAL

400,000+
jobs created or retained in New York State through **economic development programs**

Helped customers save a total of **212,196 MWh** in electricity through **energy efficiency measures** (2018-2020)

60%
Reduction in DART rate at NYPA sites between 2018 and 2020

Introduced our **TEN-POINT DIVERSITY, EQUITY AND INCLUSION PLAN**

Awarded the **Forbes Best Mid-Size Employer** distinction in 2018, 2019 and 2021

Launched the $300 million ***Reimagine the Canals* initiative** to adaptively repurpose the New York Canal System

GOVERNANCE

Announced a new collaboration to establish a first-of-its-kind **CYBERSECURITY CENTER FOR EXCELLENCE**

Deployed an **Enterprise Governance, Risk and Compliance System**, offering ongoing risk monitoring capabilities

The majority of our spend was with **New York State** suppliers

ABOUT US

About the New York Power Authority

The New York Power Authority (NYPA) has its main administrative office in White Plains, New York and is America's largest state-owned electric utility. More than 80% of the electricity NYPA produces is clean renewable hydropower.

NYPA's power customers include:

> Large and small businesses

> Not-for-profit organizations

> Community-owned electric systems

> Rural electric cooperatives and government entities

> New York State wholesale electricity market, administered by the New York Independent System Operator (NYISO)

NYPA is a corporate municipal instrumentality of New York State that serves the public without the use of tax revenue or state credit. We finance construction of our projects through bond sales to private investors and repay bondholders with proceeds from our operations.

About the New York State Canal Corporation

The New York State Canal Corporation (Canals) is a subsidiary of NYPA.[1]

The New York State Canal System includes four historic canals: Erie, Champlain, Oswego and Cayuga-Seneca. Spanning 524 miles, the waterway links the Hudson River with the Great Lakes, the Finger Lakes and Lake Champlain. The canals form the backbone of the Erie Canalway National Heritage Corridor and connect hundreds of unique and historic communities.

[1]Throughout this document, "NYPA and Canals" refers to both to the New York Power Authority and its subsidiary, the New York State Canal Corporation. Organization-specific focus areas, goals and strategies are indicated, where relevant.

FAST FACTS

2,400+
employees

- **1,973**
  NYPA employees
- **463**
  Canals employees

1,400+
customers

16
generating facilities that produce up to 25% of New York State's power

1,454
circuit-miles of transmission lines

500+
miles of Canal waterways

80,000+
acres of owned and managed water and land

About This Report

This Sustainability Report details our environmental, social and governance (ESG) performance and progress toward achieving the goals, strategies and targets outlined in our **2021-2025 Sustainability Plan**. This report is a key element of the ESG foundational pillar of our VISION2030 strategic plan. It has been designed to respond to our stakeholders' present and future expectations, communicate our ESG performance and hold us accountable in leveraging sustainability for long-term value creation.

We believe in reporting our ESG progress and doubling down on our commitments. This report provides the platform to transparently communicate and disclose performance in alignment with leading ESG reporting and disclosure frameworks and standards.

> This report was prepared in accordance with the **Global Reporting Initiative (GRI) Standards Core option**

> Our disclosures are aligned with the **Sustainability Accounting Standards Board (SASB) Electric Utilities Standard**

> We highlight our alignment with and contributions to the **United Nations Sustainable Development Goals (UN SDGs)**

> We have also included our approach to integrating the **Task Force on Climate-related Financial Disclosures (TCFD)**, and plan to further expand our disclosures in future years as our reporting journey progresses.

To reinforce our commitment to sustainability performance, disclosure and reporting, we have the ambition to become among the first U.S. utilities and government entities to issue an integrated report. We plan to release our first integrated report as part of the 2022 reporting cycle.

Our sustainability commitments are established and integrated into our corporate strategy, management and oversight approach, with our Executive Management Committee (EMC) and Board of Trustees reviewing and approving the publication of this report.

This report includes data from NYPA and Canals' owned and operated facilities and assets. Data estimations, exclusions and additions are noted, where applicable.

We aspire to respond to all stakeholder inquiries about our sustainability strategies, activities and performance, and invite you to share your questions, thoughts and suggestions with us. Contact us at **sustainability@nypa.gov** to continue the conversation.

Building a Best-in-Class Sustainability Approach

STRATEGIC ALIGNMENT

VISION2030

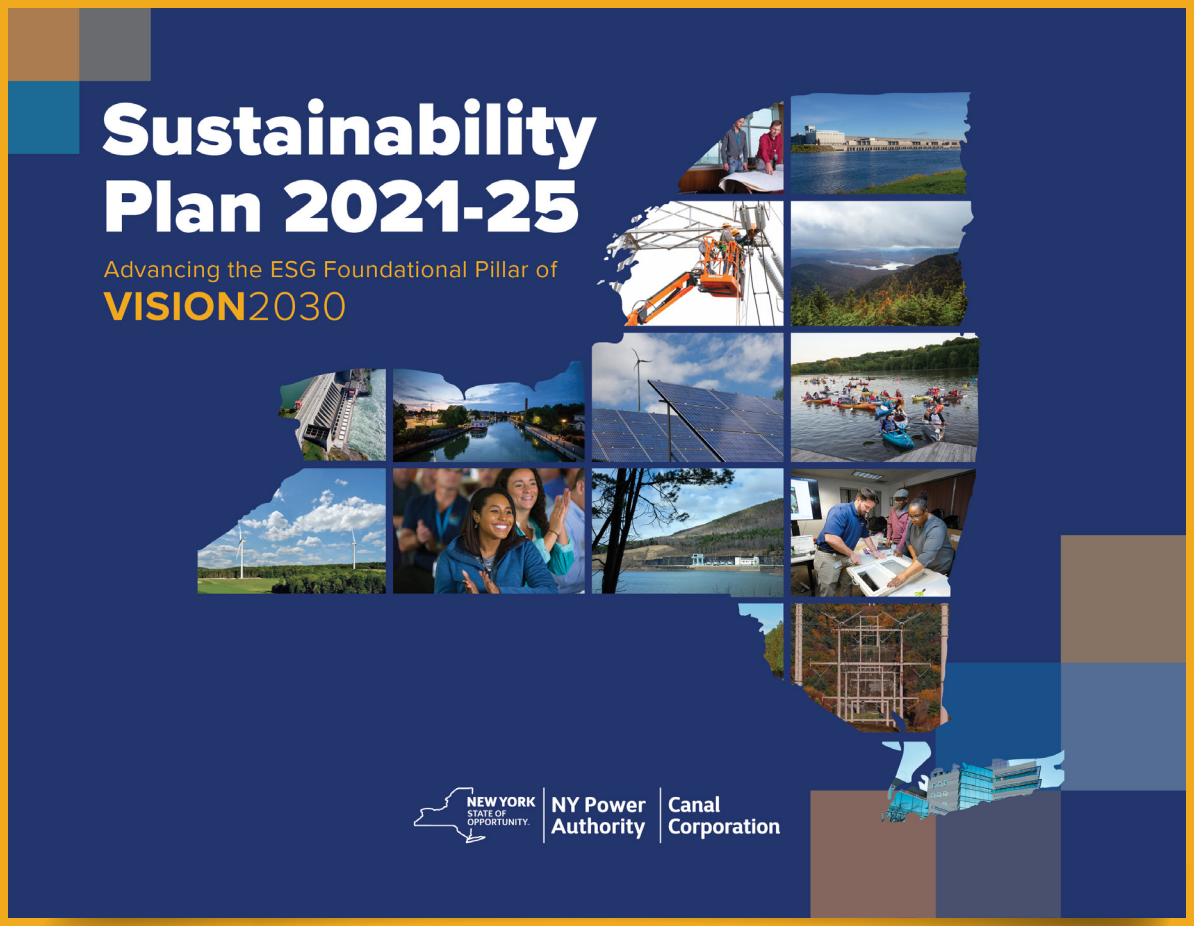
VISION2030, NYPA's 10-year strategic plan, provides a blueprint to bring about our vision of a thriving, resilient New York State powered by clean energy.

As a *foundational pillar* of VISION2030, ESG is an enterprise-wide imperative that is central to NYPA's strategy and mission.

Our strategy is informed by the real threat of climate change. It aligns with the **Intergovernmental Panel on Climate Change's (IPCC)** goal to limit global temperature rise to 1.5° C and supports New York State initiatives, policies and regulations, including the **Climate Leadership and Community Protection Act (CLCPA)**, one of the nation's most ambitious pieces of legislation.

Underpinning all business operations, sustainability is integrated across the full spectrum of corporate performance at NYPA and Canals and plays an essential role in our growth and development.

> Within VISION2030, we have defined our ESG ambition as delivering a "best-in-class sustainability strategy to meet the present and future needs of our stakeholders and ensure long-term environmental, social, governance and economic performance."



STRATEGIC ALIGNMENT

Sustainability Plan

This year, we developed and published NYPA and Canals' **2021-2025 Sustainability Plan**, which will serve as a roadmap to help bring our ESG ambition to life over the next five years. The plan outlines the ESG goals, strategies and initiatives that we are committed to across each of our 15 material ESG focus areas, which align with and support VISION2030 objectives.

The Sustainability Plan is an integrated, cross-functional and collaborative living document that will be revisited and refreshed as our sustainability journey evolves, our targets are achieved and our ambitions grow. The plan was developed through an extensive stakeholder engagement process with input from business units, corporate functions and leadership from across the organization, including the Sustainability Advisory Council (SAC), subject matter experts and other key stakeholders.

STRATEGIC ALIGNMENT

United Nations Sustainable Development Goals

The United Nations Sustainable Development Goals (UN SDGs) are a collection of 17 interlinked goals set in 2015 and designed to be a roadmap to achieve a better and more sustainable future for all. NYPA reviewed the UN SDGs most relevant to our strategic priorities and stakeholders, and mapped our commitments and achievements against them.

SDG 7: Ensure access to affordable, reliable, sustainable and modern energy for all

TARGET 7.1 **By 2030, ensure universal access to affordable, reliable and modern energy services**

Supporting electricity affordability through our

HYDRO POWER ASSETS

by offering a variety of low-cost customer supply programs

Planning to achieve

$550 MILLION

of third-party investment

in customer sited renewables by 2025, 40% of which will be sited in LMI communities

TARGET 7.2 **By 2030, increase substantially the share of renewable energy in the global energy mix**

70%

Renewable energy generation by 2030, as well as contributions to other CLCPA renewables targets

100%

Carbon free electricity by 2035

TARGET 7.3 **By 2030, double the global rate of improvement in energy efficiency**

> Implemented energy efficiency measures that resulted in **212,196 MWh** of customer electricity savings (2018-2020)

> Planning to finance up to **$3 BILLION** in capital work for energy efficiency projects at customer facilities by 2030

SDG 13: Take urgent action to combat climate change and its impacts

TARGET 13.1 **Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countriess**

> Developed a multi-phase strategy to evaluate the potential long-term impacts of climate change on our infrastructure and operations

> Making significant investments in modernizing our Generation and Transmission assets to improve resilience

TARGET 13.3 **Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning**

> Established educational training and awareness programs for all employees and external stakeholders

TARGET 13.2

Integrate climate change measures into national policies, strategies and planning

> **Fully committed to supporting CLCPA targets**

STRATEGIC ALIGNMENT

United Nations Sustainable Development Goals

The United Nations Sustainable Development Goals (UN SDGs) are a collection of 17 interlinked goals set in 2015 and designed to be a roadmap to achieve a better and more sustainable future for all. NYPA reviewed the UN SDGs most relevant to our strategic priorities and stakeholders, and mapped our commitments and achievements against them.

SDG 9: Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation

Investing $200-400 million per year to grow our

TRANS-MISSION ASSET BASE

3 to 5 times by 2030

SDG 5: Achieve gender equality and empower all women and girls

GENDER EQUALITY and supporting diverse employee development form an integral part of our Ten-Point Diversity, Equity and Inclusion Plan

SDG 11: Make cities and human settlements inclusive, safe, resilient and sustainable

Investing over $100 million in

ELECTRIC VEHICLE CHARGING INFRA-STRUCTURE

through EVolve NY

> Leading development of $1 million **bus conversion plan**

> **Electrifying our light-duty fleet** 50% electric by 2025 and 100% by 2030

SDG 15: Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss

> Continued to maintain habitat improvement projects across 3,852 acres in 2020

> Launched new initiative to create pollinator gardens and meadows at our facilities

SDG 8: Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all

SUPPORT ECONOMIC DEVELOP-MENT across New York State

> Created or maintained approximately 400,000 jobs

REPRESENTATIVE STAKEHOLDER SNAPSHOT

- The people of New York State
- NYPA and Canals employees and board leadership
- State and local communities
- Community organizations
- Customers
- Suppliers, contractors and business partners
- Regulators and elected officials
- Industry organizations and peers
- Investors and strategic partners
- Rating agencies
- Membership associations NYPA participates in, namely:
  - American Public Power Association (APPA)
  - Electric Power Research Institute (EPRI)
  - Large Public Power Council (LPPC)
  - National Hydropower Association (NHA)

Stakeholder Engagement

At NYPA and Canals, we put people first.

We value listening and learning, and view engaging our stakeholders as integral to our work.

Throughout all the cycles of our projects and operations—from planning and developing infrastructure projects, to customer service and community engagement—we engage with key stakeholders to ensure their perspectives are heard, their expectations are understood and, where possible, their needs are met.

Our detailed engagement plans and approaches for reaching targeted stakeholder groups are customized based on needs, preferences, priorities and objectives.

We engage with our network in regular, dynamic channels, such as community engagements and programs, workshops and events, town hall meetings, surveys, policy dialogues and participation in industry conferences.

Materiality Assessment

In 2020, we conducted a comprehensive assessment of our material ESG topics with support from a sustainability advisor and guided by the *GRI Reporting Principles* and the *AA1000 AccountAbility Principles*.

The assessment included a benchmarking analysis of peer practices, industry trends and priorities, state regulations and initiatives, and industry leading sustainability frameworks and standards. Stakeholders were identified, mapped and prioritized using AccountAbility's *AA1000 Stakeholder Engagement Standard* to ensure a robust and inclusive engagement process. NYPA and Canals employees, the SAC and the EMC were engaged throughout the process.

The process included the identification, definition and prioritization of 15 material ESG topics that were deemed to be of importance to key stakeholders and of significance to NYPA and Canals' economic, environmental and social impacts—listed on the page that follows.

ESG Focus Areas

ENVIRONMENTAL

CLIMATE CHANGE & GHG EMISSIONS
Adaptation to and mitigation of climate change impacts and risks, and the capitalization of associated business opportunities, as well as NYPA's Scope 1 (direct), Scope 2 (energy indirect) and Scope 3 (other indirect) greenhouse gas emissions

RENEWABLE ENERGY & ENERGY STORAGE
Renewable energy capacity, generation, storage and consumption

ENERGY RELIABILITY
Reliability of NYPA's network and infrastructure for consistent and uninterrupted supply, including optimization and innovation of smart grid technologies and transmission systems

ENERGY EFFICIENCY & ELECTRIFICATION
Electrification and energy efficiency of NYPA and Canals' infrastructure, including buildings, facilities and vehicle fleet

ENVIRONMENTAL STEWARDSHIP
Management and minimization of water, waste, and air effluent and emissions, conservation of natural resources, promotion of biodiversity, and increased resilience and carbon sequestration on land owned or managed by NYPA and Canals

SOCIAL

HEALTH & SAFETY
Promotion and management of physical and mental health and safety in the workplace, and prevention of harm in the communities in which NYPA and Canals operate

EMPLOYEE DEVELOPMENT
Attraction and retention of talent, and the development of NYPA and Canals employees

DIVERSITY, EQUITY & INCLUSION
Commitments and actions that build and maintain a diverse, equitable and inclusive culture in the workplace and across NYPA and Canals' value chain

COMMUNITY ENGAGEMENT
Interaction and communication with community members and organizations, customers and other stakeholders in the areas in which NYPA and Canals operate

ACCESS & AFFORDABILITY
Affordability and accessibility of services across customer types in the communities in which NYPA operates

ECONOMIC DEVELOPMENT
Creation of more resilient communities and promotion of economic growth and local employment

GOVERNANCE

ENTERPRISE RISK & RESILIENCE
The identification, assessment, mitigation, monitoring and reporting of risks and impacts related to NYPA and Canals' activities, and the incorporation of risk management strategies to enhance enterprise resilience, including plans for emergencies and disasters, into both long-term planning and day-to-day operations

REGULATORY MANAGEMENT & COMPLIANCE
Management and compliance with relevant federal, New York State and local environmental and socioeconomic laws and regulations

CYBER & PHYSICAL SECURITY
Security of NYPA and Canals' network and infrastructure, as well as properties and personnel, including data protection and data breach risk minimization

SUPPLY CHAIN & PROCUREMENT PRACTICES
Sourcing practices for goods and services and the environmental and social impacts of NYPA and Canals' supply chain

Sustainability Governance

Our ability to effectively manage our ESG performance and risks, as well as hold ourselves accountable to our stakeholders, relies on a robust and inclusive approach to sustainability governance.

We have restructured, refined and strategically elevated our sustainability governance framework to include leadership at the highest levels of the organization and span all key business units. This ensures the effective oversight, implementation and disclosure of sustainability goals, commitments and initiatives.

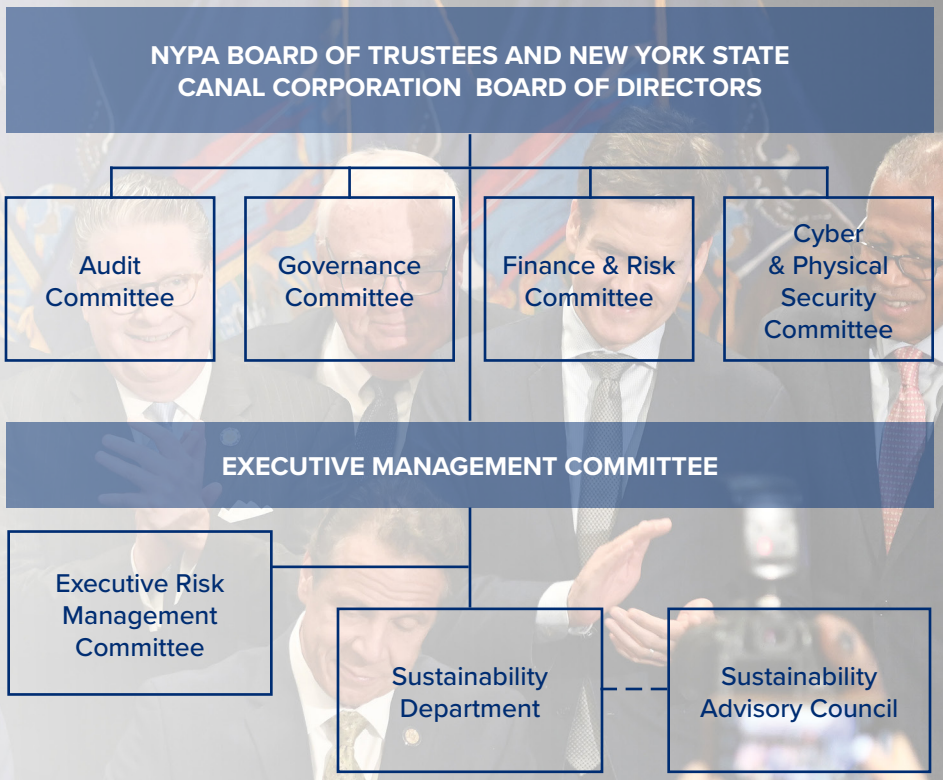
> **Board of Trustees:** provides vision and oversight on strategic ESG priorities and oversees policies, programs and performance related to sustainability.

> **Chief Executive Officer (CEO) and Executive Management Committee (EMC):** lead and guide the management of ESG strategy and goal setting, supporting the board's governance of ESG-related issues and ensuring the achievement of goals identified in the Sustainability Plan.

> **EMC's ESG Sponsors:** support the board's governance of ESG-related issues and work directly with the Sustainability Department to provide guidance on sustainability strategy, goal setting and reporting.

> **Sustainability Department:** provides strategic direction, oversight and reporting for ESG issues, including spearheading the development of the Sustainability Plan. Sustainability engages with the EMC, to which it reports, and the SAC on plan development and implementation and provides support to business units on day-to-day execution.

> **Sustainability Advisory Council (SAC):** serves as the cross-functional body to manage ESG-related efforts and ensure successful implementation of the goals, targets and strategies outlined in the Sustainability Plan. The SAC consists of heads of all relevant departments.



EXECUTIVE MANAGEMENT COMMITTEE MEMBERS

Gil Quiniones, *President and Chief Executive Officer*
Joseph Kessler, *EVP and Chief Operating Officer*
Kristine Pizzo, *EVP and Chief Human Resources & Administration Officer*
Justin Driscoll, *EVP and General Counsel & Chief Legal Officer (ESG Executive Sponsor)*
Adam Barsky, *EVP and Chief Financial Officer (ESG Executive Sponsor)*
Sarah Salati, *EVP and Chief Commercial Officer*
Robert Piascik, *SVP and Chief Information & Technology Officer*
Yves Noel, *SVP and Chief Strategy Officer*
Daniella Piper, *Chief Transformation Officer and Regional Manager Western Region*
Phil Toia, *President, NYPA Development*

NEW YORK STATE OF OPPORTUNITY. | NY Power Authority | Canal Corporation

ESG Performance

ENVIRONMENTAL SOCIAL GOVERNANCE

ENVIRONMENTAL

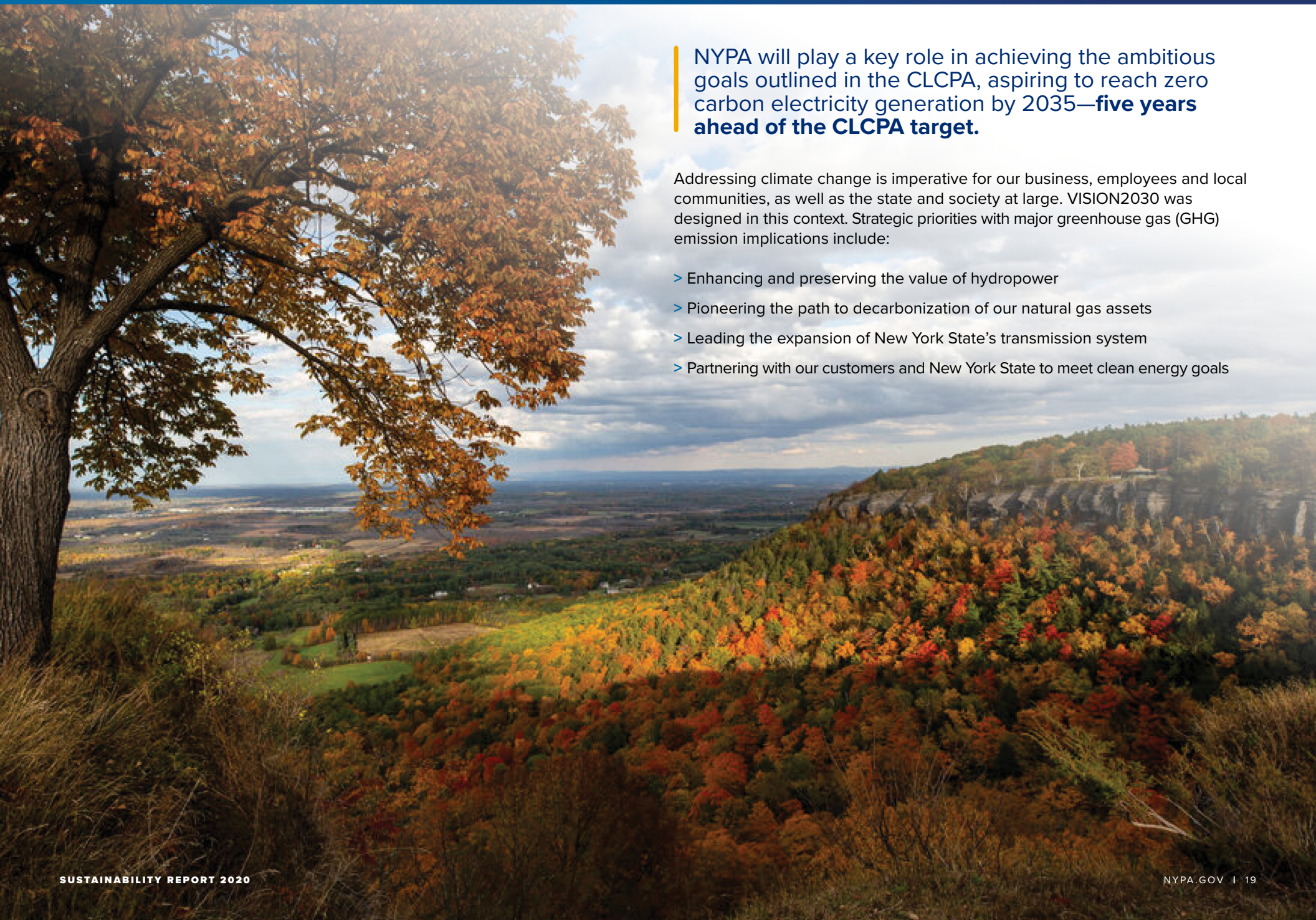
Climate Change & GHG Emissions

> "Climate change continues to greatly influence our work and we will aggressively pursue decarbonization while at the same time enhancing the state's ability to have a thriving economy– thus creating a blueprint for others to follow."
>
> **GIL C. QUINIONES, NYPA PRESIDENT AND CEO**

The physical and systemic risks of climate change are real, present and growing. The increasing severity and frequency of extreme weather events have significantly threatened the reliability and effectiveness of our nation's power grid.

As the country's largest public power organization, we believe it is our responsibility to lead by example in addressing climate change, mitigating climate risks and paving the way for a thriving clean energy economy. The local manifestation of climate hazards also demands that we understand and address climate impacts specific to our customers and communities.

New York State is confronting climate change with the CLCPA, adopting some of the most ambitious clean energy targets in the country, including the full decarbonization of the state's electricity system by 2040 and transitioning to a carbon-neutral economy by 2050.



NYPA will play a key role in achieving the ambitious goals outlined in the CLCPA, aspiring to reach zero carbon electricity generation by 2035—**five years ahead of the CLCPA target.**

Addressing climate change is imperative for our business, employees and local communities, as well as the state and society at large. VISION2030 was designed in this context. Strategic priorities with major greenhouse gas (GHG) emission implications include:

> Enhancing and preserving the value of hydropower

> Pioneering the path to decarbonization of our natural gas assets

> Leading the expansion of New York State's transmission system

> Partnering with our customers and New York State to meet clean energy goals

TCFD DISCLOSURE

Applying TCFD for Climate Management

To NYPA, delivering a best-in-class sustainability strategy requires robust and rigorous strategy management and includes disclosure around climate—a material ESG issue that is central to our daily business and long-term performance. We are committed to applying and leveraging the TCFD's voluntary disclosures on climate-related financial risks to align and elevate our climate-related risk management strategy and activities, as well as communicate the most relevant and impactful information to our stakeholders.

In this initial phase of our reporting journey toward full TCFD integration, the foundational disclosures in this report describe our current approach to climate-related issues and our plans for further implementation, formalization, integration and reporting in the future cycles.

TCFD DISCLOSURE

STRATEGY AND GOVERNANCE

The material impact climate-related issues can have on our business and our stakeholders necessitates active management of, and planning around, climate-related risks and opportunities. This is why climate change is at the heart of both our 2021-2025 Sustainability Plan and our VISION2030 strategy, and why our corporate governance approach includes oversight and management of climate-related risks, opportunities, strategies and initiatives at all levels of the organization.

OUR STRATEGIC APPROACH TO CLIMATE CHANGE MITIGATION, ADAPTATION AND RESILIENCY

It is our responsibility—within New York State, our industry and the global sustainability community—to manage our environmental impact. We strive to provide clean, reliable energy for our stakeholders, even as the risks and opportunities associated with climate change continue to escalate and evolve.

VISION2030 and our Sustainability Plan are designed in alignment with the cross-sector decarbonization pathways outlined in the IPCC's *Special Report on Global Warming of 1.5 °C*, the CLCPA and New York State's other ambitious clean energy initiatives.

NYPA is positioning itself to adapt to the challenges of climate change and capitalize on market opportunities for climate change mitigation with products, services and programs that are at the forefront of the clean energy transition.

We also plan to address the physical impacts of climate change by conducting formal climate change adaptation and resilience studies to fine-tune our strategies and fortify the stability and performance of our business for the long-term.

CLIMATE OVERSIGHT AT ALL LEVELS OF OUR ORGANIZATION

> **Board of Trustees**, responsible for overseeing policies, programs and performance related to sustainability, climate and environment

> **Finance & Risk Committee and Audit Committee**, assist the board in overseeing enterprise risk management and the implementation of policies and actions to monitor and mitigate risks, including climate-related risks

> **EMC's ESG Sponsors** oversee the ESG foundational pillar, provide guidance on sustainability strategy, goal setting, climate response and reporting, and support the board's governance of ESG and climate-related issues

> **Executive Risk Management Committee**, assists the EMC in providing risk management oversight and oversees the establishment of the risk management processes, including potential climate-related impacts

> **SAC** collaborates across business units to manage ESG and climate-related efforts and ensure successful implementation of the ESG foundational pillar, including the goals, targets and strategies outlined in the Sustainability Plan

TCFD DISCLOSURE

INTEGRATING CLIMATE RISK

While climate change presents physical, operational, regulatory and financial risks for our organization, the goals outlined in VISION2030 related to transmission, renewable energy and helping customers meet their energy goals also illuminate significant opportunities.

Our risk management team maintains a Risk Register and an Enterprise Governance, Risk and Compliance (EGRC) system that serve as the repository for mitigation plans, internal controls and metrics for enterprise, operational and project risks across NYPA. We are in the process of reviewing ESG risks identified as part of VISION2030 and our new Sustainability Plan. Once identified, these risks will be prioritized and included in enterprise risk management systems and platforms, as well as considered for new project evaluations and reported to leadership.

NYPA CLIMATE ADAPTATION AND RESILIENCE ASSESSMENT

Our planned climate adaptation and resilience assessment is designed to ensure that risks associated with the physical impacts of climate change are embedded in our business operations, strategy and financial planning as follows:

- **Phase I: Assess physical impacts of climate change on NYPA's assets and operations (2021-2022)**
  Conduct an assessment of the projected impacts of climate change on NYPA's physical assets, system operations and capital improvement planning to inform development of adaptation and resilience strategies.
- **Phase II: Assess social and economic impacts of climate change on NYPA's stakeholders (2023-2024)**
  Building on the physical impact assessment, assess the social and economic impacts of climate change on NYPA's customers, communities and other stakeholders, and identify strategies to support regional and community adaptation and resilience planning efforts.

REIMAGINE THE CANALS AND CLIMATE RESILIENCE

Four of the six most destructive floods in communities along the Canal System have taken place in the last ten years, and studies indicate that flood levels in the Mohawk River Watershed could rise nearly 20% over the next decade. Climate change also increasingly threatens upstate New York farms with extreme and unpredictable weather—including damaging summer droughts, especially in western New York, that endanger New York State's primary fruit and vegetable growing region.

Through its focus on building resilient communities and resilient infrastructure, NYPA's *Reimagine the Canals* program will harness the potential of the Canal system to reduce these climate change impacts.

Key resilience projects include:

- **Western Water Management and Irrigation:** a program that will utilize existing infrastructure and Erie Canal water in Western New York to enhance agricultural irrigation, enabling farmers to invest in high-value crops
- **Ice Jam Mitigation:** a suite of projects that will mitigate the effects of ice jams to reduce flooding, while improving forecasting and early-warning systems

TCFD DISCLOSURE

MEASURING AND MANAGING PERFORMANCE

VISION2030 and the new **Sustainability Plan** include several critical metrics and targets in alignment with CLCPA goals that we are in the process of implementing for ongoing monitoring, management and reporting.

We actively measure and disclose Scope 1 GHG emissions to The Climate Registry (TCR), including emissions from stationary combustion of fuels (power plants, building heating systems), transportation and sulfur hexafluoride (SF_6) associated with electrical equipment.[1]

Most of NYPA's Scope 1 GHG emissions come from our fossil fleet, which provides critical and mandated generation capacity for Southeast New York (SENY) and has some of the lowest emissions rates for fossil fuel plants in the U.S.[2]

We plan to begin tracking Scope 2 emissions (purchased electricity, transmission line losses) and Scope 3 emissions (electricity sales from contracted and wholesale market purchases, business travel, employee commuting), and will establish a new baseline for total Scope 1, 2 and 3 emissions in the near future.

Details on energy-related targets are also included in the **Renewable Energy & Energy Storage, Energy Efficiency & Electrification,** and **Access & Affordability** sections, and targets related to water, waste and land use are included in **Environmental Stewardship**.

28,611,838 MWh
generated by NYPA in 2020

88%
clean hydropower

[1]CLCPA requires that New York State reduce GHG emissions by 85% from 1990 levels and offset remaining emissions by reforestation, carbon sequestration in soils and other actions.

[2]All NYPA's Southeast New York generating facilities are subject to Regional Greenhouse Gas Initiatives (RGGI), the first mandatory market-based program in the United States to reduce GHG emissions.

CLCPA GOALS

40%
reduction in GHG emissions by 2030

85%
reduction in GHG emissions by 2050[1]

35%
of benefits to disadvantaged communities

SCOPE 1 EMISSIONS*

2018	1,425,325.4 MT CO2e
2019	1,369,772.3 MT CO2e
2020	Placeholder

*MT CO2e (including CO2, CH4, N2O, SF6)

Taking Climate Action

CASE STUDY

TRANSITIONING NYPA'S NATURAL GAS 'PEAKER' PLANTS TO CLEANER ENERGY TECHNOLOGIES

To support New York State's decarbonization transition and help improve air quality for New York City residents, we are piloting low-to-zero carbon emission resources and technologies and investigating the feasibility of short- and long-duration battery storage.

In October 2020, we unveiled a landmark agreement with the PEAK Coalition, a group of environmental justice and clean energy organizations, to assess how to transition our natural gas fired "peaker" plants, six located in New York City and one on Long Island with a total capacity of 461 MW, to utilize low-to-zero carbon technologies, while continuing to meet the electricity reliability and resiliency requirements of New York City.

This initiative will assess battery storage and low-to-zero carbon emission resources and technologies as alternative clean energy options that could replace, augment, or otherwise reduce or eliminate reliance on fossil fuels over time.

> "In this time of racial reckoning and the growing harm from climate change to vulnerable populations, this New York agreement is a responsible model that should be followed in other communities with peaker plants, one where plant owners respect environmental justice concerns and pursue a collaborative approach to a clean energy transition in heavily polluted urban areas."
>
> **LEWIS MILFORD, PRESIDENT OF CLEAN ENERGY GROUP AND PEAK COALITION ADVISER**

CASE STUDY

SUSTAINABLE U: LET'S GET CLIMATE SMART CLIMATE SCIENCE TRAINING PROGRAM

At NYPA and Canals, we recognize that education is a key component of a successful climate strategy. Our multi-phased training effort for all employees aims to establish a company-wide grounding in the fundamentals of climate science and the data that informs CLCPA and VISION2030 targets.

In 2021, we will deliver the first phase of the training, a five-unit climate science curriculum supporting our over 2,400 employees and leadership with approximately ten hours of e-learning and interactive discussion classes per employee.

PHASE ONE	PHASE TWO	PHASE THREE
> Intersection of COVID-19, equity and climate change > Fundamentals of earth systems and climate science > Science of climate change: causes and impacts > Science of climate solutions > New York State, NYPA and Canals climate action plans	Trainings for specific work functions, with deeper dives into particular aspects of climate science and solutions, including specialized trainings for community relations, procurement, customer account and engineering teams	Development of customized climate science training materials, courses and curriculum for customers and external stakeholders

Renewable Energy & Energy Storage

New York State's nation-leading CLCPA targets for renewable energy and energy storage, along with our VISION2030 strategy, firmly position NYPA at the forefront of the clean energy transition.

We are enhancing and preserving hydropower's role as the renewable base that our stakeholders depend on for a reliable, carbon-free energy future, implementing renewable energy projects through customer and developer collaborations, and planning to go above and beyond our hydropower contribution by working with the New York State Energy Research and Development Authority (NYSERDA) and other parties to acquire Renewable Energy Certificates (RECs) on behalf of our customers.

A significant transmission system upgrade will be required for New York State to meet its renewable energy goals. Building on the CLCPA, the Accelerated Renewable Energy Growth and Community Benefit Act enacted in 2020 will help prioritize the planning, investment and development of state-of-the-art grid infrastructure, with NYPA named by the legislation to play a unique leading role. We aim to grow our transmission asset base three to five times by 2030, which will facilitate the connection of renewable energy sources to higher demand areas and catalyze additional renewable energy deployments.

KEY CLCPA TARGETS*

70% renewable energy generation by 2030

100% zero-carbon electricity by 2040

6,000 MW of distributed solar by 2025

> NYPA is committed to enabling the installation of 325 MW of distributed solar by 2025

3,000 MW in energy storage by 2030

> NYPA aims to develop 300 MW of utility scale storage and enable 150 MW of distributed storage by 2030

**As a load serving entity, NYPA is expected to meet and contribute to renewable and clean energy targets established under the CLCPA and by New York State*

2020 Renewable Energy and Storage Milestones

> Initiating the **Moses-Adirondack Smart Path Reliability Project**, which will ensure a more robust, resilient and reliable electric system upstate to provide 900 megawatts (MW) of renewable energy, benefitting the equivalent of 900,000 homes state-wide

> Advancing construction of **33 MW of distributed solar**, planned to become operational in 2021

> Undertaking our second large-scale renewables Request for Proposals, **securing 110 MW of renewable energy supply for customers**

> Advancing construction of our **first utility-scale energy storage project**, the 20 MW North Country battery storage project

> Entering into a collaboration with a private developer on a **100 MW energy storage project** sited at Charles Poletti Power Project

> Executed our **first "solar-plus-storage" power purchase agreement** at the Javits Center, which constitutes the largest solar-plus-storage project under development in Manhattan

INVESTING IN SUSTAINABLE INFRASTRUCTURE WITH GREEN BONDS

Last May, NYPA issued $1.2 billion in long-term bonds—including nearly $800 million of the debt designated as “green bonds"—primarily for planned transmission projects. The successful bond issuance, including NYPA’s first "certified" green bond with an independent second party sustainability opinion, was also the largest green bond transaction for any public power utility. The issuance, which achieved its green certification based upon the identified projects’ use of proceeds, project evaluation process, proposed management of bond proceeds and intended reporting, affirmed NYPA’s robust credit rating amid disruptions in business conditions from the pandemic and demonstrated our commitment to improving asset efficiency and resiliency.

ENERGY STORAGE IN NEW YORK CITY

In 2020, NYPA entered into a collaboration with an energy storage developer to support the development of a 100 MW energy storage project in Astoria, Queens. The project was awarded under Consolidated Edison’s Bulk Energy Storage solicitation and represents a significant step toward achieving New York State’s energy storage goals. The facility will be constructed on land owned by NYPA and leased to the developer. The property is the former site of the Charles Poletti Power Plant, with the adaptive reuse of this parcel reflecting the evolution of New York City’s grid toward clean energy resources. Once operational, the energy storage project will bolster grid reliability and support the integration of additional intermittent renewable energy sources, such as wind and solar generation.

CASE STUDY

COMMUNITY SOLAR PROGRAM

Our Community Solar Program puts renewable energy in the hands of more New Yorkers. We serve as a trusted energy advisor to customers across the state for solar installations at public facilities and properties by performing site assessments, issuing Requests for Proposals, working with developers, providing project support and structuring contracts for participating entities.

The City of White Plains and Westchester County, for example, are adding approximately 9 MW of solar capacity at multiple locations through this program. This has led to a county-wide community solar aggregation in which county municipalities may participate.

In 2020, NYPA and the Port Authority of New York and New Jersey teamed up to implement one of New York State's largest community solar projects at JFK International Airport, with 13 MW of solar generation and 7.5 MW of onsite battery storage.

The project will eliminate almost 6,700 tons of annual CO2 emissions. JFK will benefit from clean solar energy and provide excess power to the local community grid, resulting in cheaper energy for the airport and a lower carbon footprint for its neighbors.

Once completed, this will be the largest solar-plus-storage project in New York State.

Energy Reliability

Our customers depend on us to provide reliable energy, and delivering on that promise is core to our mission. As natural and manmade threats have the potential to jeopardize our operations and business continuity, a laser focus on reliability is vital to our success.

Our strategic operations and enterprise risk and resilience teams collaborate to enhance and preserve the reliability and resilience of our systems in response to advances in technology, evolving customer expectations, and an increasingly more distributed and uncertain operating environment.

Smart Generation and Transmission (G&T)

By optimizing and testing new smart grid technologies, upgrading our transmission system and modernizing our assets, we aim to increase our ability to adapt to changing conditions, withstand disruptions and recover quickly.

Through simultaneous investments in people, change management, research and development, and continuous maintenance and improvement initiatives, NYPA has instilled a culture of transformation that aligns with the evolving industry.

CAPABILITIES

> Increased reliability and resilience

> Enhanced situational awareness

> Optimized transmission assets

> Optimized generation assets

> Integration of bulk renewables

> Integration of distributed generation

INNOVATION ACTIVITIES

> Installing sensors across NYPA's physical network to capture a wide variety of asset and performance data

> Rolling out a secure and extensible communications network with investments in fiber optics, microwave and wireless pathways

> Building analytic and visualization solutions to convert data from grid sensors into insights, leading to wide-area situational awareness

> Consistently evaluating new innovative technologies and delivery strategies to ensure technology investments provide the highest return on investment

VALUE CHAIN BENEFITS

> Decreasing the likelihood of system failures through advanced G&T monitoring, control and protection systems

> Improving operator effectiveness

> Enhancing system protection and restoration

> Ensuring flexibility and efficiency by optimizing transmission asset utilization

> Maximizing hydro flow and generation capabilities by leveraging automatic controls and predictive maintenance cycles on existing facilities

> Replacing legacy mechanical to electrical components

> Reducing operations and maintenance, and inventory value carrying costs

> Optimizing assets and reducing capital expenditures

> Enabling the emergence of new business models and innovative ways of working

Modernizing Our Infrastructure

In 2020, we continued to advance several programs essential to achieving our goal of creating and maintaining an intelligent, flexible and resilient G&T infrastructure, and becoming an end-to-end digital utility.

The Communications Backbone aims to improve the efficiency and reliability of NYPA's electric power system. We are installing fiber optic cables and other communications systems along our transmission infrastructure and at our hydroelectric and natural gas facilities. When the project is complete, it will provide a resilient, secure and scalable communication network connecting all our facilities. The network will increase the quantity and quality of available information on NYPA's physical assets and communicate potential equipment problems remotely.

Building on the Communications Backbone, **the Wireless Backbone** is a program to build a secure and robust private wireless LTE network. This network will enhance operational capabilities and increase transmission resilience by providing connectivity to remote sensors that help monitor critical infrastructure in real time, and to drone technology that helps us safely inspect and troubleshoot NYPA's assets. The program will support disaster recovery during emergency management and mutual aid with reliable communication services. NYPA partnered with two major telecommunication companies in 2020 to develop and test private LTE capabilities at the Blenheim-Gilboa power project in Central New York.

Additional infrastructure programs include the **Integrated Smart Operations Center (iSOC)**, a digital hub that helps us increase the operating flexibility of our assets and maximize their efficiency, and **Sensor Deployment Program** and **Advancing Analytics**, both enterprise efforts to digitize and replicate our assets and optimize asset performance.

CASE STUDY

NEXT GENERATION NIAGARA MODERNIZATION AND DIGITIZATION PROJECT

In 2020, NYPA achieved a major milestone in a 15-year modernization and digitization program to significantly extend the operating life of our Niagara Power Project (NIA), which is New York State's biggest electricity producer and one of the country's largest hydroelectric projects.

The first outage for the NIA program, called Next Generation Niagara, commenced in the fall of 2020 and will allow for the installation of new digital controls and connections to the plant's control room and substations. These digital controls will achieve improvements in operations efficiency. System efficiency will continue to increase as more units are upgraded and additional equipment is modernized or replaced.

Energy Efficiency & Electrification

With buildings and transportation accounting for a combined 70% of GHG emissions in New York State, energy efficiency and electrification of these sectors is critical to achieving the state's goals. We are committed to leading by example by increasing the efficiency and electrification of our buildings and vehicle fleet.

Our sustainability team works with project management, fleet management and subject matter experts from other business units to conduct energy audits, solar assessments and fleet analyses, establish energy baselines, and identify project opportunities aligned to the CLCPA, *New Efficiency: New York* and BuildSmart 2025.

We prioritize energy efficiency and electrification in new construction, upgrades to buildings and facilities, and vehicle purchases. Energy usage and associated GHG building emissions are tracked and managed through the NY Energy Manager platform.

Buildings

NYPA and Canals continue to increase the efficiency of the buildings and facilities we own and manage. NYPA's 120 buildings span more than three million square feet. Forty percent serve administrative or support functions, while the remainder house generation and transmission assets. Most of our buildings use electricity from our hydropower facilities, with some using purchased electricity or electricity generated from our natural gas power plants. Canals has 121 buildings spanning more than 250,000 square feet, including offices, warehouses and locks, all of which use purchased electricity.

Under the state's BuildSmart 2025 program, NYPA has a target to reduce energy use across its buildings by 0.12 Trillion British Thermal Units (TBtu) by 2025 (baseline FY 2014-15). The Canals target is not yet confirmed.

NYPA's pipeline of BuildSmart 2025 building energy efficiency projects includes:

> Installation of **advanced building management systems and heating, ventilation and air conditioning (HVAC) controls**, which maintain comfort and can reduce energy consumption by as much as 20%

> **Light-emitting diode (LED) lighting upgrades**, which increase efficiency, improve safety and lower maintenance requirements

> **Building envelope improvements**, which minimize temperature loss, save energy and increase comfort

> Installation of **onsite renewables** which help reduce building electrical load

NYPA exceeded the BuildSmart NY target to reduce energy use intensity 20% by 2020 (baseline FY 2011-12) in 2018 – **two years ahead of schedule**.

As of March 2020, our **total energy use intensity reduction was 24.7%**.

BUILDING SPOTLIGHTS

NIA CHILLER OPTIMIZATION

We are expanding a program at Niagara to optimize the performance of our chillers by installing smart controls, sensors and variable frequency drives. The first phase of the project at the Niagara Power Vista Visitors Center has achieved an energy efficiency improvement of over 20%. In the second phase, we are implementing the project at two other NIA locations.

ST. LAWRENCE-FDR POWER PROJECT (STL) WATER BALL REPLACEMENT

We are installing a new, glass-lined water tower to replace an older, less efficient water ball equipped with two fuel-oil boilers used for freeze protection. The boilers burn thousands of gallons of fuel oil per year and require daily maintenance. The new water tower will have heaters that use electricity from the hydro plant for freeze protection, reducing GHG emissions and eliminating the inefficient fuel-oil boilers.

EUGENE W. ZELTMANN POWER PROJECT ONSITE RENEWABLES PROJECT

In 2020, we completed a feasibility assessment for onsite renewables at all NYPA facilities and finalized the scope of work for the first project—a 377.5 kW rooftop solar array at the Eugene W. Zeltmann Power Project. This installation, along with four vertical axis wind units previously installed, will help offset the facility's electrical load and associated GHG emissions.

Transportation

NYPA's vehicle fleet consists of 489 vehicles. More than 60% are light-duty, 30% medium-duty and less than 10% are heavy-duty. Canals' fleet consists of 245 vehicles. About half are light-duty and half are medium-duty vehicles.

NYPA's goal is to electrify the light-duty fleet 50% by 2025 and 100% by 2030—exceeding New York State's 25% by 2025 target for state fleets.[1] We have also set a target to reduce the GHG intensity and absolute GHG emissions of NYPA fleet vehicles 25% by 2025 and 40% by 2030, from a 2014 baseline.

WORKPLACE CHARGING PROGRAM

The Workplace Charging Program provides guaranteed charging access to employees while at work, reducing concerns about vehicle range and making electric vehicles (EVs) a viable commuting option. With more than 60 employees across NYPA sites enrolled, the program has been an effective way to encourage EV adoption.

[1]As outlined in the Zero Emission Vehicle Memorandum of Understanding (ZEV MOU).

VEHICLE ELECTRIFICATION INITIATIVES

- **Replacing all NYPA light-duty fleet vehicles with EVs and plug-in hybrids by 2030,** with infrastructure installed at all sites for vehicle charging.
- **Testing emerging electric technologies** in medium-duty applications to help advance technology development and the market for EVs.
- **Providing guaranteed EV charging access** to employees at all NYPA facilities.
- **Hosting EV ride and drive events and providing EV training to employees for public engagement events**, in recognition of the important role education plays in advancing our vehicle electrification goals.

Environmental Stewardship

NYPA's operations span more than 80,000 acres of water and land. NYPA owns 12,000 acres of forested and non-forested land, including facility grounds, parks, wildlife areas and rights of way (ROW), and manages an additional 24,000 acres of privately owned land through ROW easements. The remaining acreage is comprised of water. Canals' operations span over 38,500 acres of water and land, with 22,900 acres of canal-adjacent areas that include facility grounds and public access points.

Over 80% of NYPA's power generation is hydro. The remainder is from our natural gas plants, and also relies on water for its processes. In accordance with NYPA's obligations to water managing agencies, including the International Joint Commission and the New York State Canal Corporation itself, we work to reduce our impact on groundwater aquifers and surface water sources.

Canals manages water levels across the system to allow for commercial and recreational navigation while directly and indirectly supporting supplemental uses such as irrigation, fish habitat enhancement and municipal/private water use. Canals operates as a non-traditional Municipal Separate Storm Sewer System (MS4) to reduce pollution to water through education and system monitoring.

We rely on these lands and waterways to successfully operate our business and serve our customers and communities, and we are committed to conserving and protecting them. For NYPA, this is also a key requirement of state and federal re-licensing and permitting of our hydroelectric generating and transmission facilities.

> "NYPA aims to lead by example in promoting nature-based measures for climate change adaptation and mitigation. Our habitat restoration and rights-of-way management programs are designed to protect biodiversity, increase resilience and promote natural carbon sequestration, and we are developing new initiatives that build on these efforts."
>
> **KERRY-JANE KING, NYPA DIRECTOR OF SUSTAINABILITY**

Water Resilience

NYPA and Canals' reliance on water resources reinforces our commitment to protecting and increasing resilience in the watersheds in which we operate.

NYPA continues to implement projects to restore and maintain wetland areas as part of our re-licensing and re-permitting efforts. We also maintain a wetland management program, in collaboration with the New York State Department of Environmental Conservation (NYSDEC), that optimizes water levels in areas adjacent to NYPA facilities to correspond with seasonal cycles and weather events. We are building on these efforts and working with EPRI to develop a water resilience roadmap that will identify additional opportunities to protect ecosystems and increase resilience in the watersheds in which NYPA operates.

Through *Reimagine the Canals*, we are developing a long-range program to mitigate impacts from flooding, improve resiliency and restore ecosystems along the canal system. This includes a wetlands restoration project at sites adjacent to the Montezuma Wildlife Refuge, an important habitat for migratory birds. The project will help with pollution treatment and nutrient recycling, surface groundwater protection, flood and stormwater control, and erosion prevention.

Protecting Ecosystems

We use best management practices to minimize the environmental impacts of our operations and are working to improve ecosystem health, enhance natural carbon sinks and increase resilience to climate impacts through a range of programs and initiatives.

> Over the past 16 years, as part of state and federal re-licensing and permitting of our hydroelectric generating facilities, we have **restored more than 3,850 acres of wildlife habitat**. We continue to maintain these protected areas and aim to expand our habitat restoration efforts in the future through additional funding mechanisms.

> We maintain **a rich pollinator habitat** along our rights-of-way through a leading practice Integrated Vegetation Management (IVM) program. By controlling tall growing plants with minimal disturbance and promoting sustainable compatible vegetation, we are supporting pollinators and **protecting natural carbon sinks**.

> In a new initiative to promote biodiversity, we are **creating pollinator gardens and meadows** at visitors centers, facilities and adjacent locations. We are also developing pilot projects to demonstrate best practices in **restoring healthy forest understory and enhancing natural carbon sequestration.** The first pollinator garden will be completed at NYPA's Power Vista Visitors Center in Niagara in 2021.

> We continue to **support tree planting** at customer facilities under our Tree Power program and are expanding the program to include more customers and locations. Only trees native to the region are selected.

> We are **raising awareness about biodiversity and natural climate solutions** and promoting sustainable land management practices through public education campaigns, courses for visiting school groups and employee training.

> NYPA and Canals use best management practices to protect areas during construction and maintenance projects, resulting in **no significant impacts on habitat or biodiversity**.

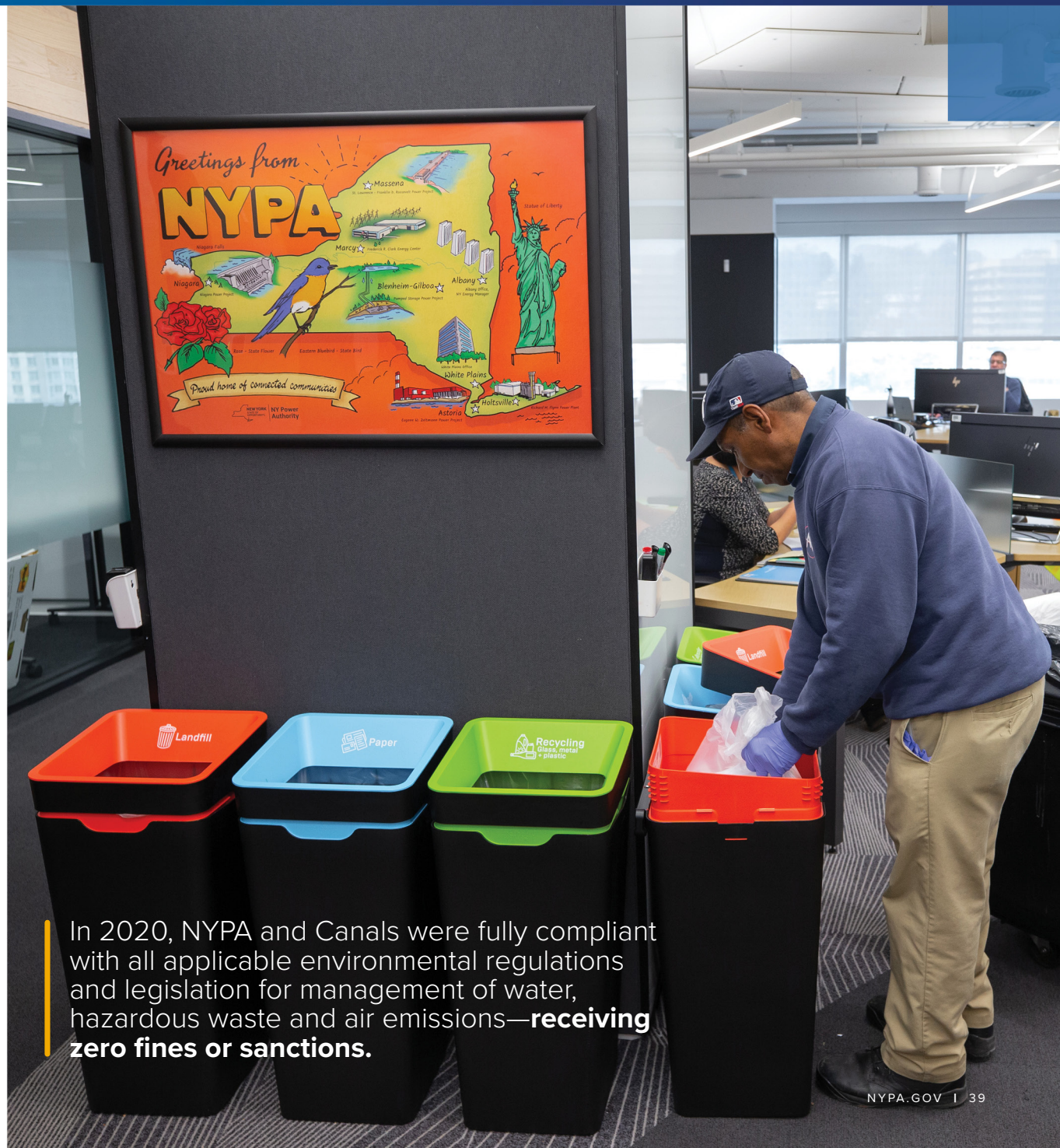
Reducing Waste

We aim to use resources efficiently and have implemented several workplace initiatives to reduce waste generation:

- Providing reusable dishes in office kitchens and installing water coolers to reduce use of disposable items
- Creating “swap stations” for surplus office supplies
- Removing desk-side receptacles and installing centralized waste stations for proper waste sorting and recycling
- Conducting employee training on waste reduction, reuse and recycling

In 2020, although many employees were working remotely, we continued to hold educational campaigns and events on waste, including our annual “Refuse Single Use Challenge” and a speaker event on America Recycles Day.

We also registered 29 facilities in a Zero Waste to Landfill program, setting the foundation for a multi-year initiative that aims to significantly reduce waste generation across all sites. This will include a waste audit, improved waste data tracking, an assessment of potential waste reduction and recycling strategies, and employee engagement and training.



In 2020, NYPA and Canals were fully compliant with all applicable environmental regulations and legislation for management of water, hazardous waste and air emissions—**receiving zero fines or sanctions.**

SOCIAL

Health & Safety

Ensuring the health and safety (H&S) of our employees, contractors, customers and host communities has always been paramount to our business success and performance. Never has this been more apparent than in the face of a global pandemic. And yet, never have we had more confidence in the resilience of our customers, our employees and the residents of New York State.

We are proud of the ways in which NYPA and Canals effectively supported and protected our people, customers and communities through the most disruptive event in memory.

Mounting a Swift and Effective COVID-19 Response Strategy

NYPA and Canals' swift and comprehensive response to the pandemic focused on protecting the health and safety of our workforce, as well as anchoring the power grid and providing essential services like keeping the lights on at hospitals.

NYPA was among the first U.S. electric utilities to arrange for mission-critical employees to sequester in place around-the-clock at six of our major generation and transmission facilities, where we protected them from infection and ensured the continuity of our vital infra-structure. We also provided employees with free on-site COVID-19 testing and flu shots, and mailed health kits to employees' homes that included face masks and thermometers.

In addition to these H&S measures, we placed a greater emphasis on employee physical and mental well-being by expanding the "Be Mindful" initiative, which includes the following components:

> **Resilience:** Supporting adaptability through uncertainty to create a more resilient workforce

> **Focus:** Improving rational decision-making in high-stakes environments to increase workplace focus and awareness

> **Well-being:** Managing stress through improved physical and mental well-being, while also helping to develop individuals' capacity to empathize with the challenges of others

Health & Safety Program and Performance

Our H&S program emphasizes workplace and job hazard analysis, safety controls, hazard elimination, training, education and continual improvement. Leadership is committed to providing a safe and healthy workplace, striving for full employee participation to help identify H&S hazards and proactively implement prevention controls.

We ensure NYPA and Canals employees are highly trained and skilled in their respective crafts and equipped to safely engage in the high-hazard job activities inherent in some employees' duties—such as working at considerable heights, with high voltage and near open waters.

We strive to create work environments free from recognized hazards and in compliance with applicable statutory and regulatory standards.[1] Our robust management, oversight and training program focuses on ensuring our operators, contractors and technicians carefully operate and maintain power generation and transmission equipment.

[1]NYPA and Canals are subject to regulation of the New York State Department of Labor (NYS DOL) Public Employee Safety and Health Bureau (PESH), created in 1980, which adopts and enforces safety and health standards that meet or exceed those promulgated under the United States Occupational Safety and Health Act, which created the Occupational Safety and Health Administration (OSHA). NYPA and Canals must also comply with the appropriate H&S regulatory requirements of the United States Coast Guard, New York State Public Service Commission and other program areas under the jurisdiction of the NYS DOL.

HEALTH & SAFETY MANAGEMENT APPROACH

> Our detailed H&S program is managed in each region by our environment, health and safety (EH&S) managers and safety administrators.

> Our EH&S department supports site programs and develops policies that are implemented across the organization. The team also employs a full-time occupational health nurse practitioner to address health and safety concerns.

> Our management and union safety committees identify and address H&S issues at all NYPA and Canals operational sites, conducting regular safety inspections and tailgate safety talks.

> We conduct regular internal audits of our H&S program, alongside a third-party audit every three years.

> We provide regular training to employees in accordance with applicable statutes, regulations and other standards.

> We are also committed to ensuring public safety in communities that host our facilities by implementing refreshed H&S policies, fostering relationships with agencies active in those communities, conducting regular safety assessments, and expanding public safety signage and protocols.

NYPA SAFETY PERFORMANCE

> Reduced DART rate[2] by 60% (from 0.97 to 0.39) between 2018 and 2020, against an annual target of 0.78

> Total employee recordable injury rate at NYPA sites fell by 72% between 2018 and 2020

> Zero employee fatalities between 2018 and 2020

> Exceeded our annual targets for tailgate safety talks by 26% (target: 1,832; actual: 2,307) and safety walkdowns by 92% (target: 360, actual: 690)

CATEGORIES	2018	2019	2020
EMPLOYEE DART RATE	0.97	0.76	0.39
TOTAL EMPLOYEE RECORDABLE INJURY RATE	1.73	1.22	0.49
TOTAL EMPLOYEE FATALITY RATE	0	0	0
NEAR MISSES (TOTAL)	428	439	466

CANALS SAFETY PERFORMANCE

From 2012-2017, the Canals DART rate was 5.9. This rate improved in 2017, its first year under NYPA, to 4.95. Recognizing the need to create a culture of safety and to support reaching the Canals DART target of 3.5, a Safety Improvement Committee was established between NYPA's EH&S department and Canals' leadership team. The committee fosters ongoing, transparent dialogue around safety improvement measures for the future.

[2] Days Away, Restricted or Transferred, used as a metric by OSHA to measure the impacts of workplace injuries.

Employee Development

Our people are our greatest asset, and we want to equip them to thrive and reach their full potential in a dynamic industry and a changing work environment.

We attract, grow and maintain our diverse workforce by supporting employees' career advancement and encouraging them to take ownership in their career development.

Employee development is managed at the organizational level through a regular review of workforce needs, employee engagement surveys and other forums for capturing employee feedback. Employees are empowered to drive their career development through the career development platform, talent development programs and performance management processes. Efforts are coordinated by the chief human resources and administration officer, vice president of organizational development and human resources, and chief DEI officer to ensure we create a more diverse, equitable and inclusive workforce. The effectiveness of employee development programs is regularly evaluated through performance indicators and employee engagement metrics.

NYPA was awarded the **Forbes Best Mid-Size Employer** distinction in 2018, 2019 and 2021, the first time a New York State authority has been recognized and a testament to the strength of our employee development programs.

Training and Development Programs

We hold ourselves to the highest standard, enabling NYPA and Canals employees to do their best work. Our employee engagement and talent development programs drive learning, shape organizational culture, and ensure employees can obtain the skills and experiences needed to advance professionally and bring our mission to life.[1]

Comprehensive employee training and development programs include:

> Customized teambuilding activities to engage staff in behaviors that drive performance

> Curated learning curriculum to develop knowledge and skills

> Immersive learning experiences, including The Blue Standard suite of manager and leadership training programs and access to an employer paid onsite MBA program—in partnership with a nationally recognized sustainable business program

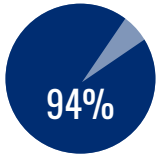
> Innovation challenges, such as the Eureka! program which provides a forum for employees to share innovative ideas on a range of topics, including operational improvements, sustainability opportunities and community engagement

> Continuous improvement projects to optimize our core business processes and increase our workforce effectiveness—resulting in over $10 million in cost and capacity savings

We recognize the importance of modeling sustainable practices to effectively influence corporate culture and make every effort to embed a sustainability mindset in employee engagement programming.

[1] All our employee development programs are available to non-union employees. Union represented employees participate in programs as negotiated with union leadership and outlined in collective bargaining agreements.

EMPLOYEE ENGAGEMENT HIGHLIGHTS



Between 2018 and 2020, over 94% of NYPA employees received regular performance and career development reviews

In 2020, the total retention touch points* for NYPA employees achieved 200% of the annual goal

Employee engagement initiatives led to a 35% increase in overall engagement scores between 2015 and 2019

Retention touchpoints are defined as an employee's engagement with talent development programs

CASE STUDY

DRIVE BLUE

Launched at the end of 2019, the DRIVE BLUE manager development program empowers managers to build engaged, adaptable teams that meet the needs of a transforming industry. DRIVE BLUE offers managers the opportunity to invest in their own development, keeping their skills current while meeting new and evolving workplace demands.

The program curriculum is grounded in manager competencies and touch-stone learning experiences, while also including coursework around DEI topics and management practices to underscore our commitment to embedding DEI across the enterprise.

Managers may self-select their learning path, choosing from applied skills practices, panel discussions with NYPA experts and e-learning courses based on their unique development needs and interests.

Diversity, Equity & Inclusion

Diversity, equity and inclusion (DEI) is a top corporate priority and foundational pillar of VISION2030. We recognize that a utility requires a dynamic workforce and rich culture that is truly representative. While NYPA has had a robust and wide-reaching DEI initiative for several years, stemming from the creation of the Office of Civil Rights & Inclusion (OCRI), we recently doubled our investment in DEI and crafted an enterprise-wide DEI program to ensure we are an employer of choice within the utility industry.

2020 DEI Milestones

Introduced a holistic, five-year **Ten-Point Diversity, Equity and Inclusion Plan**

Joined the **American Association of Blacks in Energy (AABE) Energy Equity Initiative**—the first energy company in the nation to do so

Launched a virtual program for **young women as future STEM leaders**, in collaboration with a local community college

Continued to **support staff virtually** with Employee Resource Group (ERG) programming, workshops, forums and safe spaces

Held **Special All Hands Meeting** in response to the summer's social unrest

Launched training to educate employees on how to **be an "Upstander"** against racism and build a culture of inclusion and respect

NYPA DEI TARGETS (2021-2025)

90%
DEI training completion rate per year achieved

90%
of employee development plans completed

40%
participation rate for specialty programs reached

30
annual ERG engagements established

Reinforcing our Commitments

By becoming the first energy company in the nation to join the AABE Energy Equity campaign, we committed to diversifying employment, leadership, business contracting and workforce development at NYPA and in the energy industry.

Our **Ten-Point Diversity, Equity and Inclusion Plan** was introduced in 2020 to catalyze this commitment by:

> Proactively implementing solutions to address populations traditionally underrepresented in the utility industry

> Educating our employees on racial justice and antiracism

> Strengthening NYPA's environmental justice ties in communities throughout New York State

> Growing our diverse supplier and partner relationships

The plan was developed with support from a newly established DEI working group, anchored by executive leadership, human resource centers of excellence, environmental justice and strategic supplier management. Programs are designed utilizing KPIs with the intent to provide tangible solutions for both our internal and external communities.

INTERNAL COMMITMENTS

> Expand ongoing training to NYPA employees on antiracism, unconscious bias, microaggression and cultural competency

> Create pathways for career development and upward mobility for NYPA employees and invest in our workforce to increase representation, starting with BIPOC (Black, Indigenous and People of Color) and other underrepresented groups

> Reaffirm NYPA's commitment to building and maintaining a diverse, equitable and inclusive culture

EXTERNAL COMMITMENTS

> Broaden NYPA's community-based STEM, student internship and mentorship programs to increase the pipeline of diverse utility and clean energy workers for tomorrow

> Leverage NYPA's experience, resources and purchasing power to build capacity and access for Minority and Women-owned Business Enterprises (MWBEs)

> Create an enterprise-wide employee service program dedicated to volunteer activities in environmental justice communities

Governance and Workforce Diversity

Our governance bodies—consisting of the Board of Trustees and EMC—are collectively responsible for guiding our DEI strategy and management. Recognizing this material topic as core to our mission and success, NYPA and Canals' leadership is committed to ensuring the accountability of our DEI management to the broader organization and our stakeholders.

We further hold ourselves accountable for the implementation of our Ten-Point Diversity, Equity and Inclusion Plan with oversight from our first chief DEI officer, who reports directly to both the president and CEO and the executive vice president and chief human resources and administration officer. Internal DEI efforts are also managed through a regular review of workforce needs, data inputs, hiring trends, employee complaints and requests, and feedback from ERGs and leadership.

We have a multigenerational workforce, with differences in representation across race and gender driven by geography and job classification. We analyze demographic data regularly across various employee categories, and plan to conduct further analyses of race and gender with an independent third party in 2021.

> "We are committed to walking the walk and talking the talk when it comes to racial justice and equality, diversity and inclusion. We will hear, at every governance meeting, from our Diversity, Equity and Inclusion team, led by our newly appointed chief diversity, equity and inclusion officer, to ensure that we are making progress against our Ten-Point Plan."
>
> **GIL QUINIONES, NYPA PRESIDENT AND CEO**

Community Engagement

Being a good neighbor and environmental steward means being responsive to community needs. That is why we are committed to ensuring the communities in which NYPA and Canals operate have access to clean, renewable energy that creates jobs and continues to build a green economy.

Community engagement is a collaborative, multi-tiered effort, targeting different stakeholder groups. These include community organizations, local community members, elected officials and over 1,400 NYPA customers, in addition to Canals stakeholders located along over 500 miles of Canal and trail systems.

Our engagement approach is designed to leverage our expertise in energy to provide programs and services that meet the unique needs of our **customers** and **communities**.

> **Customer programming and enhanced customer engagement services** focus on meeting customer needs and assisting with CLCPA compliance—amplified through the launch of new programs to improve the digital customer experience and regularly evaluate customer feedback. As part of VISION2030, we established a new corporate goal for customer engagement and will improve customer satisfaction by more than 10% by 2030.

> We host regular educational programs and outreach activities for **local communities and the general public that reach thousands of New Yorkers each year**, including community events such as the Wildlife Festival, Festival of Trees, electric vehicle ride and drives, and regular holiday and movie events.[1] NYPA also leads educational tours of our visitors and nature centers, hosts STEM camps and offers classes for school groups on a variety of energy topics. Many of NYPA's programs, all provided free of charge, are designed to increase public awareness around sustainability and climate change, promote sustainable practices and encourage the adoption of clean energy technologies.

> Our **Environmental Justice (EJ) program** also has a wide reach, involving **hundreds of community partners** each year and focusing on four key areas: STEM education, Adult Energy Literacy, Community Energy Efficiency Projects, and Community Engagement and Advocacy. Programs range from student STEM trainings, to supporting energy upgrades in local housing authorities, to educating low-income homeowners and renters about simple ways to conserve energy and lower utility costs without compromising comfort or safety.

Environmental Justice (EJ) is driven by a commitment to be a good neighbor to historically disadvantaged and marginalized communities located near our state-wide facilities, assets and programs (*four-mile radius in an urban area, 10-mile radius in a rural area*). The EJ team also serves as an internal advocate across NYPA and Canals, ensuring that community concerns are prioritized and incorporated into enterprise-wide programming and activities.

[1]For health and safety reasons, event restrictions and limitations around the COVID-19 pandemic impacted the occurrence of annual NYPA and Canals events for 2020.

NYPA GIVING WEEK

The annual "NYPA Giving Week" initiative hosted in conjunction with Martin Luther King Jr. Day encourages volunteers across NYPA and Canals' facilities to partner with area food banks and pantries.

In 2020 Clark Energy Center employees delivered 2,200 pounds of non-perishable food items to an area food bank—Utica Feed Our Vets Pantry—supporting military veterans in need and their families.

CASE STUDY

MEETING OUR COMMUNITIES WHERE THEY ARE, WITH WHAT THEY NEED

As the pandemic raged on over the course of 2020, we were thoughtful in making choices to close or reopen our visitors centers and other state-wide sites, working together across the organization to procure proper Personal Protective Equipment (PPE), install upgraded ventilation systems, and enact best practice protocols to ensure the health and safety of our employees and guests.

The COVID-19 pandemic significantly impacted our ability to deliver in-person EJ programs and community events. However, we swiftly adapted with the launch of a suite of virtual classroom modules reaching over 2,600 stakeholders. We also launched a research project on the environmental impact of indoor agriculture and food production, which in addition to delivering educational insights also produced a supply of year-round fresh produce to stakeholders economically impacted by the pandemic.

CASE STUDY

ADDRESSING RACIAL JUSTICE IN THE ENERGY SECTOR

In July 2020, NYPA became the first energy company in the nation to join the AABE Energy Equity Initiative, with an aim to increase the representation of African Americans in employment, leadership, business contracting and workforce development in the energy industry.

> "Like NYPA, we believe that working together we can be a better industry when we embrace opportunities to improve the representation of African Americans in the energy industry. With its Ten-Point Plan, NYPA is the first energy company to join our Energy Equity Initiative. NYPA has long demonstrated support for communities during times of great need."
>
> **PAULA R. GLOVER, FORMER PRESIDENT AND CEO, THE AMERICAN ASSOCIATION OF BLACKS IN ENERGY**

Programs within this partnership—such as those featured below—are designed to broaden NYPA's community-based STEM, student internship and mentorship programs to increase the pipeline of diverse utility and clean energy workers.

- **P-TECH Scholars Program:** The Pathways in Technology Early College High School (P-TECH) Program enables students located in historically under-resourced schools to begin their college and professional lives with more support than the typical school-to-work pathway. As an industry partner, NYPA selects public schools near its facilities. Students follow a utility-focused curriculum enhanced by mentorships, career centered events, paid internships and job shadowing to earn an associate degree at no cost. NYPA aims to establish 10 P-TECH partnerships by 2025.

- **The NYPA Future Energy Leader Scholarship:** NYPA will award 20 annual regional scholarships to high school students residing in historically disadvantaged communities near NYPA assets, for pursuit of energy-related STEM degrees.

Access & Affordability

We strive to deliver low-cost power and energy services to all our customers, including state agencies and local governments, businesses, and municipal and rural electric cooperatives. Further, we promote economic development to bolster community livelihoods in all parts of the state through the creation and retention of thousands of jobs, including Green Jobs.

This focus on access and affordability is organization-wide, with oversight from the EMC and Board of Trustees. Our operations business unit is responsible for producing the low-cost power that supports our economic development programs, as well as delivering a full range of energy solutions in the areas of clean energy supply, energy efficiency, distributed solar and storage, and electric transportation.

Investing in Access & Affordability

Between 2018 and 2020, we helped customers save

212,196 MWh

of electricity with our energy efficiency programs.

LOOKING AHEAD, NYPA PLANS TO:

Finance up to

$3 BILLION

for energy efficiency projects at customer facilities by 2030

Achieve

$550 MILLION

of third-party investment in customer sited renewables by 2025

40%

will be sited in low- to moderate-income (LMI) communities

Invest over

$100 MILLION

in EV charging infrastructure by 2025

NYPA will continue to support customer climate goals, including those outlined in the CLCPA, BuildSmart and New York City Local Law 97.

2020 Customer Energy Efficiency and Electrification Milestones

> We began installation of energy-saving LED streetlights throughout Utica, designed to save the city more than $1.5 million annually and reduce GHG emissions by approximately 2,280 tons a year—the equivalent of taking more than 1,600 cars off the road.

> We completed a $16 million project to install LED streetlights in Syracuse—saving the city $3.3 million annually and reducing GHG emissions by nearly 8,500 tons a year.

> We partnered with the Metropolitan Transportation Authority on platform lighting upgrades at Grand Central Terminal to reduce GHG emissions by 1,655 tons a year, resulting in significant savings in energy and maintenance costs.

> We equipped *Maid of the Mist* at Niagara Falls to launch the first all-electric vessels in the nation by providing clean, renewable hydropower.

> We installed 14 high-powered bus chargers at three transit agencies, as well as new DCFC and L2 chargers for the New York State Thruway Authority.

> Together with the NYSERDA, we launched a $1 million Transit Bus Electrification Master Plan that includes electrification roadmaps for the five largest upstate and suburban transit agencies in New York State.

CASE STUDY

BUILDSMART PROGRAM

New York State has set a state-wide target to reduce energy use by 185 TBtu by 2025, from a FY 2014-2015 baseline. The New York State BuildSmart program directs state agencies and authorities to lead by example in building energy efficiency to meet these ambitious targets. NYPA is the state-wide coordinator for the BuildSmart program and is responsible for assisting sister agencies and authorities with program implementation.

The first iteration of the program, BuildSmart 2020, targeted a 20% reduction in energy use intensity (EUI) by 2020 (baseline FY 2011-2012) for all agencies and authorities. **The program achieved an EUI reduction of 22.6%, and $514.2 million in cost savings.**

The current program, BuildSmart 2025, **targets a total energy reduction of 11 TBtu by 2025**, with each state agency/authority allocated a portion of the total. NYPA is working with agencies and authorities to develop project pipelines, and we are making good progress toward the target.

NY Energy Manager is an energy management information platform that enables our customers to monitor and manage energy use, costs and GHG emissions from their buildings. In 2020, we launched the NY Energy Manager dashboard as part of our digital customer experience portal, which is available to over 1,000 NYPA supply customers.

The NY Energy Manager platform supports BuildSmart 2025 tracking and reporting and currently includes over 16,000 facilities, with over 12,000 MMBtu recommended in energy savings.

EVolve NY Vehicle Electrification Initiatives

Under our EVolve NY program, we have made a commitment to invest over $100 million through 2025 to improve New York State's charging infrastructure and accelerate the adoption of EVs. As part of this effort, we are growing a network of fast, affordable and reliable public charging stations across New York State.

In 2020, NYPA:

> Opened our first fast charging site in the Mid-Hudson Valley, with units capable of charging an EV in just 20 minutes

> Finalized a 10-charger site at John F. Kennedy International Airport in Queens—the largest publicly-accessible fast charging site in the Northeast

> Installed three charging stations in the North Country, expanding the feasibility of EV ownership to a new region of the state

> Created our first "EV Accelerator Community" in the town of Fairport, a partnership to accelerate the adoption of EVs and integrate them into municipal infrastructure, community and culture

By the end of 2021, NYPA's fast charging network will stretch from Buffalo to New York City, counting more than 150 fast chargers. Our goal is to install up to 800 new fast charging stations throughout New York State by 2025.

Economic Development

We are building up communities across New York State by offering low cost, renewable hydropower to eligible commercial and industrial customers that are making capital investments and creating jobs. As of December 2020, NYPA's economic development programs supported over $21 billion in capital investment and created or retained 400,000 jobs.

Economic Development Programs

- **ReCharge NY (RNY)** provides 910 MW of hydro and market power to support **business attraction, expansion and retention** across the state.
- Western New York (WNY) Hydropower (**Expansion Power** and **Replacement Power**) provides 695 MW of hydropower generated at NIA. The program seeks to encourage **business attraction and expansion of existing facilities** located within a 30-mile radius of the Power Project. 20 MW has been made available for business expansion and attraction in Chautauqua County.
- **Preservation Power** is comprised of 490 MW of hydropower generated at the STL Power Project that may be allocated to eligible businesses located in the Franklin, Jefferson and St. Lawrence counties. The program is offered as an incentive to encourage **business expansion and attraction**.
- NYPA also offers grant funding to support capital project development in certain geographic regions.
  - The **WNY Economic Development Fund** (Proceeds) is available to eligible applicants located within a 30-mile radius of NIA.
  - The **Northern New York (NNY) Economic Development Fund** (Proceeds) is available to eligible applicants located in St. Lawrence County.

NYPA's economic development programs are managed by the Clean Energy Solutions department. Applications are reviewed against a number of statutorily established criteria, including capital investment, job impact, significance of cost of electricity, and alignment with regional economic development strategies and priorities. Program awards are made on a competitive basis with input from regional economic development stakeholders (Economic Development Power Allocation Board (EDPAB), WNY & NNY Regional Stakeholders, Proceeds Allocation Boards). All awards are reviewed and approved by NYPA's Board of Trustees.

CASE STUDY

ECONOMIC DEVELOPMENT CUSTOMER ASSISTANCE PROGRAM (EDCAP)

Recognizing that COVID-19 negatively impacted New York State's economy in a significant, long-term way, NYPA responded by creating EDCAP, a program that provides fiscal relief to economic development power customers during the ongoing pandemic with assistance such as relaxed payment terms and additional hydropower.

"We are committed to **supporting our economic development customers** through this challenging time. NYPA's low-cost hydropower is the lifeblood for hundreds of businesses across the state, **supporting hundreds of thousands of jobs**. It's critical that we ensure the benefits of our support are sustained during this devastating pandemic."

JOHN R. KOELMEL, NYPA CHAIRMAN

EDCAP PARTICIPATION AND IMPACT

43%

of eligible customers had monthly bills deferred for a period of up to six months

>50%

of customers received additional hydropower allocations under current job and capital investment commitments

Reimagine the Canals

Launched in January 2020, *Reimagine the Canals* is a $300 million initiative designed to adaptively reuse New York State Canal infrastructure for the economic and recreational benefit of New Yorkers, while driving operational efficiency in the system itself. The program's vision, once fully implemented, will reimagine the Canal system as a civic asset that can assist in the revitalization of upstate New York communities.

The initiative celebrates historic canal structures, develops canalside attractions and activities, adaptively reuses canal infrastructure, and implements operational improvements to decrease cost and generate revenue. NYPA's "Reimagine" team, in coordination with Canals, is responsible for the implementation of this program. Since its launch, over 70% of the overall $300 million initiative has been earmarked for more than 20 projects. Key projects to be developed and constructed by 2025 include:

- **Guy Park Manor:** a site being rehabilitated and reborn as a hospitality destination along the Mohawk River in Amsterdam, with a new pedestrian bridge to provide access to the Empire State Trail
- **Canastota Pocket Neighborhood:** a canalside pocket neighborhood development at a former industrial property along the Old Erie Canal
- **Brockport Loop Pedestrian Bridge:** a new pedestrian bridge to connect SUNY College at Brockport to the Empire State Trail
- **Cayuga Watercourse:** a new water sports course that will use existing canal infrastructure to control water flows

CANALS 2020 "STAYCATION"

The summer 2020 "Staycation" initiative promoting COVID-safe, outdoor recreational opportunities for state residents provided more than 2,800 participants with access to kayaking and biking activities. NYPA conducted a risk assessment of this program before launch, in light of additional H&S considerations.

GOVERNANCE

Enterprise Risk & Resilience

Our operating environment is becoming increasingly distributed and uncertain. However, with cross-functional risk management and resilience programs that leverage enhanced capabilities, NYPA and Canals are equipped to thrive in a shifting landscape and to protect and enhance the value we bring to New York State.

NYPA and Canals support a forward-leaning, risk- and resilience-aware organizational culture by:

- Cascading and cultivating the tone from the board, EMC and Executive Risk Management Committee to socialize risk awareness, appetite and tolerance, and to enhance decision-making across all echelons of the organization
- Implementing a framework to enable personnel to identify a broadened view of typical and atypical emergent threats, risks and consequences, and to manage, mitigate and escalate challenges in accordance with NYPA's risk appetite
- Promoting a strong governance culture that enables plan execution while minimizing unnecessary risk, and that integrates processes and capabilities to prepare for, respond to and recover from future disruptions and unintended consequences

Managing Risk and Resilience

Maintaining and strengthening NYPA and Canals' risk and resilience posture is a shared responsibility amongst all stakeholders. Our risk management and resilience approach provides transparency and visibility across the organization to ensure all leaders and personnel are equipped to contribute to NYPA and Canals long-term success.

Starting at the highest levels of the organization, the risk and resilience team facilitates recurring updates and information exchanges during Board of Trustees and Finance & Risk Committee meetings to validate and inform program frameworks, risk appetites, objectives and priorities. This information is cascaded to several committees that enable cross-cutting support of risk and resilience awareness and activities, including an Executive Risk Management Committee that convenes business unit leaders monthly to discuss, resolve and create actions plans around risks that have the greatest impact on our organization, and a NYPA Secure & Resilient Committee that convenes departmental leaders to provide guidance, facilitate communication, and help build a culture of security and resilience across our organization.

In addition, the risk and resilience team ensures a common understanding of program responsibilities, requirements and objectives across the enterprise, and promotes risk and resilience messaging and best practices through our AllWays Resilient Awareness Campaign, team trainings, drills and exercises, a weekly Resilience Call and issue escalation to the Executive Risk Management Committee.

> In 2020, the resilience, strategic supply management and supplier relationship management teams partnered to identify and assess voluntary actions to manage risks with NYPA's supply chain security and to enhance supply chain resiliency, including a supply chain risk questionnaire that addresses concerns raised by the North American Transmission Forum, and processes following the spirit of the Prohibition Order in accordance with Executive Order 13920 Securing the United States Bulk-Power System. Resulting recommendations were presented to the Executive Risk Management Committee.

Enhancing Risk and Resilience Capabilities

NYPA and Canals is committed to bringing its risk- and resilience-aware culture to the forefront, from the top-down, by leveraging strong support from the Board of Trustees, Finance & Risk Committee and EMC.

NYPA's commitment to risk management and resilience manifested with the deployment of the Enterprise Governance, Risk and Compliance System (EGRC) that provides a common framework for managing policies, internal controls, risks and assessments across the organization, thereby enabling cross-functional collaboration, alignment and reporting. The solution empowers personnel to self-identify, manage and measure their own risks. It also improves the risk and resilience team's capabilities to connect the dots between different functions, positioning NYPA to better manage risk, prepare for and adapt to changing conditions, and withstand and recover rapidly from disruption.

> In 2020, NYPA deployed the EGRC system. Along with offering enhanced capabilities, the deployment of the EGRC system supports our strategic initiatives, such as the VISION2030 foundational pillars Digitization and ESG, by advancing informed and transparent decision-making.

Regulatory Management & Compliance

As the nation's largest state-owned public utility, NYPA is committed to leading by example to ensure all corporate and business unit policies, procedures and practices comply with federal and state statutory, regulatory and industry requirements.

Beyond ensuring consistent compliance with current regulations as required by law, we are dedicated to monitoring future regulatory advancements by remaining proficient in relevant energy market issues that impact the implementation of renewable energy resources and transmission construction.

When appropriate, NYPA participates in NYISO, PJM Interconnection LLC (PJM) and New York State Transmission Owners (NYTO) meetings to:

- Advocate for clean energy and smart transmission construction
- Assess opportunities to incorporate cost of carbon into energy pricing
- Develop and implement equitable cost recovery mechanisms to allocate the costs of achieving a green new grid

We collaborate with other utilities and industry stakeholders to stay up-to-date on legislation and regulations and drive best practices in the energy industry. We also share operational best practices with trade associations and through transmission/generation forums.

Managing Risks through Regulatory Management and Compliance

We promote a culture of risk management and resilience through development and execution of robust regulatory management and compliance programs.

- **Enterprise-wide Internal Controls Program** consistent with the Internal Control Integrated Framework model developed by the Committee of Sponsoring Organizations of the Treadway Commission (COSO)
- **Internal Business Controls Group**, established in 2020 and dedicated to helping management identify, promote and strengthen internal controls across NYPA
- **Internal Audit Department**, which works closely with the risk management team to ensure effective integration of risk and exposure into the enterprise risk management program and collaborates with the Office of Ethics and Compliance to enhance internal controls and mitigate insider threats and fraud risks
- **Ethics and Compliance Program**, overseen by the Office of Ethics and Compliance, which advises on the legal, regulatory and NYPA Code of Conduct ethics and compliance standards relating to our employees and operations, while also coordinating the investigation of allegations and concerns involving NYPA and Canals' assets and employees
- **Environmental Regulatory Compliance Program** aligned with relevant legislation such as the Clean Air Act, Clean Water Act and New York State Environmental Conservation Law
- **External Employee Concerns Line**—1-877-TEL-NYPA—enabling employees to report allegations or concerns related to statutory and regulatory compliance and adherence to policies and procedures

Compliance-related activities are overseen by the EMC and the Board of Trustees' Audit Committee, Governance Committee, and Finance & Risk Committee, reinforcing the commitments of NYPA and Canals' leaders to institutionalize a culture of compliance across the organization.

ESTABLISHING REGIONAL EH&S DEPARTMENTS AND MANAGERS

In 2020, NYPA implemented an enterprise-wide organizational change to improve our environment, health and safety (EH&S) performance, establishing an EH&S department in each of our New York State regions. Having these EH&S professionals in one department enhances resilience, knowledge transfer and succession planning efforts by providing an increased breadth of oversight.

We also created a new leadership role, the EH&S manager, that reports directly to the regional manager and indirectly to the corporate vice president, EH&S. The EH&S manager is responsible for his or her respective region's compliance with applicable regulations promulgated by OSHA, PESH, USEPA, NYSDEC, USACOE, SHPO, and NYS and NYC DOH, and for championing NYPA's goal of continual improvement in EH&S performance.

ETHICS AND COMPLIANCE REPOSITORY

The Office of Ethics and Compliance maintains an electronic inventory of all statutory and regulatory mandatory reporting and training affecting NYPA and Canals. In the fall of 2019, the Repository was enhanced with compliance reporting and training profiles (approximately 290) and modified to include a "compliance owner" field. Compliance owners now have the ability to attach reports and supporting documentation, creating a comprehensive record that will be retained with each reporting and training profile.

CASE STUDY

MANAGING AND ENHANCING GRID RELIABILITY THROUGH REGULATORY COMPLIANCE

Our regulatory compliance programs bolster our work to ensure a reliable, resilient and secure grid. We embed regulatory compliance within our operational processes, striving to implement controls and practices that go above and beyond required regulatory activities.[1]

We have robust internal programs focused on compliance and performance improvement, including periodic Reliability Standards Compliance (RSC) assessments to review the controls' adequacy and effectiveness. We also conduct internal audits, peer and industry benchmarking analyses, and surveys.

We have established cross-functional governance processes and collaborate across business units, keeping NYPA leaders informed of initiatives impacting enterprise-wide policies, resources and operations. Our management and oversight policies and processes align with industry standards (such as ISO 55001) and are established with input from leadership, stakeholders and industry.

[1]We are compliant with Federal Energy Regulatory Commission (FERC), North American Electric Reliability Corporation (NERC) and Northeast Power Coordinating Council, Inc. (NPCC)—aligning with NPCC Reliability Standards and participating in periodic NPCC internal compliance program evaluations.

Cyber & Physical Security

Navigating our increasingly digital world and protecting NYPA and Canals from cyber and physical threats are critical to organizational safety, security and resilience. By establishing market-leading cyber and physical security programs and building a work environment protected from cyber and physical threats, NYPA and Canals strive to:

- Deliver secure solutions and services that advance our mission and support operations
- Increase organization-wide security awareness
- Ensure response readiness with actionable security standards and training
- Serve as a model of success for state entities and utility partners by promoting industry best practices in cyber and physical security

Embedding Cyber and Physical Security

The Cyber & Physical Security Committee of the Board of Trustees, coupled with the Executive Risk Management Committee, provide for strong oversight and management of NYPA's physical and cyber security management processes. A defense-in-depth strategy is in place to address security risks across all systems controlled by NYPA and Canals. These are designed to meet or exceed industry standards and comply with applicable regulations for the protection of our facilities, technology systems, employee safety and G&T operating assets. We also work with government and industry partners and participate in information-sharing events, drills and industry conferences to closely track new and emerging threats.

Our cyber and physical security programs implement layered defenses and detection capabilities to protect NYPA and Canals from a range of threats. We also provide user awareness training and share best practices across the organization to minimize risks, for example, encouraging employees to report suspicious activity and phishing based threats.

> "As we continue to innovate and provide greater value to our customers through digitization, we must also ensure that we do not create new exposures that could be exploited by cyber-threat adversaries and threaten our critical infrastructure. This evolution will require a new set of cyber security capabilities that are scalable and enable a collective-defense concept to protect NYPA and its customers from a continuously evolving cyber threat landscape."
>
> **ERIC MEYERS, NYPA VICE PRESIDENT AND CHIEF INFORMATION SECURITY OFFICER**

LEADING A WORLD-CLASS CYBERSECURITY CENTER OF EXCELLENCE

Our digital ecosystem and the cyber threat landscape are constantly evolving, and our cyber security efforts are expanding across all NYPA and Canal sites to mirror new and emerging trends, such as integrating cloud-based solutions and innovating work-from-home security.

In August 2020, we announced a collaborative partnership with an industry-leading industrial controls provider to establish a Cybersecurity Center of Excellence. This first-of-its-kind industrial cybersecurity monitoring, research and innovation center will focus on detecting and defending against cyberattacks on critical NYPA infrastructure.

The center is a first step in bringing together a coalition of public, private and academic partnerships that will build the core capabilities needed to identify new and existing cyber threats, adopt new technologies to protect digital infrastructure and attract talent to the energy industry.

[1]NYPA complies with all regulatory and industry-specific regulations and requirements, such as NERC Critical Infrastructure Protection (CIP) Reliability Standards and FERC Hydrosecurity Standards.

CASE STUDY

ENSURING AN EFFECTIVE AND SECURE COVID-19 RESPONSE THROUGH DIGITAL INNOVATION

At the start of the pandemic, the 120 members of NYPA's IT business unit turned our entire enterprise into a productive and secure work-from-home force in less than five days. Plant operations staff were successfully sequestered and NYPA continued to provide critically needed power to medical centers and field hospitals, including the converted Javits Center in Manhattan.

> "COVID-19 posed unprecedented challenges and our information technology team really stepped up to help us adapt to a very unique and trying period. We were able to seamlessly transform our workforce into an efficient remote operation and continue our critical mission of providing affordable, clean and reliable power across the state."
>
> **ROBERT PIASCIK, NYPA SENIOR VICE PRESIDENT AND CHIEF INFORMATION AND TECHNOLOGY OFFICER**

Technology solutions NYPA leveraged in this swift response included:

- Launch of Microsoft Teams, a project that was a pilot experiment for a small group prior to COVID-19, and rapidly developed into a full enterprise deployment in just a few weeks
- Platforms such as weekly broadcast messages and web conferencing that allowed senior leadership to regularly communicate with staff
- Applications that provided a fast and efficient way for employees to check-in daily and report on health issues

Supply Chain & Procurement Practices

NYPA and Canals' strategy and success are bolstered with a supplier network spanning more than 7,000 entities that support all aspects of our operations. We recognize the scale of our impact across this broad network.

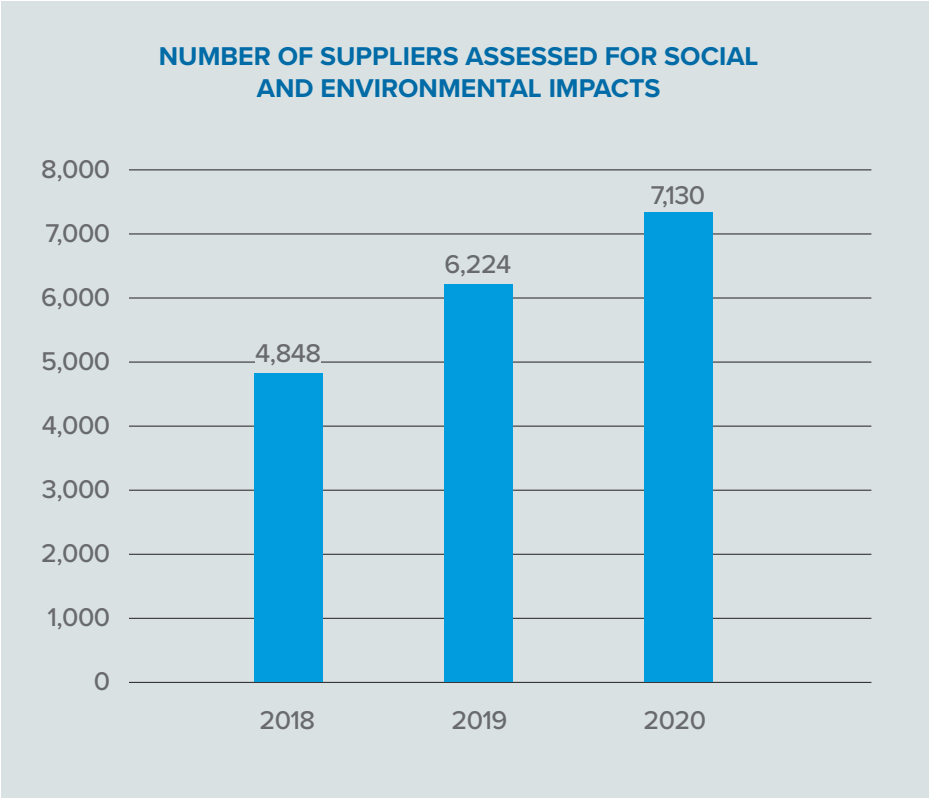
ADVANCING SUPPLY CHAIN SUSTAINABILITY

We strive to manage our supply chain sustainably and reduce the environmental and social impacts of our operations. We are working to minimize the impacts of our suppliers and purchased products, as well as increase the number of local and diverse suppliers we work with—including New York State businesses, MWBEs and Service-Disabled Veteran Owned Businesses (SDVOB)—and the amount of money we spend on their services.

We are integrating ESG into our supply chain by embedding sustainability criteria in procurement processes, continuing to build relationships with suppliers and increasing transparency across our supplier network.

We add approximately 800 suppliers to our network each year, leveraging a robust screening and evaluation process that identifies and prioritizes suppliers based on a range of critical performance indicators including environmental and social impacts. We have also integrated sustainability criteria into our supplier risk modules. In 2020, 67% of new suppliers were screened using ESG criteria.

NYPA was the first New York State government entity to include ESG criteria in its supplier evaluation process.



We regularly engage with our suppliers to build strong relationships and have developed a targeted supplier engagement strategy to optimize engagement by supplier category. Our annual supplier sustainability assessment is distributed to the suppliers that conduct the most business with NYPA, including all Tier 1 suppliers and our top Tier 2 suppliers, as measured by spend.

NYPA participates in industry groups that support the development of sustainable procurement strategies, including the Electric Utility Industry Sustainable Supply Chain Alliance (EUISSCA), the Natural Gas Supply Collaborative and the EPRI SF_6 Supplemental Project.

Maximizing Supply Chain Diversity

We are invested in working with New York State suppliers and ensuring diversity across our supply chain.

To build capacity and access to diverse firms, we host supplier diversity events and deliver education and training. We also participate in an average of nine supplier outreach events per year, all hosted virtually in 2020. We advertise procurements state-wide to ensure locally based diverse suppliers have access to bidding opportunities. Additionally, we use New York State's discretionary spend guidelines, when applicable, to engage locally based diverse suppliers and promote economic inclusion. Our goal to build capacity and access to diverse firms is reinforced by the new Ten-Point Diversity, Equity and Inclusion Plan.

This local supply chain focus resulted in 53% of NYPA's procurement budget, and 90% of Canals' procurement budget, spent on New York State suppliers in 2020.

WE EXCEEDED OUR SUPPLIER DIVERSITY GOALS IN 2020

24%
of NYPA and Canals' total identified MWBE spend with New York State certified suppliers

63%
of NYPA and Canals' total identified SDVOB spend with New York State certified suppliers

NYPA and Canals' total identified MWBE spend and total identified SDVOB spend are based upon established New York State criteria, including but not limited to, services to be performed, availability of certified suppliers and geographic location. In 2020, our MWBE and SDVOB targets were 22% and 6%, respectively.

CASE STUDY

DIVERSE SUPPLIER SUPPORT IN TIMES OF NEED

The COVID-19 pandemic severely impacted the global supply chain, particularly in relation to PPE. Our diverse and small business supplier network jumped into action and were instrumental in procuring the PPE and supplies necessary for our employees to feel protected from the coronavirus.

These suppliers delivered food early in the pandemic when other businesses were closed, printed COVID-19 signage for all NYPA and Canals sites when awareness messaging was needed the most, and supplied PPE kits when wholesale suppliers could not support our needs. Diverse suppliers also assisted with daily health screenings and COVID-19 testing by helping to identify available nurses in remote locations during the pandemic.

In a time of immense need that required immediate action, our supply chain showed up and helped us navigate a swift COVID-19 response.

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Authority
Canal
Corporation

Appendix

Performance Data

GRI 102-08: Number of Employees

	2020		
	Female	Male	
NYPA			**Total**
Total number of employees	478	1,495	1,973
Permanent employees	470	1,456	1,926
Provisional employees	7	37	44
Temporary employees	1	2	3
Full-time employees	465	1,464	1,929
Part-time employees	13	31	44
Canals			
Total number of employees	61	402	463
Permanent employees	56	360	416
Temporary employees	5	42	47
Full-time employees	58	401	459
Part-time employees	3	1	4

GRI 405-1: Diversity of Governance Bodies

		2020	
		Female	Male
Categories	**Unit**		
Under 30 years	%	0.00	0.00
30-50 years	%	20.00	6.67
Over 50 years	%	6.67	66.66
Total	**%**	**26.67**	**73.33**

Data reflects Board of Trustees and EMC composition as of December 31, 2020.

GRI 405-1: Diversity of Employees

		2020		
		Female	Male	
Categories	**Unit**			**Total**
NYPA				
Under 30 years	%	2.33	5.27	7.60
30-50 years	%	12.27	40.65	52.91
Over 50 years	%	9.63	29.85	39.48
Canals				
Under 30 years	%	1.30	10.58	11.88
30-50 years	%	4.97	35.85	40.82
Over 50 years	%	6.91	40.39	47.30

An independent analysis of NYPA and Canals' diversity data is currently underway. Data for additional diversity categories will be disclosed once the analysis is completed.

NYPA and Canals' MWBE and SDVOB Spend

	Unit	2018	2019	2020
Percent of Total Identified MWBE Spend with New York State Certified Suppliers	%	18.22	22.94	24.43
Percent of Total Identified SDVOB Spend with New York State Certified Suppliers	%	38.26	70.41	62.60

NYPA and Canals' total identified MWBE spend and total identified SDVOB spend are based upon established New York State criteria, including but not limited to, services to be performed, availability of certified suppliers and geographic location.

Performance Data

SASB IF0101-12: Health & Safety Performance: NYPA

Categories	Unit	2018	2019	2020
Employee DART Rate	Rate	0.97	0.76	0.39
Total Employee Recordable Injury Rate	Rate	1.73	1.22	0.49
Total Employee Fatality Rate	Rate	0	0	0
Near Misses	Rate	428	439	466

SASB IF0101-12: Health & Safety Performance: Canals

From 2012-2017, the Canals DART rate was 5.9. This rate improved in 2017, its first year under NYPA, to 4.95. Recognizing the need to further institutionalize a culture of safety and to support reaching the Canals DART target of 3.5, a Safety Improvement Committee was established between NYPA's environmental health and safety business unit and Canals' leadership team—fostering ongoing, transparent dialogue around safety improvement measures for the future.

Categories	Unit	2018	2019	2020
Employee DART Rate	Rate	3.44	4.05	5.07
Total Employee Recordable Injury Rate	Rate	5.40	5.40	6.19
Total Employee Fatality Rate	Rate	0	0	0

GRI 302-1: Energy Consumption within Organization

Categories	Unit	2018	2019	2020
Electricity	MWh	663,124.99	706,658.83	690,319.19

GRI 303-1 and SASB IF0101-05: Water Withdrawal by Source

Categories	Unit	2018	2019	2020
Total volume of water withdrawn	Billion liters	199.96	208.69	placeholder
Water withdrawn in regions with high or extremely high baseline water stres	%	0.00052715	0.00032575	placeholder
Water withdrawn from surface water	Billion liters	199.96	208.69	placeholder
Water withdrawn from ground water	Kiloliters	1,054,096.97	679,821.78	placeholder

SASB IF0101-05: Water Management

Categories	Unit	2018	2019	2020
Total water consumed	Kiloliters	6,973,633	6,740,837	placeholder
Water consumed in regions with high or extremely high baseline water stress	%	9.18	6.05	placeholder

Performance Data

GRI 303: Water Recycled and Reused

Categories	Unit	2018	2019	2020
Total volume of water recycled and reused by NYPA	Billion liters	199.96	208,69	placeholder
Total volume of water recycled and reused as a percentage of the total water withdrawal	%	99.99	99.99	placeholder

GRI 306-2: Hazardous Waste: NYPA

Categories	Unit	2018	2019	2020
Total weight of hazardous waste	Pounds	184,954	15,227	11,100
Recycling	Pounds	243	77	2,094
Incineration (mass burn)	Pounds	11,282	14,556	9,006
Landfill	Pounds	173,429	594	0

GRI 306-2 Hazardous Waste: Canals

Categories	Unit	2020
Total weight of hazardous waste	Pounds	17,460
Recovery, including energy recovery	Pounds	300
Landfill	Pounds	17,160

GRI 305-01, 305-04, 305-05: GHG Emissions

Categories	Unit	2018	2019	2020	Gases Included
Total Scope 1 Emissions	MT CO2e	1,425,325.4	1,369,772.3	placeholder	CO2, CH4, N2O, SF6
Emission intensity	MTCO2e/ MWh	0.0522	0.0499	placeholder	CO2, CH4, N2O, SF6

GRI 305-07 and SASB IF0101-04: Significant Air Emissions

Data refers to SENY reportable emissions only. For these disclosures, emission factors from 40 Code of Federal Regulations (CFR) Part 75 (for NOx, SOx) and Environmental Protection Agency (EPA) AP-42 (for other significant air pollutants) were used.

Categories	Unit	2018	2019	2020
NOX	kilograms	186,857	266,714	placeholder
SOX	kilograms	7,538	13,805	placeholder
Volatile organic compounds (VOC)	kilograms	11,386	17,784	placeholder
Hazardous air pollutants (HAP)	kilograms	11,719	15,916	placeholder
Particulate matter (PM)	kilograms	79,595	105,229	placeholder

GRI Index

This is NYPA and Canals' first year referencing the *Global Reporting Initiative* (GRI) Standards, in alignment with the GRI Standards Core option. Data included in this disclosure may differ from data otherwise included in the report or other disclosures in order to conform to GRI reporting requirements.

GRI Standard	GRI Disclosure	Location and Notes
GRI 102: General Disclosures 2016		
102-01	Name of the organization	**About Us**
102-02	Activities, brands, products and services	**About Us**
102-03	Location of headquarters	**About Us**
102-04	Location of operations	**About Us**
102-05	Ownership and legal form	**About Us**
102-06	Markets served	**About Us** **2020 Financial Report, p. placeholder** **2019 Financial Report, p. 5.**
102-07	Scale of the organization	
102-08	Information on employees and other workers	**About Us** **Performance Data** We use 2020 data as our baseline and will disclose year-by-year comparisons in future years. As projects warrant, non-employees (consultants and contractors) are hired to augment design work, inspection and construction activities.
102-09	Supply chain	**Supply Chain & Procurement Practices** NYPA and Canals secure suppliers to support critical operations, maintenance and capital projects, as well as bulk electric system, power plant, canal system, trailway and energy efficiency projects. Over 7,000 contractors, consultants and equipment suppliers, among others, are engaged to support both NYPA and Canals. The estimated monetary value of payments made to suppliers is $743,899,980 for NYPA and $87,499,310 for Canals, based upon 2019 annual numbers.
102-10	Significant changes to the organization and its supply chain	**Supply Chain & Procurement Practices**
102-11	Precautionary Principle or approach	We do not formally apply this principle, but it does inform our thinking about sustainability and risk management.
102-12	External initiatives	These are referenced throughout the report.

GRI Standard	GRI Disclosure	Location and Notes
102-13	Membership of associations	We are active members of the American Public Power Association (APPA), Electric Power Research Institute (EPRI) and Large Public Power Council (LPPC). Other memberships and partnerships are referenced throughout the report.
102-14	Statement from senior decision-maker	**Leadership Statement**
102-16	Values, principles, standards, and norms of behavior	**About Us**
102-18	Governance structure	**Sustainability Governance**
102-40	List of stakeholder groups	**Stakeholder Engagement**
102-41	Collective bargaining agreements	Percentage of employees covered by collective bargaining agreements: NYPA: 2018: 31%; 2019: 30%; 2020: 29%. Canals: 2018: 91.9%; 2019: 91.3%; 2020: 92.9%
102-42	Identifying and selecting stakeholders	**Stakeholder Engagement** **Community Engagement** **Employee Development** **Supply Chain & Procurement Practices**
102-43	Approach to stakeholder engagement	**Stakeholder Engagement** **Community Engagement** **Employee Development** **Supply Chain & Procurement Practices**
102-44	Key topics and concerns raised Stakeholder Engagement	**Stakeholder Engagement** **Community Engagement** **Employee Development** **Supply Chain & Procurement Practices**
102-45	Entities included in the consolidated financial statements	**2020 Financial Report, p. placeholder**
102-46	Defining report content and topic Boundaries	NYPA's Sustainability Report is developed based on the requirements of the GRI principles for defining report content, including sustainability context, materiality, completeness and stakeholder inclusiveness.
102-47	List of material topics	**ESG Focus Areas**

GRI Standard	GRI Disclosure	Location and Notes
102-48	Restatements of information	About This Report
102-49	Changes in reporting	About This Report
102-50	Reporting period	01-01-2020 to 12-31-2020
102-51	Date of most recent report	This is NYPA's first Sustainability Report developed in alignment with the GRI Standard.
102-52	Reporting cycle	Annual
102-53	Contact point for questions regarding the report	About This Report
102-54	Claims of reporting in accordance with the GRI Standards	This report has been prepared in accordance with the GRI Standards: Core option.
102-55	GRI content index	GRI Index
102-56	External assurance	This report did not undergo external assurance.
GRI 201: Economic Performance 2016		
103-1	Explanation of the material topic and its Boundary	ESG Focus Areas
103-2	The management approach and its components	2020 Financial Report, p. placeholder Climate Change & GHG Emissions Economic Development
103-3	Evaluation of the management approach	2020 Financial Report, p. placeholder Climate Change & GHG Emissions Economic Development Sustainability Governance
201-2	Financial implications and other risks and opportunities due to climate change	Climate Change & GHG Emissions Enterprise Risk & Resilience
GRI 203: Indirect Economic Impacts 2016		
103-1	Explanation of the material topic and its Boundary	ESG Focus Areas
103-2	The management approach and its components	Climate Change & GHG Emissions Community Engagement Economic Development

GRI Standard	GRI Disclosure	Location and Notes
103-3	Evaluation of the management approach	**Climate Change & GHG Emissions** **Community Engagement** **Economic Development** **Sustainability Governance**
203-1	Infrastructure investments and services supported	We make significant infrastructure investments through the development of customer-sited solar and storage, implementation of energy efficiency projects and installation of state-wide electric vehicle charging infrastructure. These efforts positively impact our stakeholders, community and climate through the avoidance of GHG emissions and other air emissions, creation of green jobs, investments in community development and energy savings. NYPA's *Reimagine the Canals* initiative is investing $300 million in the New York State Canal System, and will yield positive impacts for communities and local economies by increasing local farmers' high-value crop yields, promoting outdoor recreation and fishing, encouraging canalside living and expanding regional tourism. All projects under *Reimagine the Canals* are funded by our capital and operating funds, and we seek to collaborate with relevant public agencies, philanthropies and private sector interests to complement that funding through outside sources. We have established regional councils and a technical advisory council to serve as channels for communication with stakeholder groups about canal operations, economic development and resilience—thus ensuring local support and engagement. For more information see **Access & Affordability**, **Community Engagement** and **Economic Development.**
GRI 204: Procurement Practices 2016		
103-1	Explanation of the material topic and its Boundary	**ESG Focus Areas**
103-2	The management approach and its component	**Supply Chain & Procurement Practices**
103-3	Evaluation of the management approac	**Supply Chain & Procurement Practices**
204-1	Proportion of spending on local suppliers	Local is defined as New York State. Our significant locations of operation are all within New York State. Proportion of spending on local suppliers as percentage of total procurement budget: NYPA: 2018: 66.0%; 2019: 66.6%; 2020: 53.4% Canals: 2018: 77.2.%; 2019: 88.6%; 2020: 90.3%

GRI Standard	GRI Disclosure	Location and Notes
GRI 302: Energy 2016		
103-1	Explanation of the material topic and its Boundary	ESG Focus Areas
103-2	The management approach and its components	Energy Efficiency & Electrification Energy Reliability Renewable Energy & Energy Storage
103-3	Evaluation of the management approach	Sustainability Governance Energy Efficiency & Electrification Energy Reliability Renewable Energy & Energy Storage
302-1	Energy consumption within the organization	Performance Data
302-4	Reduction of energy consumption	Cumulative figures conserved as part of BuildSmart program. 2018: 2.6 TBtu 2019: 3.5 TBtu 2020: 4.0 TBtu
GRI 303: Water 2016		
103-1	Explanation of the material topic and its Boundary	ESG Focus Areas
103-2	The management approach and its components	Environmental Stewardship
103-3	Evaluation of the management approach	Environmental Stewardship Sustainability Governance
303-1	Water withdrawal by source	Performance Data Rainwater collected and stored is not tracked. We do not handle wastewater from other organizations.
303-3	Water recycled and reused	Performance Data Percentages are calculated based on collective water withdrawal and consumption data inputs.

GRI Standard	GRI Disclosure	Location and Notes
GRI 304: Biodiversity 2016		
103-1	Explanation of the material topic and its Boundary	**ESG Focus Areas**
103-2	The management approach and its components	**Environmental Stewardship**
103-3	Evaluation of the management approach	**Environmental Stewardship** **Sustainability Governance**
304-2	Significant impacts of activities, products and services on biodiversity	During construction projects, NYPA uses best management practices to limit environmental impacts, including minimizing the transport of invasive species during large-scale transmission projects and ROW maintenance activities. No significant impacts on biodiversity, pollution-related incidents, introduction of invasive species, reduction in species or habitat conversion have been recorded or observed during the reporting period. See **Environmental Stewardship** for more information about biodiversity programs.
304-3	Habitats protected or restored	**Environmental Stewardship**
GRI 305: Emissions 2016		
103-1	Explanation of the material topic and its Boundary	**ESG Focus Areas**
103-2	The management approach and its components	**Climate Change & GHG Emissions**
103-3	Evaluation of the management approach	**Climate Change & GHG Emissions** **Enterprise Risk & Resilience** **Sustainability Governance**
305-1	Direct (Scope 1) GHG Emissions	**Climate Change & GHG Emissions** Scope 1 GHG emissions calculations are completed using emission factors from 40 Code of Federal Regulations (CFR) Part 98.
305-2	Energy indirect (Scope 2) GHG emissions	NYPA does not currently track Scope 2 emissions. We plan to disclose Scope 2 emissions and set a baseline in the future.
305-3	Other indirect (Scope 3) GHG emissions	NYPA does not currently track Scope 3 emissions. We plan to disclose Scope 3 emissions and set a baseline in the future.

GRI Standard	GRI Disclosure	Location and Notes
305-7	Nitrogen oxides (NOx), sulfur oxides (SOx), and other significant air emissions	Performance Data
GRI 306: Waste 2016		
103-1	Explanation of the material topic and its Boundary	ESG Focus Areas
103-2	The management approach and its components	Environmental Stewardship
103-3	Evaluation of the management approach	Environmental Stewardship
306-3	Significant spills	Zero spills financially material in 2020.
306-4	Transport of hazardous waste	The export, import and international transport of hazardous waste is not conducted by NYPA.
GRI 307: Environmental Compliance 2016		
103-1	Explanation of the material topic and its Boundary	ESG Focus Areas
103-2	The management approach and its components	Environmental Stewardship Regulatory Management & Compliance
103-3	Evaluation of the management approach	Environmental Stewardship Regulatory Management & Compliance
307-1	Non-compliance with environmental laws and regulations	NYPA was in compliance with environmental laws and/or regulations in 2020.
GRI 308: Supplier Environmental Assessment 2016		
103-1	Explanation of the material topic and its Boundary	ESG Focus Areas
103-2	The management approach and its components	Supply Chain & Procurement Practices
103-3	Evaluation of the management approach	Supply Chain & Procurement Practices
308-1	New suppliers that were screened using environmental criteria	Supply Chain & Procurement Practices
308-2	Negative environmental impacts in the supply chain and actions taken	Supply Chain & Procurement Practices

GRI Standard	GRI Disclosure	Location and Notes
GRI 401: Employment 2016		
103-1	Explanation of the material topic and its Boundary	**ESG Focus Areas**
103-2	The management approach and its components	**Employee Development**
103-3	Evaluation of the management approach	**Employee Development**
401-2	Benefits to full-time employees that are not provided to temporary or part-time employees	Besides best-in-class health, welfare, wellness and time off benefits, NYPA and Canals offer access to a pension plan.
GRI 403: Occupational Health and Safety 2018		
103-1	Explanation of the material topic and its Boundary	**ESG Focus Areas**
130-2	The management approach and its components	**Health & Safety**
103-3	Evaluation of the management approach	**Health & Safety**
403-6	Promotion of worker health	**Health & Safety**
GRI 404: Training and Education 2016		
103-1	Explanation of the material topic and its Boundary	**ESG Focus Areas**
103-2	The management approach and its components	**Employee Development** **Diversity, Equity & Inclusion**
103-3	Evaluation of the management approach	**Employee Development** **Diversity, Equity & Inclusion**
404-1	Average hours of training per year per employee	**NYPA:** 2018: 42.41 hours; 2019: 46.32 hours; 2020: 25.45 hours. **Canals:** 2018: 20.6 hours; 2019: 25.6 hours; 2020: 8.7 hours. In 2020, optional employee training paused briefly as the organization and training partners adapted programs to the virtual environment due to COVID-19.
404-3	Percentage of employees receiving regular performance and career development reviews	The percentage of full-time NYPA employees receiving regular performance reviews was 95% in 2018, 93% in 2019 and 91% in 2020. Canals currently does not have a formal performance review process but is in the process of developing a comprehensive plan. Data specified per gender will be collected in future reporting years.

GRI Standard	GRI Disclosure	Location and Notes
GRI 405: Diversity and Equal Opportunity 2016		
103-1	Explanation of the material topic and its Boundary	**ESG Focus Areas**
103-2	The management approach and its components	**Diversity, Equity & Inclusion**
103-3	Evaluation of the management approach	**Diversity, Equity & Inclusion**
401-5	Diversity of governance bodies and employees	An independent analysis of NYPA and Canals' diversity data is currently underway. Data for additional diversity categories will be disclosed once the analysis is completed. **Diversity, Equity & Inclusion** **Performance Data**
GRI 406: Non-discrimination 2016		
103-1	Explanation of the material topic and its Boundary	**ESG Focus Areas**
103-2	The management approach and its components	**Diversity, Equity & Inclusion**
103-3	Evaluation of the management approach	**Diversity, Equity & Inclusion**
406-1	Incidents of discrimination and corrective actions taken	We do not report number of incidents of discrimination in this report because this data is confidential. The Office of Civil Rights & Inclusion houses our Equal Employment Opportunity (EEO) safeguards and aims to hold all NYPA and Canals employees accountable and discourage hostile workplace treatment and discrimination. The EEO policies provide clear guidelines for the rights and responsibilities of employee channels for reporting incidents of discrimination, as well as the investigation of such complaints as mandated by New York State. We have an open-door policy for in-person meetings and can be contacted directly by phone or email. Our Labor Relations and Human Resources team is available to support employees with workplace disputes as well. There is a third-party, confidential and toll free hot-line available to employees for complaints and comments. The represented workforce may also pursue workplace issues via the grievance process in accordance with their respective collective bargaining agreements.
GRI 413: Local Communities 2016		
103-1	Explanation of the material topic and its Boundary	**ESG Focus Areas**
103-2	The management approach and its components	**Community Engagement** **Economic Development**

GRI Standard	GRI Disclosure	Location and Notes
103-3	Evaluation of the management approach	**Community Engagement** **Economic Development**
413-1	Operations with local community engagement, impact assessments, and development programs	We conduct regular community engagements and have development programs in place in the communities in which we operate. We conduct impact assessments when required by law or requested by customers. See **Community Engagement** for more information.
GRI 418: Customer Privacy 2016		
103-1	Explanation of the material topic and its Boundary	**ESG Focus Areas**
103-2	The management approach and its components	**Community Engagement** **Cyber & Physical Security**
103-3	Evaluation of the management approach	**Community Engagement** **Cyber & Physical Security**
418-1	Substantiated complaints concerning breaches of customer privacy and losses of customer data	We do not have any reported customer privacy breaches for the reported time frame of 2018 to 2020.
GRI 419: Socio-economic Compliance 2016		
103-1	Explanation of the material topic and its Boundary	**ESG Focus Areas**
103-2	The management approach and its components	**Regulatory Management & Compliance**
103-3	Evaluation of the management approach	**Regulatory Management & Compliance**
419-1	Non-compliance with laws and regulations in the social and economic area	We have not identified any incidents of non-compliance with laws and/or regulations. We self-report instances of non-compliance with NPCC: 2018: 1; 2019: 6; 2020: 7. We have developed mitigation plans in timely fashion in agreement with NPCC to prevent recurrence.

SASB Index: Electric Utilities Standard

Topic	Accounting Metric	Category	Unit of Measure	Code	Response
Greenhouse Gas Emissions & Energy Resource Planning	(1) Gross global Scope 1 emissions, (2) percentage covered under emissions-limiting regulations, and (3) percentage covered under emissions-reporting regulations	Quantitative	Short tons (t) CO2-e, Percentage (%)	IF0101-01	(1) 2020: **See Climate Change & GHG Emissions.** (2) and (3): New York participates in the *Regional Greenhouse Gas Initiative* (RGGI), the first mandatory market-based program in the United States to reduce greenhouse gas emissions. All NYPA's Southeast New York generating facilities are subject to RGGI.
	Description of long-term and short-term strategy or plan to manage Scope 1 emissions, emission-reduction targets, and an analysis of performance against those targets	Discussion and Analysis	n/a	IF0101-02	**Climate Change & GHG Emissions**
	(1) Number of customers served in markets subject to renewable portfolio standards (RPS) and (2) percentage fulfilment of RPS target by market	Quantitative	Number, Percentage (%)	IF0101-03	Not applicable. New York State does not have a Renewable Portfolio Standard. New York does have a Clean Energy Standard issued by the Public Service Commission, but NYPA is not subject to the jurisdiction of the Public Service Commission.
Air Quality	Air emissions of the following pollutants: NOx (excluding N2O), SOx, particulate matter (PM10), Pb, and Hg; percentage of each in or near areas of dense population	Quantitative	Metric tons (t), Percentage (%)	IF0101-04	Air emissions included in **Performance Data.** Percentage of each in or near areas of dense population: 2018: 100%; 2019: 100%; 2020: 100%.
Water Management	(1) Total water withdrawn and (2) total water consumed, percentage of each in regions with High or Extremely High Baseline Water Stress	Quantitative	Cubic Meters (m3), Percentage (%)	IF0101-05	**Performance Data**

Topic	Accounting Metric	Category	Unit of Measure	Code	Response
	Number of incidents of non-compliance with water quality and/or quantity permits, standards, and regulations	Quantitative	Number	IF0101-06	In 2020, NYPA had 9 reportable events for parameters monitored and reported under its State Pollutant Discharge Elimination System (SPDES) permits for its operating facilities. Canals reported two instances of non-compliance with the SPDES General for Stormwater Discharges from Construction Activity in 2020. No fines were issued.
	Discussion of water management risks and description of strategies and practices to mitigate those risks	Discussion and Analysis	n/a	IF0101-07	We employ best management practices for management of process and contact stormwater containment, effluent treatment and monitoring at operating facilities. Stormwater management at operating facilities and construction projects also follows best management practices and standards for erosion control, inspection and monitoring. Strategies focus on protection and conservation, in particular for notable resource areas such as sole source aquifers and New York City's drinking watershed. See **Environmental Stewardship** for further information.
Coal Ash Management	Amount of coal combustion residuals (CCR) generated, percentage recycled	Quantitative	Metric tons (t), Percentage (%)	IF0101-08	We do not own or have specified coal generation contracts.

Topic	Accounting Metric	Category	Unit of Measure	Code	Response
	Total number of coal combustion residual (CCR) impoundments and number by EPA Hazard Potential Classification, broken down by EPA structural integrity assessment	Quantitative	Number	IF0101-09	We do not own or have specified coal generation contracts.
Community Impacts of Project Siting	Number of projects requiring environmental or social modification, percentage of modifications resulting from formal public interventions or protests	Quantitative	Number, Percentage (%)	IF0101-10	Information is confidential and cannot be disclosed without customer approval.
	Discussion of community engagement processes to identify and mitigate concerns regarding project environmental and community impacts	Discussion and Analysis	n/a	IF0101-11	Information is confidential and cannot be disclosed without customer approval.
Workforce Health & Safety	(1) Total recordable injury rate (TRIR), (2) fatality rate, and (3) near miss frequency rate (NMFR)	Quantitative	Rate	IF0101-12	NYPA: (1) 0.49 (2) 0.0 (3) 466 – This figure reflects number of near miss incidents, instead of rate Canals: (1) 6.2 (2) 0.0 (3) Not available See **Health & Safety** and **Performance Data** for further information.

Topic	Accounting Metric	Category	Unit of Measure	Code	Response
End-Use Efficiency & Demand	Percentage of electric load served by smart grid technology	Quantitative	Percentage (%) by Megawatt Hours (MWh)	IF0101-13	Data is not available. As a generation and transmission company, NYPA installs smart grid technology to support integration of distributed generation and increase generation and transmission efficiency across the transmission system—not tied to specific loads.
	Customer electricity savings from efficiency measures by market	Quantitative	Megawatt-Hours (MWh)	IF0101-14	2018: 103,015 MWh 2019: 82,071 MWh 2020: 27,110 MWh Annual MWh savings depend on how many projects are completed that year. There has been a significant reduction in savings in 2020 due to paused construction because of COVID-19.
Nuclear Safety & Emergency Management	Total number of nuclear power units, broken down by Nuclear Regulatory Commission (NRC) Action Matrix Column	Quantitative	Number	IF0101-15	Not applicable, we do not own or operate nuclear power generation.
	Discussion of efforts to manage nuclear safety and emergency preparedness	Discussion and Analysis	n/a	IF0101-16	NYPA and Canals do not own or operate nuclear power generation. NYPA does have an Emergency Management program in place that is applicable to our hydro and fossil generating units. Our security and emergency management programs include FERC Dam Safety requirements.
Grid Resiliency	Number of incidents of non-compliance with North American Electric Reliability Corporation (NERC) Critical Infrastructure Protection standards	Quantitative	Number	IF0101-17	Due to FERC restrictions, this information cannot be released.
	(1) System Average Interruption Duration Index (SAIDI), (2) System Average Interruption Frequency Index (SAIFI), and (3) Customer Average Interruption Duration Index (CAIDI), inclusive of major event days	Quantitative	Minutes, Number	IF0101-18	Not applicable, we do not provide distribution services.

Topic	Accounting Metric	Category	Unit of Measure	Code	Response
Management of the Legal & Regulatory Environment	Discussion of policies and processes to identify and manage potential ethical violations resulting from interactions with utility commissions	Discussion and Analysis	n/a	IF0101-19	Our Code of Conduct contains the standards of behavior expected of all Trustees, officers and employees as required by the NYS Public Officers Law, including conflicts of interests and the provision of unwarranted privileges. **NYPA Code of Conduct.** **Canals Code of Conduct.**
	Amount of legal and regulatory fines and settlements associated with allegations of violations resulting from interactions with utility commission	Quantitative	U.S. Dollars ($)	IF0101-200	Zero. As part of internal compliance monitoring program, self-identified non-compliance instances are logged and reported with NPCC/NERC with zero-dollar penalty.
	Discussion of positions on the regulatory and political environment related to environmental and social factors and description of efforts to manage risks and opportunities presented	Discussion and Analysis	n/a	IF0101-21	We monitor state and federal regulatory proceedings for changes in relevant policies and programs, and identify and act on opportunities to advocate for policies and programs that align with and support our sustainability goals. See also **Regulatory Management & Compliance** and **Community Engagement**.

Activity Metric	Category	Unit of Measure	Code	Response
Number of (1) residential and (2) commercial customers served	Quantitative	Number	IF0101-A	NYPA has over 1,400 customers, including governmental agencies, municipal/rural electric cooperatives, businesses, neighboring states and investor-owned utilities. NYPA does not have residential customers.
Length of transmission and distribution lines	Quantitative	Kilometers (km)	IF0101-B	1455.7 miles
Total electricity generated, percentage by major energy source, percentage in regulated markets	Quantitative	Megawatt-hours (MWh), Percentage (%)	IF0101-C	Total: 28,611,838 MWh Hydropower: 88% Natural gas: 12%

Glossary

A

AABE—American Association of Blacks in Energy

B

BIPOC—Black, Indigenous and People of Color

C

Canals—New York State Canal Corporation

CEO—Chief Executive Officer

CLCPA—Climate Leadership and Community Protection Act

COSO—Committee of Sponsoring Organizations of the Treadway Commission

D

DART—Days Away, Restricted or Transferred Rate

DEI—Diversity, Equity and Inclusion

E

EDCAP—Economic Development Customer Assistance Program

EDPAB—Economic Development Power Allocation Board

EGRC—Enterprise Governance, Risk and Compliance System

EH&S—Environment, Health and Safety

EJ—Environmental Justice

EMC—Executive Management Committee

EPRI—Electric Power Research Institute

ERGs—Employee Resource Groups

ESG—Environmental, Social, Governance

EUI—Energy Use Intensity

EUISSCA—Electric Utility Industry Sustainable Supply Chain Alliance

EV—Electric Vehicle

F

FERC—Federal Energy Regulatory Commission

G

GHG—Greenhouse Gas

GRI—Global Reporting Initiative

G&T—Generation and Transmission

H

HVAC—heating, ventilation and air conditioning

H&S—Health and Safety

I

IPCC—Inter-governmental Panel on Climate Change

iSOC—Integrated Smart Operations Center

IVM—Integrated Vegetation Management

K

KW—Kilowatt

L

LED—Light-emitting Diode

LMI—Low- to Moderate-Income

M

MW—Megawatt

MWBE—Minority and Women-owned Business Enterprises

MWh—Megawatt-hour

N

NERC—North American Electric Reliability Corporation

NIA—Niagara Power Project

NNY—Northern New York

NPCC—Northeast Power Coordinating Council, Inc.

NYISO—New York Independent System Operator

NYPA—New York Power Authority

NYSDEC—New York State Department of Environmental Conservation

NYSDOL—New York State Department of Labor

NYSERDA—New York State Energy Research and Development Authority

NYTO—New York State Transmission Owners

O

OCRI—Office of Civil Rights & Inclusion

OSHA—Occupational Safety and Health Administration

P

PESH—Public Employee Safety and Health Bureau

PJM—PJM Inter-connection LLC

PPE—Personal Protective Equipment

P-TECH—Pathways in Technology Early College High School

R

REC—Renewable Energy Credits

RGGI--Regional Greenhouse Gas Initiatives

ROW—Rights of Way

RSC—Reliability Standards Compliance

S

SAC—Sustainability Advisory Council

SASB—Sustainability Accounting Standards Board

SDVOB—Service-disabled Veteran Owned Businesses

SENY—Southeast New York

SF_6—Sulfur hexafluoride

STEM—Science, Technology, Engineering and Mathematics

STL—St. Lawrence-FDR Power Plant Project

T

TBtu—Trillion British Thermal Units

TCFD—Task Force on Climate-related Financial Disclosures

TCR—The Climate Registry

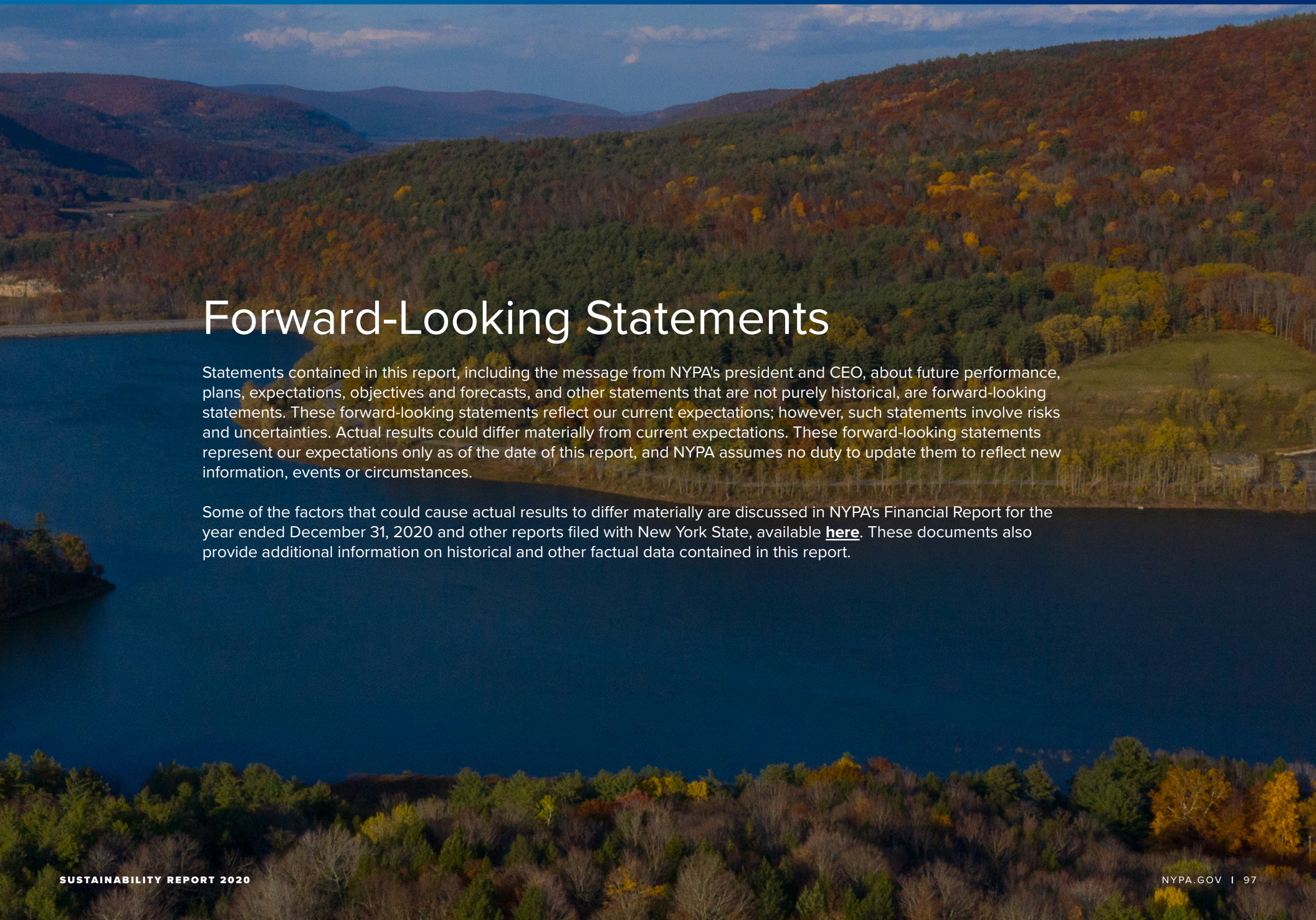
TWh—Terawatt-hour

U

UN SDG—United Nations Sustainable Development Goals

W

WNY—Western New York



Forward-Looking Statements

Statements contained in this report, including the message from NYPA's president and CEO, about future performance, plans, expectations, objectives and forecasts, and other statements that are not purely historical, are forward-looking statements. These forward-looking statements reflect our current expectations; however, such statements involve risks and uncertainties. Actual results could differ materially from current expectations. These forward-looking statements represent our expectations only as of the date of this report, and NYPA assumes no duty to update them to reflect new information, events or circumstances.

Some of the factors that could cause actual results to differ materially are discussed in NYPA's Financial Report for the year ended December 31, 2020 and other reports filed with New York State, available **here**. These documents also provide additional information on historical and other factual data contained in this report.

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MINUTES OF THE SPECIAL MEETING
OF THE
GOVERNANCE COMMITTEE

December 1, 2020

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December 1, 2020

Minutes of the regular meeting of the New York Power Authority and Canal Corporation's Governance Committee held via videoconference at approximately 9:00 a.m.

The following Members of the Governance Committee were present:

Dennis Trainor, Chair
John Koelmel
Eugene L. Nicandri
Tracy McKibben
Michael Balboni
Anthony Picente, Jr.

Also in attendance were:

Gil Quiniones	President and Chief Executive Officer
Justin Driscoll	Executive Vice President and General Counsel
Joseph Kessler	Executive Vice President and Chief Operating Officer
Kristine Pizzo	Executive Vice President and Chief Human Resources and Administrative Officer
Adam Barsky	Executive Vice President and Chief Financial Officer
Sarah Salati	Executive Vice President and Chief Commercial Officer
Yves Noel	Senior Vice President – Strategy & Corporate Development
Soubhagya Parija	Senior Vice President and Chief Risk Officer
Angela Gonzalez	Senior Vice President – Internal Audit
Robert Piascik	Senior Vice President and Chief Information Officer
Karen Delince	Vice President and Corporate Secretary
Joseph Gryzlo	Vice President and Chief Ethics & Compliance Officer
Daniella Piper	Vice President – Digital Transformation Office and Chief of Staff
John Canale	Vice President – Strategic Supply Management
Ruth Colon	Vice President – Enterprise Shared Services
Saul Rojas	Vice President – Enterprise Resilience
Christina Reynolds	Treasurer
Nancy Harvey	Chief Diversity, Equity & Inclusion Officer
Susan Craig	Director – Media Relations
Kaela Mainsah	Senior Manager – Environmental Justice
Victoria Daniels	Manager – Supplier Diversity
Lorna Johnson	Senior Associate Corporate Secretary
Sheila Quatrocci	Associate Corporate Secretary

Chair Dennis Trainor presided over the meeting. Corporate Secretary Delince kept the Minutes.

Introduction

Chair Dennis Trainor welcomed committee members and Authority senior staff to the meeting. He said that the meeting had been duly noticed as required by the Open Meetings Law and called the meeting to order pursuant to Section B(4) of the Governance Committee Charter.

1. Adoption of the Proposed Meeting Agenda

On motion made by Member John Koelmel and seconded by Member Tracy McKibben, the Agenda was adopted.

2. Motion to Conduct an Executive Session

"Mr. Chairman, I move that the Governance Committee conduct an executive session to discuss the employment history of a particular person, pursuant to section 105 of the Public Officers Law." On motion made by member Michael Balboni and seconded by member Tracy McKibben, the members held an executive session.

3. Motion to Resume Meeting in Open Session

"Mr. Chairman, I move to resume the meeting in Open Session." On motion made by member Eugene Nicandri and seconded by member John Koelmel, the meeting resumed in Open Session.

Chairman Trainor said that no votes were taken during the Executive Session.

4. DISCUSSION AGENDA:

Ten-Point Racial Justice and Equity Plan

"President Quiniones introduced the Authority's Ten-Point Racial Justice and Equity Plan to the Committee. He said that the death of George Floyd on May 25th was not only a tragedy, but also a wake-up call for all of us as individuals, our nation, companies, and communities to reflect, once again, on the persistent issue of racial justice, diversity, equity, and inclusion. NYPA and Canals have been doing their part in this very large, complex equation and aspire to lead by example.

To that end, NYPA formed a team to work on this issue with several Town Hall meetings with the Employee Resource Group and the employees, in general. The team developed a Plan that included NYPA's partnership with the American Association of Blacks in Energy, that was submitted to the Board in July. A follow-up to that Plan was presented to the members at the September Board meeting. At this meeting, Kristine Pizzo, Nancy Harvey, Victoria Daniels, and Kaela Mainsah will outline two key areas of the Authority's goals, plans and desired outcomes.

The first key area is the investments that NYPA and Canals are going to make in the spirit of continuous improvement in diversity, equity, and inclusion. The second area will be investments in our communities and the society at large, which will be divided into two subareas. The first area will focus on how NYPA will channel at least $500 million in customer energy solutions to benefit disadvantaged and environmental justice communities. NYPA plans to create jobs and opportunities to the members of those communities. The second area is an endeavor to double NYPA's procurement of goods and services from M/WBE firms, from an average of $80 million per year to $160 million per year in five years; this will exceed the State's M/WBE goals.

President Quiniones then asked Ms. Kristine Pizzo, Executive Vice President and Chief Human Resources & Administrative Officer, and the team to present the Plan to the members (Exhibit 4a-A).

NYPA's Commitment to Diversity, Equity, and Inclusion

Ms. Pizzo said that in July, staff had presented the members with a Ten-Point Plan commitment toward advancing diversity, equity, inclusion, both internally and externally. At that meeting, the leaders of the Office of Civil Rights and Inclusion, Supplier Diversity and Environmental Justice, presented the plans to create a more diverse workforce, advance opportunities for minority and woman-owned businesses in the supply chain and create opportunities for underserved communities. She also said that the members challenged staff to prepare a Plan that more fully represent the depth and breadth of this commitment and staff prepared a framework to realize that goal for the members' approval. She said staff will now present a Plan that builds upon the ten commitments and demonstrates how important this initiative is, not just through words, but through actions.

Ms. Pizzo continued that, over the next five years, the Plan will invest $685 million in new and existing resources and programs to achieve this commitment. The goal is to target and channel investments of at least $500 million in Customer Energy Solutions projects in disadvantaged communities; channel the supply chain to strengthen women and minority-owned businesses, doubling the existing annual investment to $160 million; and investing $25 million to implement Diversity, Equity and Inclusion ('DEI') programs including expanding NYPA's commitment to train, develop and retain staff, and foster a culture where all employees are valued and treated fairly. She then invited Ms. Nancy Harvey, Chief Diversity, Equity and Inclusion Officer and the other DEI leaders to outline NYPA's commitments, investments, and outcomes.

OFFICE OF CIVIL RIGHTS & INCLUSION

"Ms. Nancy Harvey presented NYPA's diversity, equity, and inclusion plan to the Committee. She said that, as the largest state-owned public power organization in the nation, NYPA has always set an example in the energy industry with its commitment to producing clean, renewable energy and creating jobs across New York State. NYPA continues a strong tradition of innovative effort in 2020.

This year was marked by an unmistakable call to action for change. We are in the third wave of a pandemic and have witnessed breathtaking incidents of racial injustice. Also evident is the disproportionate impact on minority communities. Since June, the Authority has been challenged to double its efforts to build a talented and diverse workforce and a culture that is welcoming and inclusive.

During the last meeting, the Committee was presented with a comprehensive Ten-Point Diversity, Equity, and Inclusion Plan that was led by a Steering Committee in collaboration with Employee Resource Group, Subject Matter Experts, and Cross-functional Business Units. The seven internal facing commitments managed by the Office of Civil Right and Inclusion were designed to 1) cultivate an equitable work environment in which all staff have a fair opportunity to reach their fullest potential; and 2) establish and ensure processes, procedures and policies that enable diversity, equity, and inclusion.

Organized around accountability, transparency, and education, these three key principles, are not just about doing the right thing, but they are also a strategic business priority that will lead to creativity and innovation by a workforce that reflects the communities in which we live and work, and, most importantly, a workforce that is engaged and feels valued and heard.

In September, challenged by the Board to ensure that the Plan was aggressive and as robust as possible, the Plan was further accelerated and broadened to launch targeted initiatives. This included programs for career development and expanded training and development to ensure a culture that can communicate with each other effectively.

Investment
NYPA's commitment to, and investment in, diversity, equity, and inclusion extends beyond the Office of Civil Rights and Inclusion. In fact, on a daily basis, cross-functional diversity, equity, and inclusion champions in other Business Units advance initiatives and programs across the organization. In doing so, the Authority will achieve such values and aspirational goals for an incremental budget investment of $7 million.

Outcomes
The Diversity, Equity, and Inclusion Plan presents a path for the next five years where NYPA will establish diversity, equity, and inclusion as a value and as a priority in its VISION2030 Strategy.

- *The Human Resources department is currently working on the career pathing framework. They have engaged the organization to develop values that include diversity, equity, and inclusion.*

- *The Office of Civil Rights and Inclusion has also been working with Talent Development and recently launched a training for all managers aimed at mitigating bias in performance reviews for a more effective and motivating experience for the managers, also, more importantly, for their direct reports.*

- *The Office of Civil Rights and Inclusion has developed Key Performance Indicators and refreshed its baseline metric analysis which is expected to grow and expand as the programs mature.*

- *The Office of Civil Rights and Inclusion has engaged the Employee Resource Groups, activated them around the area of recruitment.*

The Office of Civil Rights and Inclusion hopes that through its efforts everyone will see themselves as champions and leaders of diversity, equity, and inclusion. The goal is that everyone will feel empowered to make changes within their sphere of influence. Certainly, people of color will see themselves reflected across NYPA's workforce and leadership, and, in so doing, they will want to join the Authority's ranks to innovate and thrive.

SUPPLY DIVERSITY

"Ms. Victoria Daniels, Manager of Supplier Diversity, provided the following report:

Build Capacity
At the last meeting, the 11 proposed Supply Diversity DEI initiatives that remove barriers and increase capacity for M/WBEs were discussed. It was voiced that the overarching goal was to grow the supply chain by driving economic development in local communities. The members, however, asked that staff enhance this initiative to be more impactful to the Authority's suppliers.

Accelerating Path to Promote Supplier Diversity
The 11 Supplier Diversity DEI initiatives have been refreshed to increase the breadth and stretch of the program from a local to a national level, finding new M/WBE suppliers and contractors who provide the goods and services needed by the Authority.

NYPA can assist by collaborating with not-for-profits and the local economic development organizations; creating M/WBE educational programs and academies; expanding M/WBE network locally and nationally; increasing and developing partnering opportunities with NYPA's existing supplier base; and developing a Mentor Protege program with a full-blown training component that will be available virtually and in person throughout New York State.

Investments
- *The issues facing small M/WBE businesses is insurance and bonding. NYPA will work with its Insurance Group to expand its Owner Controlled Insurance Program ("OCIP"). This will allow more suppliers to bid and participate on NYPA's projects, equating to fewer single- and sole-source awards.*

- *NYPA is on the right track with targeted marketing/outreach events. A recent IT outreach event resulted in new relationships with M/WBEs and substantial new awards during the month of November.*

- *DEI policies and procedures are integral to the success of the program. Targeted enterprise-wide, mandatory DEI training is the key to successfully meeting the Supplier Diversity goals.*

- *Supplier Diversity have started to review the Credit Card Policy and is leveraging its external support to build-out a detailed Supplier Diversity Roadmap that will address the 11 initiatives.*

- *By year's end, Supplier Diversity will have participated in nine M/WBE events and eight supplier training webinars on the NYPA.gov website.*

Outcomes
Future outcomes that will be realized and beneficial to NYPA include:

- *completion of the goal to modify the policies and procedures to remove barriers and assist firms in increasing the capacity of their businesses.*

- *decrease the amount of single- and sole-source awards.*

- *award more contracts to M/WBEs; increase the M/WBE spend; and increase the pool of eligible M/WBE suppliers.*

The five-year incremental budget investment request for Supplier Diversity is $12 million. In addition to the increase for M/WBE spend, this incremental budget investment in the Supplier Diversity Program will help NYPA create true economic development opportunities in local communities throughout New York State by investing in the education and business development of small businesses. If NYPA is able to help the businesses build a firm foundation, those businesses can give back to the communities in which they reside. Jobs and wealth can therefore be grown. These businesses will be ready to become sub-contractors to NYPA's primes, or even be capable of bidding as primes on procurement opportunities.

The success of the program will be realized when NYPA can boast that it has helped a firm build, grow, and sustain; then that firm can help others do the same. NYPA's strength is in the community, and NYPA seeks to expand communities to include a greater expanse of M/WBE suppliers that are not only partners, but, potentially, a pipeline for Environmental Justice and the Authority's internal mentoring programs.

This is also an opportunity for NYPA to continue to be at the forefront of Supplier Diversity Best Practices, showing that it is more than a regulatory/compliance program. To have a program built on a solid business development foundation of community and economic development that partners with Environmental Justice is beneficial for NYPA as not many, if any, Supplier Diversity programs are moving in this space. NYPA had discussions with M/WBEs, Suppliers, and economic development organizations throughout New York State, specifically in the Buffalo region in the North Country, and all of them are interested in partnering with the Authority. They all fervently believe in NYPA's mission to bring economic development and growth, not only to M/WBEs and small businesses that work with NYPA, but also all areas in NYS. This will enable NYPA to continue to be the Supplier Diversity shining star of best practices in NYS.

ENVIRONMENTAL JUSTICE

"Ms. Kaela Mainsah, Senior Manager of Environmental Justice, provided a report on the two commitments that the Environmental Justice ("EJ") Department has made to support the DEI initiatives.

- *EJ is committed to diversifying the pipeline of future clean energy workers.*

- *EJ has a commitment to Pathways in Technology ("PTECH") which is a program where High School students graduate with both a High School Diploma and a no-cost Associate Degree. NYPA will be joining a network of PTECH scholars and industry partners, worldwide, who have made PTECH the core of their workforce pipeline. Additionally, EJ is committed to investing in scholarship programs for students who live in communities surrounding NYPA's facilities.*

- *EJ has developed an enterprise-wide employee service program, so that NYPA's resources, time, and expertise, can be shared for the benefit of its host communities.*

- *In addition to supporting the DEI initiatives, NYPA's broader environmental justice commitments will accelerate the Authority's path toward Environmental Justice and Equity.*

- *New York State has recently embarked on several ambitious climate-related legislations focused on benefitting historically disadvantaged communities, encompassing low-income*

communities, communities of color, and communities that have historically been subject to negative environmental factors.

- *NYPA's workforce is actively involved in developing the plans for the climate change legislation. NYPA is in a unique position to demonstrate corporate responsibility and the prioritization of underserved communities in the just transition to a clean energy economy.*

- *NYPA's traditional EJ programs provide energy literacies through STEM, workshops for adults, and energy projects. All these programs will be enhanced through the DEI commitments.*

Investments

NYPA PTECH Scholars Program

- *NYPA will be making a 5-year commitment to schools in each NYPA region.*

- *NYPA will commit to increase the number of PTECH Partner Schools to 10 by 2025; this will represent 720 PTECH Scholars over that time period.*

- *NYPA will be joining existing PTECH partnerships with a defined curriculum with an energy-related focus.*

- *NYPA is committed to establish partnerships, and this will give the Authority time to develop career pathways, mentors, and appropriate internships to support these students.*

- *The EJ team will be working with NYPA's suppliers and customers in the PTECH commitment to provide energy industry career opportunities.*

Future Energy Leaders Scholarship

Community-based partners from existing stakeholders in each region that NYPA has operations have been identified for Industry and Community Partnership Scholarship programs. These organizations already have a great track record of disbursing industry partnerships and scholarships. NYPA plans to disburse ten scholarships per year for the first two years, building up to 20 scholarships per year by the end of 2025.

Employee Community Volunteer Corps

The Employee Volunteer Corps allows for opportunities to serve and share technical expertise. Many NYPA community partners and community-based organization face barriers to energy project implementation. NYPA is exploring opportunities for the Authority to share best practice around its clean energy business.

Customer Energy Solutions

Over the next five years, NYPA's goal is to target, channel and invest at least $500 million in Customer Energy Solutions in disadvantaged and Environmental Justice communities. Through Smart Street Lighting programs, Community Solar, Energy Efficiency and the EVolve New York Electric Vehicle Infrastructure programs, NYPA will prioritize its investments and seek future opportunities in communities of color and historically disadvantaged communities.

Through programs in Commercial Operations, NYPA will be promoting energy equity and providing environmental and significant emissions reductions in communities that have historically carried the burden of industrial processes.

Outcomes

- *At the end of five years, NYPA expects to have made significant contributions populating the pipeline of a diverse workforce, not just at NYPA, but for the energy industry, in general.*

- *NYPA will have created new opportunities and career pathways for students to pursue higher education.*

- *NYPA will be promoting energy equity and creating a more inclusive society. Through its Commercial Operations investment, NYPA will be able to demonstrate the positive impact of the Authority's operations of historically benefitting disadvantaged communities.*

After two years of program implementation, the Authority intends to conduct a detailed economic and demographic analysis of the program and stakeholder impacts and will make appropriate adjustments.

In summary, the cost of program administration, paid internships, scholarships, and volunteer programs require an investment of approximately, $3.26 million. Incremental customer energy solutions spent in EJ communities, $500 million.

In conclusion, Ms. Pizzo said that staff developed preliminary metrics to represent building pipelines, demonstrating values, developing staff, growing leadership, and scholarships. Staff will use the metrics to track and measure the success of the program. Additional metrics will be added in the future and staff will come to the committee next year in Q1, and throughout the year, to present members with additional metrics as the program matures.

NYPA is requesting that the Governance Committee approve the Plan with a budget of $22.3 million dollars over five years to achieve its commitments and its outcomes for diversity, equity, and inclusion. This investment is intended to have long-lasting impacts, giving staff skills that they can apply to their careers and day-to-day lives, provide M/WBEs with economic opportunities that can grow future business, and provide disadvantaged communities with energy efficient infrastructure and educational opportunities to build careers for years to come."

Following discussions, the Governance Committee unanimously agreed, and recommended that the Plan investments be increased from $22.265 million to $25 million. This action was also recommended for adoption by the full Board of Trustees at their December 9th meeting.

a. Ten-Point Racial Justice and Equity Plan – Authorization

The President and Chief Executive Officer submitted the following report:

"SUMMARY

The Trustees will be requested at their December 9, 2020 meeting to approve the Authority's Ten-Point Racial Justice and Equity Plan ('Plan').

The Plan aims to move the Authority towards greater diversity, equity and inclusion in its workforce, supplier base, and community impact through a variety of internal and external initiatives that will ultimately increase the representation of Blacks across NYPA and the energy industry. Through this Plan, NYPA will increase its investment in the Office of Civil Rights and Inclusion, and the Environmental Justice and Supplier Diversity programs from $5 million to $22.265 million.

The Governance Committee is requested to recommend to the Trustees the approval of the Authority's Ten-Point Racial Justice and Equity Plan and incremental investments of $22.265 million to achieve the outcomes associated with the Plan.

BACKGROUND

In 2017, the Authority established the Office of Civil Rights and Inclusion ('OCRI') to lead its diversity, equity, and inclusion ('DEI') initiatives. Initially OCRI focused on employee engagement around DEI to build a critical mass of champions as a precursor to embedding future DEI programs successfully. The program aligns with industry best practices with a focus on three main pillars: Building a Diverse Workforce, Leadership Accountability and Recruitment and Development.

Following the George Floyd murder and the national outrage and dialogue it precipitated on systemic racism in our society, President Quiniones engaged with employees through a Special All-Hands Meeting on June 1, and conversations with representatives of NYPA's Multicultural Employee Resource Group. As a result, President Quiniones tasked a Working Group comprised of members of the Office of Civil Rights and Inclusion, Environmental Justice & Sustainability, Human Resources and Talent Development, Labor Relations, and the Chief of Staff with developing recommendation for concrete steps that NYPA could take to further racial justice and equity, establishing NYPA as a leader in the public utility industry.

Indeed, from Albany to New York City, historic moments of inclusion have occurred, and New York state has taken concrete steps to address systemic racism and establish social justice:

- Governor Andrew M. Cuomo signed landmark legislation in June to create greater police accountability.
- New York City disbanded its local anti-crime units amid activist complaints that the plainclothes police were undermining trust in the community following a 'disproportionate percentage of complaints against them and shootings,' according to the city's Police Commissioner.
- Governor Cuomo declared June 19, 2020 'Juneteenth' a State Holiday — The holiday is meant to commemorate the emancipation of 4 million slaves, but particularly the small handful who were not aware that emancipation had come months earlier.

In addition, discussions abounded around the role of corporations in perpetuating the social and economic inequity experienced by Black and other people of color. According to

McKinsey, the racial wealth gap in the US is persistent and creates two negative impacts for Black families:

- The first is the human impact – the health and well-being of Black Americans and Black communities as they struggle to have the security needed to thrive in our economy.

- And second, is the economic impact – where it is known that this gap not only affects Black Americans but also impeded growth of the US economy as a whole.

According to the WSJ article – 'Your Company Says Diversity Is a Higher Priority, Now What?', 'This is a matter of fixing a broken system. Fostering diverse and inclusive workplaces could also boost companies in big ways, including improving financial performance and sparking innovation, research shows. Just 0.8% of Fortune 500 chief executives and 8% of professionals are Black, according to data analyzed by the Center for Talent Innovation.'

Historically, as the largest state-owned public utility in the US, the Authority has led by example and served as a model for the energy industry. Following the call to action to address racial inequality and the Governor's activist lead, the Authority joined with the American Association of Blacks in Energy ('AABE') and its commitment to increase representation of African Americans in employment, leadership, business contracting and workforce development in the energy sector.

At the September 23, 2020 meeting, the Authority presented a holistic, Ten-Point Racial Justice and Equity Plan with internal and external facing commitments intended to build a more diverse and equitable workplace, leverage NYPA's resources and experience to increase the number of MWBEs supporting the clean energy transition, and increase the pipeline of clean energy workers through the expansion of NYPA's community STEM programs and scholarships that afford students in Environmental Justice communities with opportunities to acquire industry experience. The Authority provided details of the Plan, a 3-year endeavor with an estimated incremental investment of $5 million that in effect doubled the investment in Diversity, Equity, and Inclusion to $10 million.

However, a fully engaged and committed Governance Committee challenged the Authority to enhance the Plan, i.e., the investment, deliverables, and outcomes necessary, and ensure the undertaking is as aggressive, robust, and bold as possible.

It is important to note that the Office of Civil Rights and Inclusion is not alone in driving the tenets of diversity, equity, and inclusion across the Authority. Indeed, key stakeholders such as Talent Development, Employee Relations, and other business units, together with people leaders across the Authority drive diversity, equity and inclusion through career development initiatives, targeted training modules, one on one coaching, and development of individual contributors. In effect, over 150 staff cross functional roles drive some 85,000+ hours attributed to developing and expanding the Authority's pool of inclusive leaders.

We believe that the Plan we are presenting for your consideration is aggressive and bold.

DISCUSSION

The Governance Committee is requested to adopt a Ten-Point Racial Justice and Equity Plan aimed at building a more diverse, equitable and inclusive workforce.

The Plan, now a 5-year program, consists of the following internal and external commitments:

Internal Commitments

1. *Reaffirm NYPA's commitment to building and maintaining a diverse, equitable and inclusive culture.* The Plan will establish DEI as one of NYPA's top priorities and values and will embed it into NYPA's VISION2030 Strategy; create a DEI communications strategy and an organized working group to inform and direct the Authority's overall DEI strategy.
2. *Ensure that NYPA's processes, policies and procedures are transparent and free from bias.* Through benchmarking and data analysis, the Authority will be informed on ways to shape its strategy and recommendations on how to become more diverse and inclusive as well as track progress and drive reports for leadership. Employees will enjoy greater transparency and access to information to better manage their career path and experience in the workplace. For example, the AAO and Employee Relations processes will be amplified, and a training module related thereto established. The ERG governance will be formalized to grant employees greater ownership and direct benefits associated with being an active ERG leader. In addition, job categories, job descriptions and career paths will be re-engineered to create consistency and easily accessible clear career paths across the organization.
3. *Expand ongoing training to NYPA employees on antiracism, unconscious bias, microaggression, and cultural competency.* Ongoing training, expanded to include civility and respect, will build cultural competency, and create psychological safety among staff who can engage in courageous conversations about racism and other difficult topics, as well as develop a culture of upstanders against racism and bias. The Plan will also facilitate new hiring and selection processes and training.
4. *Create a Chief Diversity, Inclusion and Equity Officer position, reporting to the President and CEO and to the Chief Human Resources and Administration Officer – and increase investment in the office of Civil Rights and Inclusion.* To ensure the DEI goals of the Plan and NYPA are met, the DEI leader must be empowered with the authority and flexibility to engage at all levels of the organization as the primary advocate for the advancement of diversity, equity and inclusion. Adequate resources, such three additional full-time staff, are critical if the DEI program is to be successfully advanced.
5. *Invest in NYPA's Black employees and create pathways for career development and upward mobility.* The Authority will create specific and measurable development plans for each employee that takes into account current and future opportunities and provides stretch assignments. In addition, strategic partnerships to develop and build management and leadership capabilities and cross-functional knowledge necessary to lead successfully.
6. *Cast a wider net and secure a diverse slate of applicants for vacancies by partnering with professional organizations such as the American Association of Blacks in Energy, Historically Black Colleges and Universities and local and national colleges and universities.* The Authority will design a digital presence with the aim of showcasing NYPA's diverse talent and attracting increased interest and applications from diverse talent.
7. *Partner and support NYPA's employee unions at the national, regional, and local levels and invest in their diversity, equity and inclusion programs and initiatives.*

External Commitments

8. *Leverage NYPA's experience, resources and purchasing power to build capacity and access to MWBE firms.* The Plan will strengthen NYPA's brand as a diverse organization that welcomes and encourages a diverse supply chain with greater opportunities for MWBEs through a new Mentor-Protégé Program. In addition, the Plan will boost the ability of diverse firms to qualify for secure bonding/capital access and work as Prime Contractors on NYPA/Canals projects. The Authority will be able to monitor increased spending with diverse firms by establishing goals and KPIs for

business units to meet. The Supplier Diversity Program will advance opportunities for MWBEs by developing a strategic program roadmap, launching an enterprise-wide training program and hosting regional supplier diversity events.

9. *Broaden NYPA's community-based STEM, student internship and mentorship programs to increase the pipeline of utility and clean energy workers of tomorrow – including the creation of a targeted college scholarship program.* The Plan will build a pipeline and develop Black Indigenous People of Color ('BIPOC') students as employees for tomorrow by establishing NYPA's P-Tech Program for students in Environmental Justice host communities. Building industry and educational partnerships to award regional scholarships to students in Environmental Justice host communities will also boost the pipeline of future NYPA and energy industry employees. Ultimately, the Plan through Environmental Justice will establish 100 paid internships sourced from 10 P-Tech Partner schools as well as 20 annual scholarships with industry and community partners.
10. *Create an enterprise-wide employee service program dedicated to understanding racial justice through our clean energy business, such as community solar, for example, and energy sustainability work in environmental justice communities.* The Plan will provide NYPA employees with experience in, and exposure to diverse communities providing firsthand knowledge on how to facilitate, lead and partner with different communities by enhancing the existing Paid Volunteer Policy to include an expanded comprehensive monthly calendar of volunteer opportunities.

FISCAL INFORMATION

The estimated incremental investment for the Plan is approximately $22,265,000 over five years. Detailed requests and justifications for funding of specific components of the Plan will be presented during future budget proposals. Funding, as may be approved for each of the components, will be provided from the Operating Fund.

RECOMMENDATION

The Chief Diversity, Equity and Inclusion Officer requests that the Governance Committee recommends that the Trustees approve the Authority's Ten-Point Racial Justice and Equity Plan and incremental investments of $22.265 million to achieve the outcomes associated with the Plan as described above.

For the reasons stated, I recommend the approval of the above-requested action by adoption of the resolution below."

Ms. Nancy Harvey, Chief Diversity, Equity & Inclusion Officer, Victoria Daniels, Manager, Supplier Diversity and Kaela Mainsah, Senior Manager, Environmental Justice, provided highlights of staff's recommendation to the Committee.

The Governance Committee unanimously agreed and recommended that the Plan investments be increased from $22.265 million to $25 million. This action was also recommended for adoption by the full Board of Trustees at their December 9th meeting.

On motion made by Trustee McKibben and seconded by Vice Chair Nicandri, the following resolution, as recommended by the President and Chief Executive Officer, was unanimously adopted, as amended.

RESOLVED, That the Governance Committee hereby authorize the Authority's Ten-Point Racial Justice and Equity Plan and incremental investments of $22.265 million to achieve the outcomes associated with the

Plan as recommended in the foregoing report of the President and Chief Executive Officer; and be it further

RESOLVED, That the Chairman, the Vice Chairman, the President and Chief Executive Officer, the Chief Operating Officer and all other officers of the Authority are, and each of them hereby is, authorized on behalf of the Authority to do any and all things, take any and all actions and execute and deliver any and all agreements, certificates and other documents to effectuate the foregoing resolution, subject to the approval of the form thereof by the Executive Vice President and General Counsel.

5. CONSENT AGENDA:

a. Approval of the Minutes of the Joint Meeting of the New York Power Authority and Canal Corporation Governance Committee held on September 23, 2020

On motion made by member Anthony Picente and seconded by member Eugene Nicandri, the Consent Agenda was adopted.

b. Review and Approval of New York Power Authority and Canal Corporation – Guidelines for Procurement Contracts

The President and Chief Executive Officer submitted the following report:

"SUMMARY

This report is to request that the Governance Committee review and recommend approval by the full Board of Trustees and the Canal Corporation Board of Directors the revised NYPA and Canal Corporation Guidelines for Procurement Contracts.

BACKGROUND

Pursuant to Subsection C.5 of the Authority's Governance Committee Charter relating to Reports, the Vice President – Strategic Supply Management is required to report to the Committee at all regularly scheduled meetings and the Committee has the authority to require Procurement and other staff to prepare additional reports and to produce documents for Committee review.

For NYPA and the Canal Corporation, please note the following changes to the Guidelines for Procurement Contracts as fully detailed in Exhibit '5b-A-1' for NYPA and '5b-A-2' for Canal Corporation:

1. Section 2 DEFINITIONS
   Update and addition of certain definitions including:
   a. "Non-procurement contracts", Non-Procurement Contracts include direct and indirect placement of advertisements with radio, television, print and electronic media.
   b. "Purchase Order Release" is a single order issued for goods or services in accordance with the terms and conditions of a Value Contract.
   c. "Value Contract" Master Service Agreement for goods and services with specific target value and term.

2. Section 3 SOLICITATION REQUIREMENTS
   a. Addition of paragraph K. 9:
      "Services are required on a more expedited basis than the competitive procurement process will allow. Requesting business units must demonstrate the urgency of the project and that awardee is cost-effective and qualified in the subject area. Services shall be for specific scopes of work in an amount not exceeding $500,000 and are subject to the approvals stated in Section 3.D."

   b. Addition of paragraph T:
      "Prior to entering into any binding relationship with a third party (e.g., written agreement or report of understanding (MOU)) in pursuit of any joint or collaborative development project, the office of SSM and the Law Department ("Law") must be notified regarding the procurement and on the issue of whether and to what extent the projects falls within the constraints of the Authority's procurement regulations and enabling legislation. SSM and Law should be brought into any such project in the development process.

      Provided that the Authority has statutory authority to develop or otherwise participate in a project developed, in whole or in part, in collaboration with a third party, the following minimum criteria must be met:
         (i) the Authority's participation must be in response to a solicitation issued by the State or other public entity pursuant to a competitive selection process; and

(ii) the construction of any asset to be owned by the Authority must comply with all applicable laws, including but not limited to prevailing wage requirements and goals established for the use of minority enterprises (e.g., minority- and women-owned business enterprise (MWBE), service-disabled veteran owned business (SDVOB)); and

(iii) goods and/or services required to develop and implement the project must be sourced and procured in accordance with, and subject to, either (a) the Authority's Procurement Guidelines; or (b) the requirements of the third-party collaborator governing the competitive procurement of goods and services, provided that SSM has been furnished with a copy of such requirements which demonstrate, in SSM's judgement, that a competitive procurement or equivalent has been or will be undertaken.

Prior to execution any underlying agreement (i.e., joint development agreement, MOU, etc.) an internal award recommendation shall be memorialized and approved by the VP SSM and the responsible Business Unit head."

3. Section 6 AWARD OF CONTRACT
   a. Update Paragraph E as follows:
      "The term of a Personal Services contract is limited to a maximum of five (5) years, including any extensions. However, at the sole discretion of the Vice President of SSM may approve a Business Unit's written justification for a contract term exceeding 5 years or reasonable extension of such a contract".

   b. Add Paragraph F as follows:
      "For construction value contracts purchase order releases maybe issued up to the term limit of the value contract. The term of a construction purchase order release shall be as required to complete the work assigned. The term of the value contract shall be extended accordingly."

4. Section 7 CONTRACT PROVISIONS for NYPA only
   Contract Attachments add

   18. "Appendix "P" (Non-Bulk Electric System (BES)) (Information Security Requirements for Vendors and External Partners non-Bulk Electric System)"

   19. "Appendix "P" for BES (Information Security Requirements for Vendors and External Partners for Bulk Electric System)"

5. Additionally, there are corrections of certain inconsistencies, grammatical, format and otherwise.

DISCUSSION

Pursuant to the Authority's implementation of the Public Authorities Accountability Act of 2005 ("PAAA"), as amended, the respective Authority and Canal Corporation Governance Committee reviews the Guidelines for Procurement Contracts and approves any changes to such Guidelines. These Guidelines have been amended as deemed advisable and necessary.

FISCAL INFORMATION

There will be no financial impact on the Authority or the Canal Corporation.

RECOMMENDATION

The Governance Committee is requested to review the revisions to the respective Guidelines for Procurement Contracts (as set forth in the copies attached hereto as Exhibit '5b-A-1' for NYPA and Exhibit '5b-A-2' for Canal Corporation) and to recommend adoption by the full Board of Trustees and the Canal Board of Directors at the meeting to be held on December 9, 2020."

On motion made and seconded, the following resolution, as submitted by the President and Chief Executive Officer, was unanimously adopted.

RESOLVED, that the Governance Committee recommends the adoption of the Guidelines listed above to the NYPA Trustees and the Canal Corporation's Board of Directors as required by Section C (1) (e) of the Governance Committee Charter; and be it further

RESOLVED, that the Governance Committee recommends to the NYPA Trustees and the Canal Corporation's Board of Directors that the President and Chief Executive Officer be authorized to modify the foregoing policy, as necessary, except in the event that any powers, duties or obligations of the NYPA Trustees and the Canal Corporation's Board of Directors would be affected by such modification.

c. Proposed 2021 Schedule of Meetings

The President and Chief Executive Officer submitted the following report:

"SUMMARY

The following schedule of meetings for the year 2021 is recommended:

Date	Boards/Committees	Venue
January 19 (Tuesday)	**Finance Committee**	Video
January 26 (Tuesday)	**Cyber Committee**	Video
	NYPA/Canal Board	Video
March 18 (Thursday)	**Audit Committee**	Video
	Finance Committee	Video
March 30 (Tuesday)	**Governance Committee**	Video
	NYPA/Canal Board	Video
May 12 (Wednesday)	**Finance Committee**	Video
May 25 (Tuesday)	**NYPA/Canal Board**	Video
July 15 (Thursday)	**Audit Committee**	Video
	Finance Committee	Video
July 27 (Tuesday)	**Cyber Committee**	WPO
	NYPA/Canal Board	WPO
September 21 (Tuesday)	**Finance Committee**	Video
September 30 (Thursday)	**Governance Committee**	WPO
	NYPA/Canal Board	WPO
November 16 (Tuesday)	**Finance Committee**	Video
December 7 (Tuesday)	**Board Training**	WPO
December 8 (Wednesday)	**Audit Committee**	WPO
	NYPA/Canal Board	WPO

RECOMMENDATION

The Vice President and Corporate Secretary requests that the Governance Committee recommends that the Authority's Board of Trustees and Canal Corporation's Board of Directors approve of the proposed 2021 meeting schedule as set forth in the foregoing report.

I recommend the approval of the proposed schedule by adoption of the resolution below."

On motion made and seconded, the following resolution, as submitted by the President and Chief Executive Officer, was unanimously adopted.

> **RESOLVED, That the Governance Committee approves the 2021 meeting schedule, as set forth in the foregoing report of the Vice President and Corporate Secretary, and hereby recommends its adoption to the Authority's Trustees and Canal Corporation's Board of Directors.**

d. Committee Appointments

The President and Chief Executive Officer submitted the following report:

"SUMMARY

The Governance Committee is requested to review the committee appointments indicated below and to recommend its adoption to the Authority's Trustees and the Canal Corporation's Board of Directors.

BACKGROUND and DISCUSSION

The recommended membership of the joint Authority and Canal Committees follows:

Audit Committee
John R. Koelmel, Eugene L. Nicandri (Chair), Tracy B. McKibben, Anthony J. Picente, Jr., Michael A.L. Balboni, Dennis G. Trainor

Finance Committee
John R. Koelmel, Eugene L. Nicandri, Tracy B. McKibben (Chair), Anthony J. Picente, Jr., Michael A.L. Balboni, Dennis G. Trainor

Governance Committee
John R. Koelmel, Eugene L. Nicandri, Tracy B. McKibben, Anthony J. Picente, Jr., Michael A.L. Balboni, Dennis G. Trainor (Chair)

Cyber and Physical Security Committee
John R. Koelmel, Eugene L. Nicandri, Tracy B. McKibben, Anthony J. Picente, Jr., Michael A.L. Balboni (Chair), Dennis G. Trainor

RECOMMENDATION

I recommend the approval of the above-requested action by adoption of the resolution below."

The following resolution, as submitted by the President and Chief Executive Officer, was unanimously adopted.

RESOLVED, That the Governance Committee recommends that the Authority's Trustees and the Canal Corporation's Board of Directors adopt the following Committee Appointments:

Audit Committee
John R. Koelmel, Eugene L. Nicandri (Chair), Tracy B. McKibben, Anthony J. Picente, Jr., Michael A.L. Balboni, Dennis G. Trainor

Finance Committee
John R. Koelmel, Eugene L. Nicandri, Tracy B. McKibben (Chair), Anthony J. Picente, Jr., Michael A.L. Balboni, Dennis G. Trainor

Governance Committee
John R. Koelmel, Eugene L. Nicandri, Tracy B. McKibben, Anthony J. Picente, Jr., Michael A.L. Balboni, Dennis G. Trainor (Chair)

Cyber and Physical Security Committee
John R. Koelmel, Eugene L. Nicandri, Tracy B. McKibben, Anthony J. Picente, Jr., Michael A.L. Balboni (Chair), Dennis G. Trainor

6. Next Meeting

The next regular meeting of the Governance Committee is to be determined.

Closing

On motion made by member Anthony Picente and seconded by member Eugene Nicandri, the meeting was adjourned by the Chair of the Committee at approximately 10:28 a.m.

Karen Delince
Karen Delince
Corporate Secretary

December 1, 2020

EXHIBITS

For

December 1, 2020

Joint Governance Committee

Special Meeting Minutes

NEW YORK STATE OF OPPORTUNITY. | NY Power Authority

Diversity, Equity and Inclusion Plan

Nancy Harvey
Chief Diversity Equity & Inclusion Officer

Diversity, Equity, and Inclusion

at NYPA & Canals

Establish NYPA as a leader in DEI, including developing an internal culture of inclusion, a diverse supplier chain, and a commitment to environmental justice

NYPA's Commitment to Diversity, Equity & Inclusion $682M in investments

- **$500M Customer Energy Solutions programs in underserved communities** to advance energy equity.
- **Increase the annual incremental MWBE spend to $160M** by investing in the participation of minority and women owned businesses in the supply chain through mentoring, education and outreach.
- **Triple the incremental investment of DEI programs to $22.3M** and expand NYPA's commitment to develop, retain and engage staff by investing in training, career and leadership programs and establish programs to build trust and demonstrate equity. Build a pipeline of diverse clean energy workers by providing scholarships and education programs for students of color.

NYPA is committed to implementing industry-leading programs that exemplify its commitment to Diversity Equity & Inclusion in the organization and the community.

Over five years, an investment of $682M will expand opportunities in underserved communities, strengthen minority and women owned businesses and address social and economic inequities in an environment where all employees are valued and treated fairly.

Office of Civil Rights & Inclusion The pillars of the commitments initially proposed to address Racial Justice and Equity are:

Accountability

- Conduct audits on programs, policies and governance
- Standardize metrics and KPIs
- Embed diversity in NYPA's values

Education

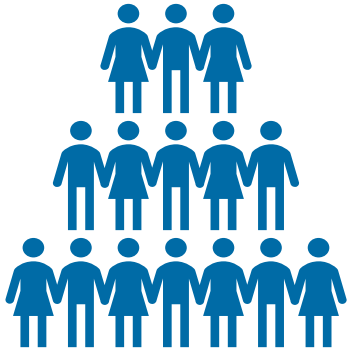
- Expand staff training on diversity, equity and inclusion principles and behaviors

Transparency

- Develop, expand and refine policies, procedures and programs to provide transparency

Goals

- A representative workforce of communities in which we live and work
- Cultural adoption of diversity, equity and inclusion principles
- Accountable staff and leadership
- Transparent metrics, policies, programs and practices



In addition to the activities presented in the 10 Point Plan, NYPA is committing to the following actions to accelerate NYPA's path toward Racial Justice and Equity.

- Accelerate and expand training program to ensure a culture of civility and respect
- Partner with external professional organizations and leadership programs to strengthen the pipeline of Black employees
- Expand DEI staff to regions/Canals to establish local support / ERG subchapters
- Develop custom interview selection tool to ensure a fair hiring process as well as the recruitment and retention of the best talent

Investments Over 5 Years (2021 – 2025)

Human Resources & Administration

Multiple departments across NYPA investing resources on programs to support and advance DEI

- Career pathing and job architecture
- Recruiting strategy and programs
- Advanced analytics and tools
- Staff development programs
- Communication strategy and implementation
- Mentoring/MBA programs

Office of Civil Rights & Inclusion

The OCRI is implementing programs to improve and accelerate the adoption and realization of DEI principles

- Training
- Oversight and governance
- Program partnerships
- Metrics and KPIs
- Recruiting pipeline expansion
- DEI staff enhancement
- Development of hiring/selection process

$7M Incremental budget investment

Internal Resources

Managers and staff will devote time to participate in DEI training, development and outreach programs

- 150 staff members, full and part-time, to implement programs
- 140,000+ hours in management and staff time for DEI initiatives

Outcomes Over five years, in partnership with leaders, peers and experts, the OCRI will implement programs to establish NYPA as a leader in Diversity, Equity and Inclusion.

- DEI training for 2,000 employees annually expanded to include civility and respect in the workplace
- Audits to inform governance and accountability mechanisms with oversight of all actions
- Increase ERG sub-chapters by 75% at Sites/Canals and increase overall ERG participation by 25%
- Establish 3 leadership and mentoring programs
- Review of 150 policies
- Transparent roadmap and action plan that incorporates feedback from all levels of management/key stakeholders

- A representative workforce in which we live and work
- Cultural adoption of DEI principles
- Accountable staff and leadership
- Transparent policies, programs and practices

Incremental Budget Investment
$7M Over Five Years

Supplier Diversity The pillars of the commitments initially proposed to address Racial Justice and Equity are:

Build Capacity

- Local and national supplier outreach
- Education and training
- Internal and external communication

Reduce Barriers

- Programs, policies and procedures

Develop Metrics

- Corporate and department goals and KPIs

Goals

- Growing DEI throughout the supply chain
- Driving economic development in local communities where supply chain resides

Accelerating Path to promote Supplier Diversity

In support of the activities presented in the 10 Point Plan, NYPA is committing to the following actions:

- ✓ Develop partnering opportunities with existing supplier base
- ✓ Increase synergy with regional and local MWBE communities
- ✓ Strengthen nationwide presence at supplier diversity events
- ✓ Expand MWBE network locally and nationally
- ✓ Collaborate with not-for-profits and local economic development organizations
- ✓ Create MWBE educational programs and academies

Investments Over 5 Years (2021 – 2025)

Initial Supplier Diversity Program

- Mentor Protégé training materials
- Surety Bonding training
- Marketing/Outreach/Newsletters
- Network Mentoring pilot
- Credit Card Policy update
- Expand use of discretionary spend
- MWBE departmental training

Expanded Supplier Diversity Program

In additional to the original plan:

- Program Roadmap
- Supplier Diversity DEI enterprise-wide training
- Mentor Protégé Program build out & training
- Surety Bonding Program build out & training
- Regional supplier diversity events

Diverse Supplier Spend

- Over five years, increase spend with NYS-certified MWBEs
- Revise policies and procedures with assistance of internal partners
- Partner with internal stakeholders to build pipeline for mentoring programs

$12M Incremental budget investment

$160M Incremental MWBE spend

Outcomes to increase MWBE participation in the supply chain

- Double spend with MWBE suppliers
- Increase yearly MWBE goal to 36%
- Grow number of MWBE suppliers by 50%
- Enlarge the number of MWBE suppliers registered =in Ariba system by 50%
- Escalate Supplier Diversity Program to a nationally recognized program
- Expand training to entire NYPA/Canals staff annually (approximately 2,000 employees)
- 4x supplier diversity events
- Decreased single and sole source awards

- DEI established throughout NYPA/Canals supply chain
- Strengthen community and supplier relationships
- Accountable staff and leadership
- Transparent policies, programs and practices
- Increased availability of local and regional MWBEs trained on NYPA requirements

Over Five Years:

- **Incremental Budget Investment $12M**
- **Incremental MWBE Spend $160M**

Environmental Justice The pillars of the commitments initially proposed to address Racial Justice and Equity are:

PTECH

- Create pathways for underrepresented students to pursue careers in energy

Scholarship

- Invest in scholarship programs to increase participation and reduce barriers to utility careers

Community Corps

- Expand staff education
- Mobilize staff for participation in dedicated programs in underserved communities

Goals

- Increasing the pipeline of diverse utility and future clean energy workers
- Development of an enterprise-wide employee service program dedicated to participation in NYPAs underserved host communities

In addition to the activities presented in the 10 Point Plan, NYPA has committed to the following actions to accelerate NYPA's path toward Environmental Justice and Equity.

- Establish NYPA as a leader in corporate social responsibility by improving the environment and addressing the needs and concerns of the communities surrounding NYPA assets
- Ensure that all stakeholders are engaged and informed about NYPA's goals, programs and operations
- Prioritize historically disadvantaged communities in the conception and deployment of strategic programs and investments
- Continue to serve NYPA host communities through STEM; community education workshops; community engagement; energy projects.

Investments Over 5 Years (2021 – 2025)

Initial Environmental Justice Proposal

- The DEI initiative will enable the Environmental Justice team to renew commitments to minority stakeholders and increase utility workforce pipeline opportunities through:
  - NYPA PTECH Scholars Program
  - Future Energy Leaders Scholarship
- Increase opportunities for NYPA employees to contribute to NYPA's underserved communities
  - EJ Community Service Corps

Expanded Environmental Justice Program

NYPA PTECH Scholars
- 5 year commitment schools in each NYPA region
- 10 PTECH Partner Schools
- 100 paid internships by 2025
- Partnerships with NYPA customers and suppliers to provide energy industry career opportunities

Future Energy Leaders Scholarship
- Industry and Community Partner Scholarships
- 20 annual scholarships
  - 4/industry & 2/community partner by 2025

Employee Community Volunteer Corps
- Comprehensive calendar of monthly community service events
- Expanded Paid Volunteer Time
- NYPA advisory opportunities for community stakeholders

Customer Energy Solutions Spend in EJ Communities

NYPA will continue to prioritize commercial operations investment in historically disadvantaged communities

- NYPA Smart Street Lighting programs empowers communities to make energy efficient choices
- Community solar and storage projects will provide environmental benefits
- Heating and hot water system upgrades at New York City Housing Authority facilities
- Siting of EV infrastructure and public transit within EJ Communities

$3.26M Incremental budget investment **$500M Incremental customer energy solutions spend in EJ communities**

Outcomes Establish NYPA as a leader in corporate social responsibility by providing programs and services that increase opportunities for historically disadvantaged communities that host NYPA facilities

Establish NYPA PTECH industry and community partnerships in every NYPA region by 2025

- *10 NYPA Partnerships*
- *100 Annual PTECH Internships*
- *720 NYPA PTECH Scholars*

Establish NYPA future Energy Leaders Scholarship

- *Award 70 NYPA Future Energy Leaders Scholars by 2025*

Establish NYPA EJ Community Corps

- *Expand staff community participation protocols and engage NYPA's workforce in community outreach*
- *Comprehensive calendar of monthly community engagement opportunities*
- *ESG reporting of NYPA community engagement*
- *Detailed economic and demographic analysis of impacted stakeholders*

- Increased pipeline of utility and clean energy workers of tomorrow
- Engaged NYPA community that actively contribute to NYPA's underserved communities
- Historically disadvantaged communities benefitting from NYPA programs

Over Five Years:

- **Incremental Budget Investment $3.26M**
- **Incremental Customer Energy Solutions Spend $500M in EJ Communities**

2021 Preliminary Metrics Additional metrics and Key Performance Indicators will be developed as programs mature

Office of Civil Rights & Inclusion			
KPI	**Metric**	**Impact Area**	**Reporting Period**
% Staff Completing Training	90%	Values	Bi-annually
% Development Plans Complete	90%	Development	Annually
% Specialty Program Participation	40%	Development	Annually
# ERG Engagements	30	Engagement	Bi-annually

Supplier Diversity			
KPI	**Metric**	**Impact Area**	**Reporting Period**
% MWBEs added to Ariba	5%	Operational	Bi-annually
% MWBE spend	10%	Operational	Annually
% Outreach events	12	Marketing	Annually
% Increase in discretionary spend	10%	Operational	Bi-annually

Environmental Justice			
KPI	**Metric**	**Impact Area**	**Reporting Period**
# NYPA PTECH partnerships	3	Pipeline	Annually
# NYPA PTECH Scholars	240	Pipeline	Annually
# PTECH Scholars placed in NYPA paid internships	10	Scholarship	Annually
# NYPA employees engaged in PTECH mentorship	4	Engagement	Annually
# NYPA Future Energy Leaders Scholarships	10	Scholarship	Annually
# Volunteer opportunities	4	Engagement	Annually

Overall, NYPA's investment of $682M in industry-leading programs will exemplify its commitment to diversity, equity and inclusion and expand opportunities in underserved communities, increase minority and women owned businesses and create a culture where all employees are valued.

$22.3M Path to Future State – Funding and Coordination

Request: The Governance Committee recommends that the Board of Trustees approve the Authority's Ten-Point Racial Justice and Equity Plan, and incremental investments totaling $22.3M over a 5-year period (2021-2025) to achieve the outcomes described in the plan.

Office of Civil Rights & Inclusion

Fosters an inclusive culture and promotes a diverse and engaged workforce

$7M

Supplier Diversity Program

Promotes and increases the participation of minority and women owned businesses in the supply chain

$12M

Environmental Justice

A source for good in neighboring underserved communities

$3.26M

APPENDIX A

2020/2021 Outcomes

Outcomes The following activities planned for 2021 will establish the foundation for the path toward racial justice and equity. A dashboard and metrics will be available for Board of Trustees review and comment by Q2 2021.

OCRI

Complete by YE 2020

- Vision and Values Statement
- Activate ERGs
- Initial KPIs and Metrics
- Launched Unconscious Bias Training for 3,000 staff

Complete by 2021

- Steering Committee
- DE&I Audit to review policies, perform analysis and develop roadmap
- Advanced Metrics and KPIs
- Launch additional enterprise training
- Hire additional staff

Supplier Diversity

Complete by YE 2020

- Participate in 9 outreach events
- Develop DEI Supply Chain Roadmap
- Establish Corporate MWBE Goals
- Create 8 Supplier Diversity Webinars
- 2021 Calendar of Events

Complete by 2021

- Launch Surety Bonding Program
- Launch Pilot of Mentor Protégé Program
- Refine Business Unit MWBE Goals
- Revise internal policies and procedure
- Implement Supplier Diversity Marketing Strategy

Environmental Justice

NYPA PTECH Scholars

- Establish Year 1 PTECH partnerships with 3 Schools
  - 15 Paid Internships
  - 240 PTECH Scholars

Future Energy Leaders Scholarships

- Establish community and industry partnerships
- 10 scholarships for underserved students pursuing careers in the energy industry

NYPA EJ Community Corps

- Comprehensive calendar of events
- Report employee volunteer hours
- Analysis of strategic programs to assess NYPA impact on historically disadvantaged communities

APPENDIX B

Racial Justice and Equity Plan Presented on September 23, 2020

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Ten Point Racial Justice and Equity Plan

Nancy Harvey

Director, Office of Civil Rights & Inclusion

September 23, 2020

Racial Justice and Equity Plan

New York Power Authority and Canal Corporation are committed to leading an organization that is diverse, equitable and inclusive. The plan exemplifies NYPA's commitment to Diversity Equity and Inclusion (DEI) and extends beyond the workplace to have a holistic plan that incorporates 3 departments:

Office of Civil Rights & Inclusion (OCRI)

Fosters an inclusive culture and promotes a diverse and engaged workforce

Supplier Diversity Program

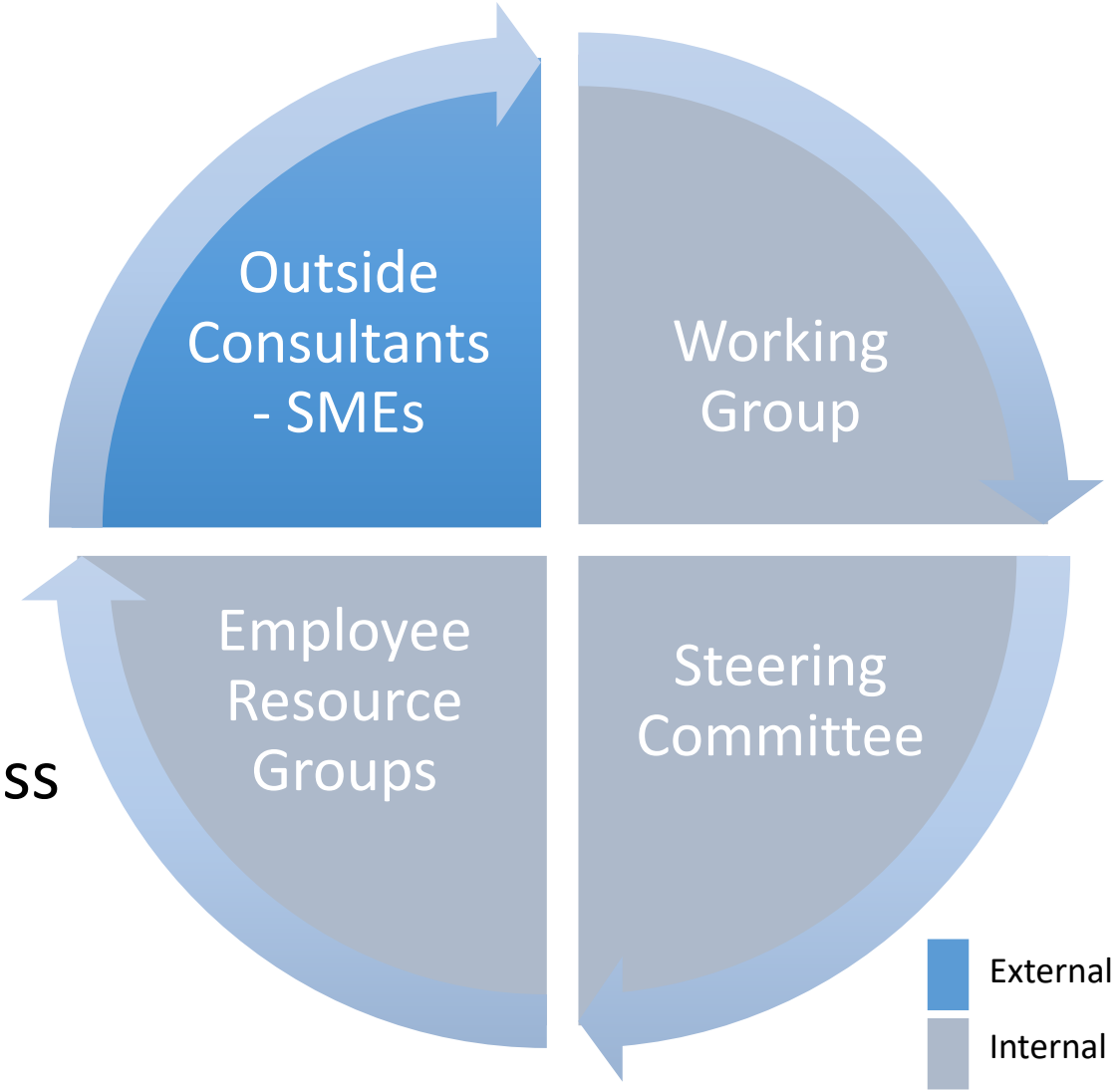
Promotes and increases the participation of minority and women owned businesses in the supply chain

Environmental Justice

A source for good in neighboring underserved communities

Stakeholders – At The Table

- The Executive Office and OCRI lead a several teams consisting of a staff working group, outside experts and a leadership steering committee.
- The working group consulted 53 members of staff throughout the process across business units.



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The Office of Civil Rights and Inclusion

Established in 2017, OCRI developed a D&I plan that focused on employee engagement and education in order to build a critical mass of champions as a precursor to embedding future DEI programs successfully. The DEI strategy focused on 3 areas in alignment with industry best practices:

Build an Inclusive Workforce

- Created six Employee Resource Groups (ERG) sponsored by EMC
- 369 core ERG members
- Coordinated 40 ERG events with attendance of over 1,000 employees each year

Leadership Accountability

- Hosted senior leadership briefings and training on DEI
- Consulted DEI experts in the field
- Demonstrated leadership commitment to DEI through actions

Recruitment and Development

- Partnered with Recruitment to develop programs
- Partnered with Environmental Justice & Sustainability on mentorship program
- Trained over 2,000 Canals and NYPA staff on DEI

Diversity Equity and Inclusion Commitments

The recommendations for the DE&I plan focus on three themes:

Accountability

- DE&I Audit
- DE&I and ERG Policy
- Scorecard and KPIs
- EMC/leadership review
- Diversity in NYPA Values

Transparency

- Career Path Framework
- AAO and ER Process clarity
- Mentoring Program
- Policy review
- Career Development Plans

Education

- Unconscious Bias, Bystander/Upstander, Anti-racism training
- AAO and ER process

Diversity Equity and Inclusion Outcomes

- A workforce that represents the communities in which we live and work
- An organization whose culture, behaviors and actions demonstrate that diversity, equity and inclusion are a priority
- Employees and leaders who are educated and accountable for upholding DE&I principles
- Transparent policies, programs and practices that allow employees to achieve their fullest potential

Incremental Investment Over Three Years: $2.665M

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Supplier Diversity Program

Victoria Daniels

Manager Supplier Diversity

September 23, 2020

Supplier Diversity Overview

Background

- **NYS Executive Law Article 15-A §§310-317** governs the requirements for the participation of minority and women-owned businesses (MWBE) in NYS contracting.
- On 7/15/2019 **Governor Cuomo signed legislation reauthorizing the law** through 12/31/2024 including enhancements to further benefit NYS certified MWBE businesses.

NYPA's Supplier Diversity Program

- Established in 1983.
- Awarded **over $1B** through direct awards and subcontracting to MWBE's to date.
- In FY1819 NYPA and Canals **MWBEs spend totaled $88.9M**.
- Organized regional **Supplier Outreach events** in 2019 yielding over 70 exhibitors, 230 companies, and 360 participants.
- Developed Supplier Training Webinars

Compliance
Tracking of payments to MWBE's

Regulatory Reporting
to Empire State Development

Outreach/ Education
about NYPA/Canals Open Procurements

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Supplier Diversity Commitments

While the Program **continues** to be successful, more can be achieved to increase MWBE participation. The program will focus on the following 3 categories with 11 goals:

BUILD CAPACITY

- Progress **Mentor Protégé Program**
- Develop internal and external **communication roadmap**
- Align with organizational **DEI message**
- Increase **supplier outreach**
- Provide **education and training** to suppliers and staff
- Enhance **organizational branding** around diverse supply chain

REDUCE BARRIERS

- Implement **Surety Bonding Program**
- Modify **Procard policy** to prioritize MWBE suppliers
- Simplify contract **Terms & Conditions** for low risk projects

METRICS

- Establish **Departmental Goals/KPI's**
- Establish **Corporate Goals**

Supplier Diversity Outcomes

Projected Results

- ✓ **Grow** the number of MWBE suppliers supporting NYPA/Canals
- ✓ **Increase** MWBE spend
- ✓ **Strengthen** NYPA's brand as an organization that encourages a diverse supply chain
- ✓ **Enhance** internal and external communications
- ✓ **Foster** networking opportunities between qualified personnel and MWBE firms
- ✓ **Expand** Supplier outreach and education
- ✓ **Increase** bidding and awards of diverse firms
- ✓ **Establish** departmental and corporate MWBE goals with KPI's
- ✓ **Streamline and update** policies and procedures

Incremental Investment

Program development, communication & marketing, staffing, and education totaling $1.06M

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Environmental Justice Program

Kaela Mainsah
Senior Manager Environmental Justice

September 23, 2020

Environmental Justice Overview

NYPA's Environmental Justice (EJ) program is driven by our commitment to always be a good neighbor to the historically disadvantaged and marginalized communities located near our statewide facilities. NYPA leverages its expertise in energy and energy technology to provide no-cost programs and services that meet the unique needs of our communities.

STEM Education

Community Energy Literacy

Community Outreach and Advocacy

Energy Efficiency Projects

Environmental Justice Commitments

Increasing the pipeline of utility and clean energy workers of tomorrow

- PTECH Scholars Program
- Future Energy Leaders Scholarship Program

Community service program that ensures employees can contribute to NYPAs underserved communities

- EJ Community Service Corps

Environmental Justice Outcomes

PTECH

- Increased number of students of color who pursue studies and careers in the utility industry

SCHOLARSHIP

- Increased numbers of students from NYPA's EJ communities who will be able to pursue an advanced degree in STEM
- Decreased financial burden associated with achieving an advanced STEM degree

COMMUNITY CORPS

- Expanded staff education
- Creation of an enterprise wide employee service program dedicated to understanding racial justice
- Increased benefits for NYPA's neighbors

Total 3 Year Incremental Investment for Initiatives - $1.275M

Racial Justice and Equity Program Approval

Resolution - The New York Power Authority and Canal Corporation requests that the Governance Committee approve the Authority's Ten-Point Racial Justice and Equity Plan to achieve the deliverables and outcomes with an incremental investment of $5M over a 3-year period (2021-2023)

Office of Civil Rights and Inclusion	$2.665M
Supplier Diversity (MWBE Program)	$1.06M
Environmental Justice Program	$1.275M

Appendix

Commitments and Associated Outcomes

Reaffirm NYPA's commitment to building and maintaining a diverse, equitable and inclusive culture	
Deliverable	**Outcome**
Corporate values the include diversity, equity and inclusion	Standards that represent the culture, behaviors and actions of an organization that deems diversity, equity and inclusion as a priority
Including Diversity Equity & Inclusion into the Vision 2030 Strategy	Demonstrates the commitment to diversity, equity and inclusion in NYPA's strategy and priorities
Diversity Equity & Inclusion Communication Strategy Document & RoadMap	Communication Strategy that informs and educates internal and external stakeholders of NYPA's Diversity Equity & Inclusion initiatives and activates individuals to put Diversity Equity & Inclusion principles into practice
Establish a Diversity Equity & Inclusion Policy	Principles to guide decisions and achieve Diversity Equity & Inclusion in NYPA's programs, processes and culture
Charter for Diversity Equity & Inclusion Steering Committee	An expanded cross-functional team, including subject matter experts, and mandate to will review and track the progress of the DE&I plan, report on DE&I initiatives, and make recommendations

Ensure that NYPA processes, policies and procedures are transparent and free from bias	
Deliverable	**Outcome**
Diversity Equity & Inclusion Audit Report	Benchmarks and analysis that will inform/shape our strategy and recommendations on ways to become more diverse and inclusive
Affirmative Action Officer (AAO) processes improvements and training	Transparency around the investigatory process for AAO complaints so employees know how their complaints are processed and what to expect if they are involved in an investigation
Employee Resource Group Policy	Formalize governance for Employee Resource Groups (ERGs) to allow employees to take greater ownership and reap the benefits of Employee Resource Groups
Office of Civil Rights & Inclusion Scorecard	Annual marker of progress for underrepresented groups/key EEO-4 categories and equity indicators
Workforce Diversity Analytics Report	Review of programs, data and analytics will track the progress of DE&I initiatives and hold leadership accountable to respond to findings
Revised Recruitment and Job Posting Policy and communication	More transparency around the process surrounding the selection of candidates improves trust and understanding of career development needs
Create a career path framework	Transparency and clarity around career development and opportunities.

Expand ongoing training to our employees on antiracism, unconscious bias, microaggression and cultural competency	
Deliverable	**Outcome**
Neuroscience of Bias Training Modules	Employees are educated about breaking bias – identifying and mitigating bias in employment activities
Bystander/Upstander Training Module	Employees and leaders are educated on their responsibility to respond and intervene in scenarios involving workplace discrimination
Anti-Racism Training Module	Improved understanding on the history of racism and its ongoing effects
Emotional Intelligence Training -	Equipping middle managers with the appropriate tools to manage teams effectively and understand the needs of their employees

Create a Chief Diversity, Inclusion and Equity Officer position, reporting to the President and CEO and to the Chief Human Resources and Administration Officer - and increase investment in the office of Civil Rights and Inclusion	
Deliverable	**Outcome**
Appointment of a Chief Diversity and Inclusion Officer and hire additional staff and consultants to support the development and roll out of the programs	Successful Implementation of Diversity Equity & Inclusion Program and 10 Commitments through the elevation of Chief Diversity, Inclusion and Equity Officer and increased involvement of President & CEO in Diversity Equity & Inclusion issues.

Deliverable	Outcome
Invest in our Black employees and create pathways for career development and upward mobility	
Increase communication and outreach to staff and leadership to encourage and support participation in NYPA's mentoring program	Increase participation of Black and African American and underrepresented employees in NYPA's formal mentoring program. The program will guide mentors to provide coaching and experiences and actively engage mentees to develop skills ang actively manage their present and future career goals.
Ensure custom career development plans are created for each employee through tracking, coaching and leadership oversight	Specific and measurable development plans for each employee that factors current and future opportunities and provides stretch assignments
Cast a wider net and secure a diverse slate of applicants for vacancies by partnering with professional organizations such as the American Association of Blacks in Energy, Historically Black Colleges and Universities and local and national colleges and universities	
Complete and implement the communications plan for refreshing NYPA's digital and social presence to showcase NYPA's diverse workforce and culture	Digital presence showcases the diverse vision and talent at NYPA, leading to an increase in applications from diverse talent
Modify NYPA's applicant tracking system to have applicants answer a question regarding race/ethnicity	The number of diverse applicants applying to positions will identify gaps in the pipeline and allow for targeted outreach solutions
Increase postings of relevant vacancies to the established list of Black/African American and diverse job boards, schools and professional associations	An increase in posting to diverse outlets should increase the number of diverse job applicants
Partner and support our employee unions at the national, regional and local levels and invest in their diversity, equity and inclusion programs and initiatives	
Engage the unions and discuss ways to diversify and promote inclusion in the workforce.	Union participation in NYPA's Diversity Equity & Inclusion Initiatives and greater diversity in union ranks

Leverage NYPA's experience, resources and purchasing power to build capacity and access to MWBE firms	
Deliverable	**Outcome**
Establishment of a Mentor-Protégé Program	Create a Mentor-Protégé Program that results in the following: 1) Capacity building of current diverse suppliers who can work on NYPA/Canal projects 2) Increase relationship building of current and future Prime Contractors and future pipeline employers for NYPA Mentor Protégé Program / Internship and P-Tech Program
Communication Strategy Document & RoadMap for Supplier Outreach, Supplier Education and a Program Newsletter	Strengthen NYPA's brand as a diverse organization that welcomes and encourages a diverse supply chain through enhanced internal and external communications, outreach and education
Create a Surety Program	Roll out a program that helps diverse firms qualify to secure bonding/capital access in to order to increase capacity of firms that can work as a Prime Contractors on NYPA/Canal projects.
Develop departmental Supplier Diversity Goals, business partners for each business unit and training module for first line supervisors	Increased spending with diverse firms through the establishment and tracking of Diversity Goals and Key Performance Indicators for each Business Unit and increased staff accountability for Supplier Diversity goals.
Establish measurable Corporate Supplier Diversity Key Performance Indicators	Definitive goals and Key Performance Indicators that will provide accountability and visibility into success of program
Identify purchasing opportunities where Discretionary Spend can be used throughout the organization	Site Managers and Business Units identify opportunities and areas where Discretionary Spend Purchases can be made. SDP provides assistance in helping them source diverse suppliers/Increased use of new and diverse suppliers into NYPA/Canal supply chain
Update terms and conditions of procurement agreement for alignment with work being performed	Increased bidding and awards of diverse firms; fewer single and sole source awards
Revised and or new policy NYPA & Canal Credit Card Policy for purchases under $5,000	Increased spend with diverse firms
Revision of Procurement Policy	Diverse firms gaining a better understanding of their shortcomings; therefore future bids can be improved
Revision of Procurement Policy and Development of a Standard Diverse Firm Bidders List	Updated Policy/Outreach to diverse firms prior to bid posting will create a greater chance of diverse firms bidding on opportunities
Organizational Pipeline Networking Mentoring Roadmap	During the bid review bidders would receive points for participating in a NYPA Mentor Protégé Program /Provide a future pipeline of employers for NYPA Mentor Protégé Program/Internship and P-Tech Program

Broaden our community-based STEM, student internship and mentorship programs to increase the pipeline of utility and clean energy workers of tomorrow – including the creation of a targeted college scholarship program	
Deliverable	**Outcome**
Establish NYPA's P-TECH Scholars Program that ensures students in NYPA's Environmental Justice host communities have a pathway to careers in the utility industry	Development and execution of NYPA's P-Tech program resulting in an increased number of minority students who pursue studies and careers in the utility industry and a three-year implementation plan that includes specific and measurable goals for: 1. P-TECH Scholars enrolled in the program (including curriculum and calendar of engagements). 2. NYPA Trained and vetted employees participating in mentorship component 3. Internship placements at NYPA
Establish the NYPA Future Energy Leaders Scholarship Program	The development of industry and educational partnerships to award 5 regional scholarships each to students in NYPA's EJ Communities

Create an enterprise wide employee service program dedicated to understanding racial justice through our clean Employee Resource Group business (e.g. community solar) and Employee Resource Group sustainability work in environmental justice communities	
Deliverable	**Outcome**
To establish a NYPA Environmental Justice Community Service Corp which will create opportunities for NYPA employees to volunteer time for community service initiatives in Environmental Justice communities.	Development of a workplan which will include: a comprehensive monthly calendar of volunteer opportunities, establish of community partner programs, the creation of staff participation protocols and possibly revamping the existing paid volunteer policy to include the NYPA Environmental Justice Community Service Corp.

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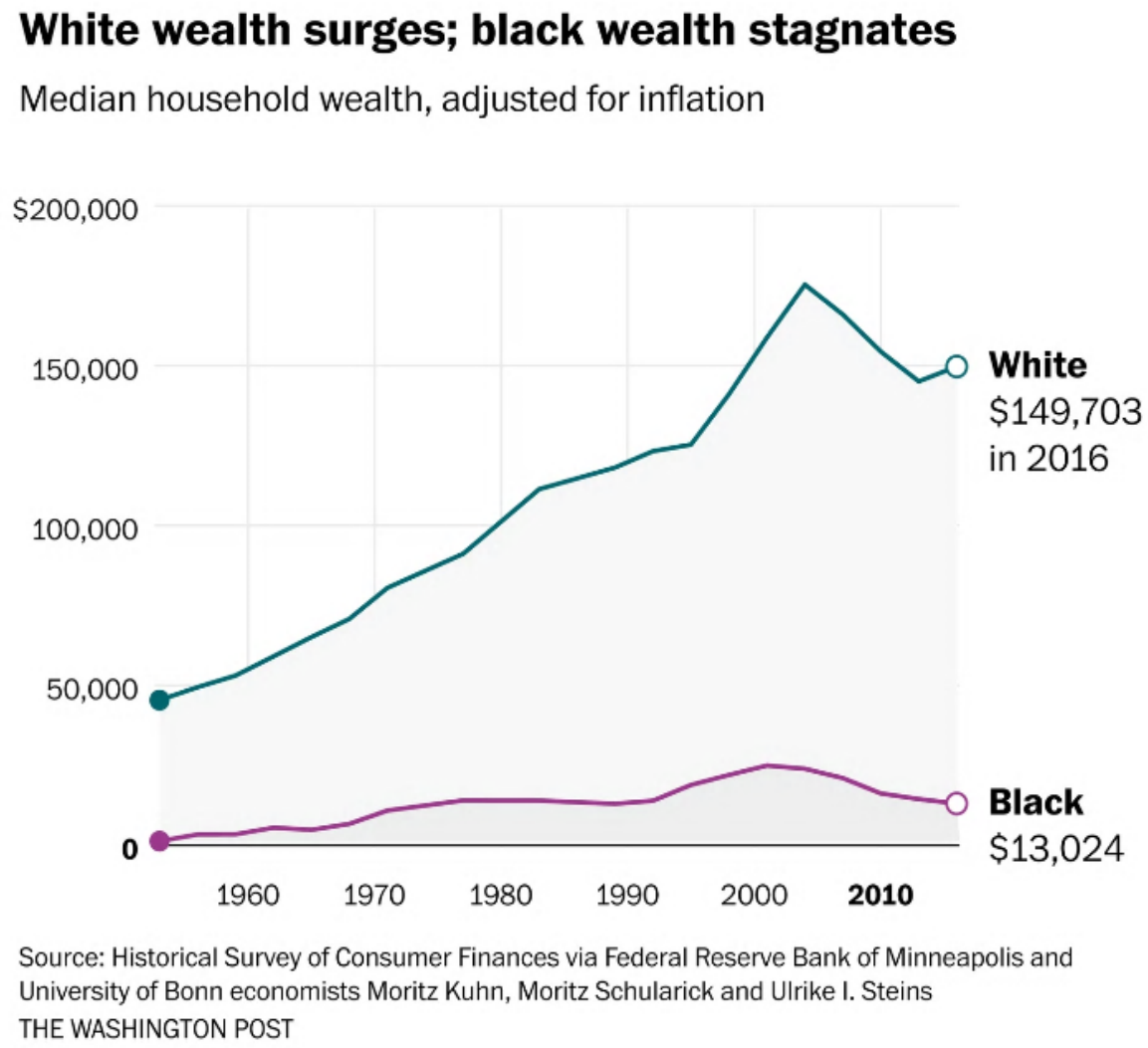
APPENDIX C

Racial Justice and Equity Plan Presented on July 28, 2020

NYPA's Commitment to Addressing Racial Justice and Equity

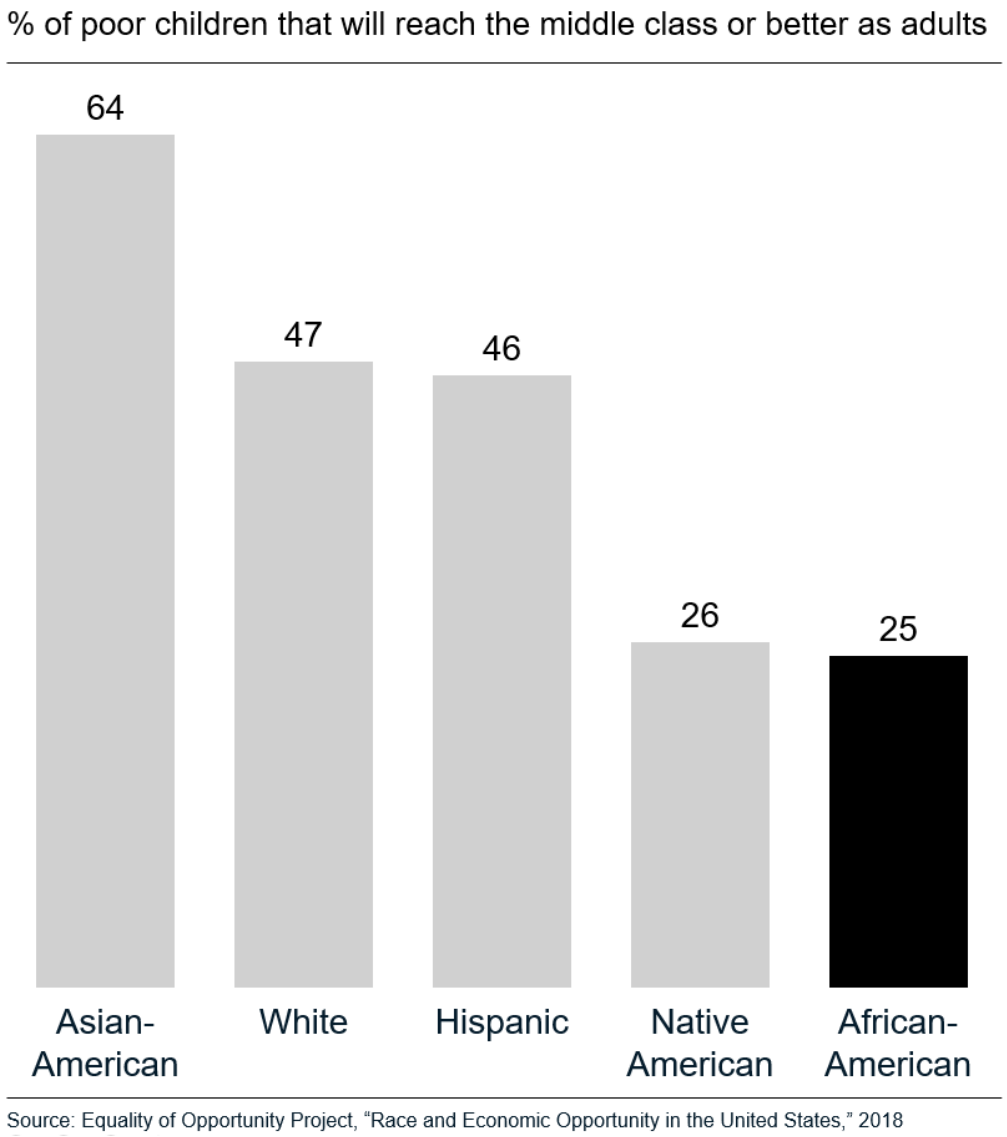
The gap between the finances of Blacks and Whites is still as wide in 2020 as it was in 1968



- The historical data reveal that no progress has been made in reducing income and wealth inequalities between Black and White households over the past 70 years
- The typical Black household headed by someone with an advanced degree has less wealth than a White household with only a high school diploma
- The wealth gap is even more pronounced among less-educated Americans. A White household whose head has only a high school diploma has almost 10 times the wealth of a Black family with the same education. The fact that Black families start off with so much less wealth makes it difficult to catch up, research has found

Source: The Washington Post

Impact on Upward Mobility



- According to McKinsey, the persistent wealth gap between White and Black families creates two negative impacts:
  1. **Human Impact**: Economic mobility is not equally distributed and is particularly difficult for Black Americans
  2. **Economic Impact**: The racial wealth gap constrains the U.S. economy, leading to up to $1.5 trillion in lost economic output
- By closing the racial wealth gap, U.S. GDP could be 4 to 6 percent higher by 2028
- A heterogeneous workforce yields more innovation and better performance than a homogeneous one does

Source: McKinsey

The challenges faced by the Black population is compounded by the impact of COVID-19 and systemic racism

Systemic Racism

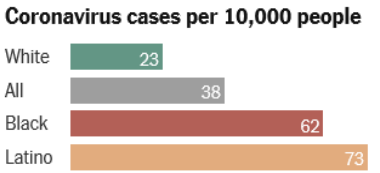
Black men are 2.5 times more likely than White men to be killed by police during their lifetime. And in another study, Black people who were fatally shot by police seemed to be twice as likely as White people to be unarmed

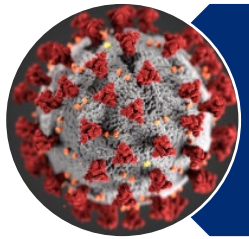
Mental health research has demonstrated a causal link between experienced racial discrimination and adverse mental health outcomes

Perceived racism and discrimination, either overt or covert (microaggression) or in the forms of implicit bias have been associated with depression, anxiety, increased substance abuse, feelings of hopelessness and suicide ideation in Black adults and youths

Source: Nature; American Psychiatric Association

COVID-19 Racial Disparities





Black and Latino people have been disproportionately affected by the coronavirus in a widespread manner that spans the country, throughout hundreds of counties in urban, suburban and rural areas, and across all age groups

Latino and African-American residents of the United States have been 3X as likely to become infected as their White neighbors, according to the new data, which provides detailed characteristics of 640,000 infections detected in nearly 1,000 U.S. counties

Black and Latino people have been nearly twice as likely to die from the virus as White people, the data shows

Source: The New York Times

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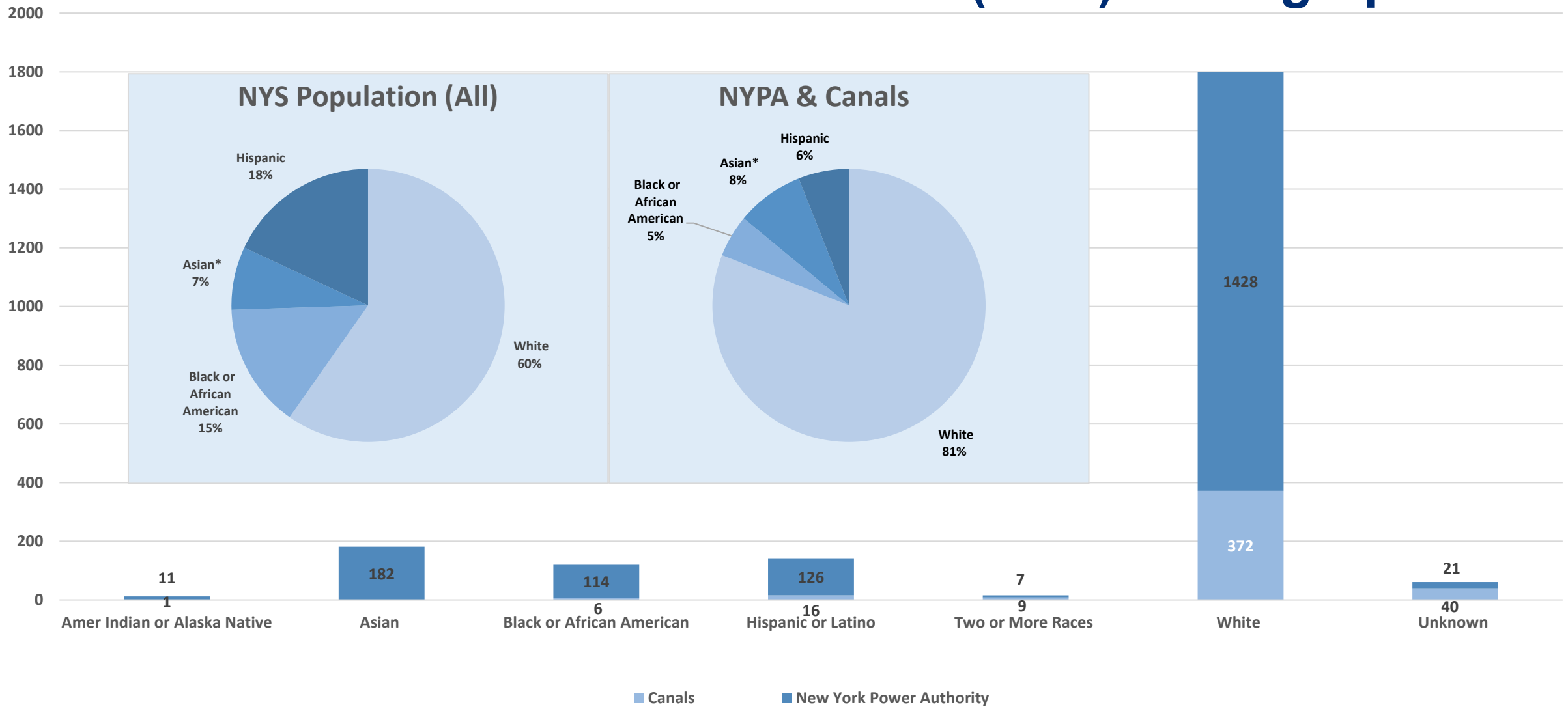
NYPA & Canals vs. New York State (NYS) Demographics



Source: Comparison of New York State Populations by Race and Ethnicity, 2010.

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NYPA's Diversity, Equity and Inclusion (DEI) Program

The Office of Civil Rights and Inclusion, established in 2017, initially focused on employee engagement around DEI in order to build a critical mass of ambassadors as a precursor to successfully embed future DEI programs.

The Program aligns with industry best practices with focus on:

Build an Inclusive Workforce

- Created six Employee Resource Groups (ERG) sponsored by EMC
- 369 core ERG members
- Coordinated 40 ERG events with attendance of over 1,000 employees each year
- Quarterly ERG leadership meetings and trainings

Leadership Accountability

- Hosted senior leadership briefings and training on DEI
- Consulted DEI experts in the field
- Demonstrated leadership commitment to DEI through actions
- Conducted formal and informal surveys

Recruitment and Development

- Partnered with Recruitment /HR to develop programs
- Partnered with Environmental Justice & Sustainability on mentorship program
- Trained over 2,000 Canals and NYPA staff on DEI
- Partnered with Corporate Communications on DEI messaging

NYPA's Commitment to Racial Justice and Equity

Maximizing the human potential of everyone in the workplace

Internal Facing

1. Reaffirm NYPA's commitment to building and maintaining a diverse, equitable and inclusive culture.

2. Ensure that our processes, policies and procedures are transparent and free from bias.

3. Expand ongoing training to our employees on antiracism, unconscious bias, microaggression, and cultural competency.

4. Create a Chief Diversity, Inclusion and Equity Officer position, reporting to the President and CEO and to the Chief Human Resources and Administration Officer – and increase investment in the office of Civil Rights and Inclusion.

5. Invest in our Black employees and create pathways for career development and upward mobility.

6. Cast a wider net and secure a diverse slate of applicants for vacancies by partnering with professional organizations such as the American Association of Blacks in Energy, Historically Black Colleges and Universities and local and national colleges and universities.

7. Partner and support our employee unions at the national, regional and local levels and invest in their diversity, equity and inclusion programs and initiatives.

External Facing

8. Leverage NYPA's experience, resources and purchasing power to build capacity and access to MWBE firms.

9. Broaden our community-based STEM, student internship and mentorship programs to increase the pipeline of utility and clean energy workers of tomorrow – including the creation of a targeted college scholarship program.

10. Create an enterprise wide employee service program dedicated to understanding racial justice through our clean energy business (e.g. community solar) and energy sustainability work in environmental justice communities.

NYPA's Commitment to Racial Justice and Equity

Next Steps

1. Partner and collaborate with the American Association of Blacks in Energy (AABE) and develop specific deliverables and desired outcomes by September 2020.
2. Form teams to operationalize (plans, process, metrics, reports, etc) each of the 10 initial commitments.
3. Report progress and status at future meetings of the Governance Committee of the Board of Trustees.

Appendix

Diversity, Equity and Inclusion Steering Committee

- Gil Quiniones - President & CEO
- Justin Driscoll - EVP, General Counsel
- Joseph Kessler - EVP, Chief Operating Officer
- Kristine Pizzo - EVP, Chief HR & Administrative Officer

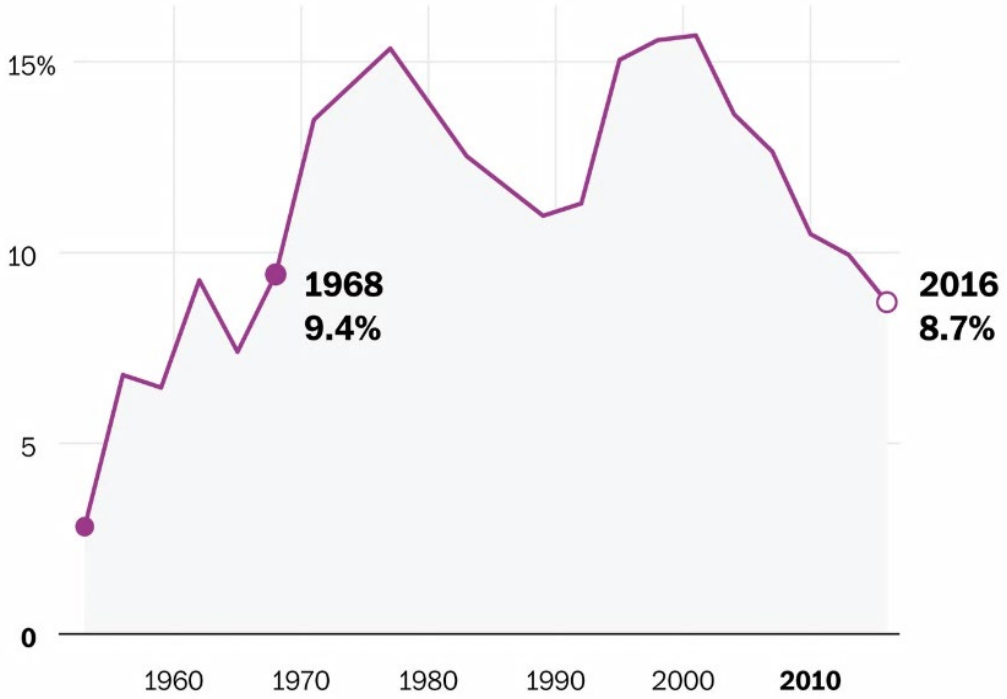
Diversity, Equity and Inclusion Working Group

- Debra Cartagena - Sr. Director Talent Acquisition
- Victoria Daniels - Manager Supplier Diversity
- Eric Firnstein - Labor Relations Manager & STL HR Manager
- Carol Geiger-Wank, Chief of Staff for COO & VP Labor Ops.
- Nancy Harvey - Dir. Office of Civil Rights and Inclusion
- Daniella Piper - VP Digital Transformation & Chief of Staff
- Simone Quartey - Civil Rights & Inclusion Specialist
- Lisa Wansley - VP Environmental Justice & Sustainability

The Washington Post – June 4, 2020

The black-white wealth gap is as wide as in the 1960s

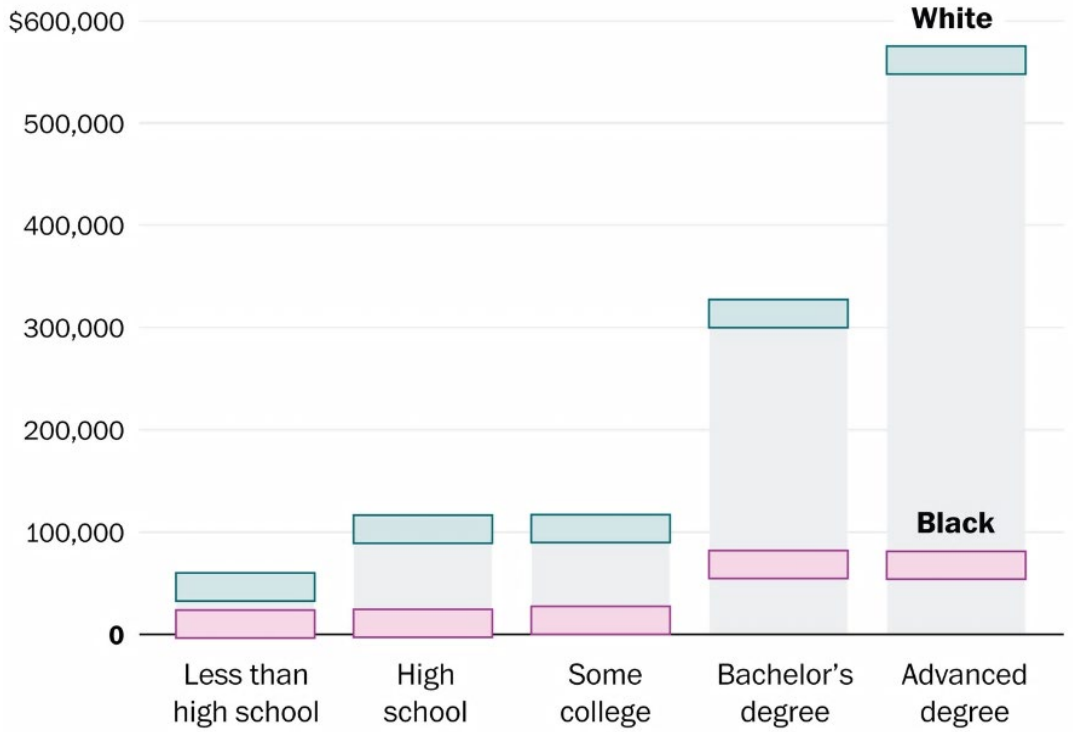
Median black household wealth as a percentage of median white household wealth



Source: Historical Survey of Consumer Finances via Minneapolis Fed and University of Bonn economists Moritz Kuhn, Moritz Schularick and Ulrike I. Steins

At every education level, black wealth lags

Median household wealth by race and education level, 2016



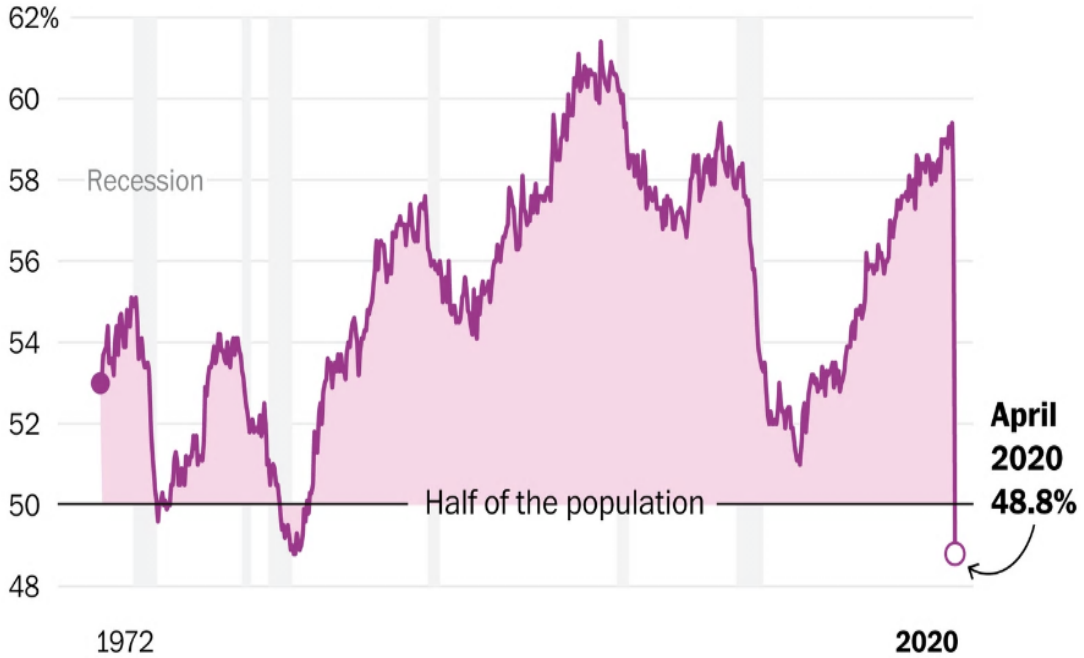
Source: Federal Reserve
THE WASHINGTON POST

Source: The Washington Post

The Washington Post – June 4, 2020

Fewer than half of black adults are now employed

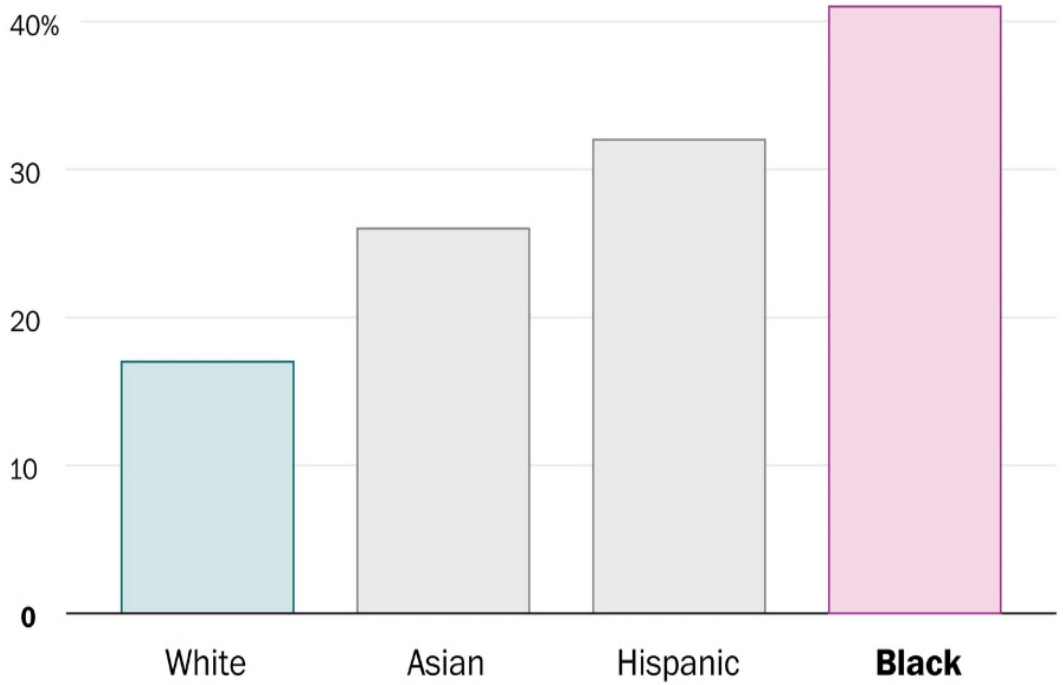
U.S. black employment as a share of the black adult population



Note: Seasonally adjusted
Source: Labor Department via FRED
THE WASHINGTON POST

Black small businesses hit twice as hard as white ones

U.S. small business owners and self-employed workers who weren't working in April 2020, shown as a share of February's total

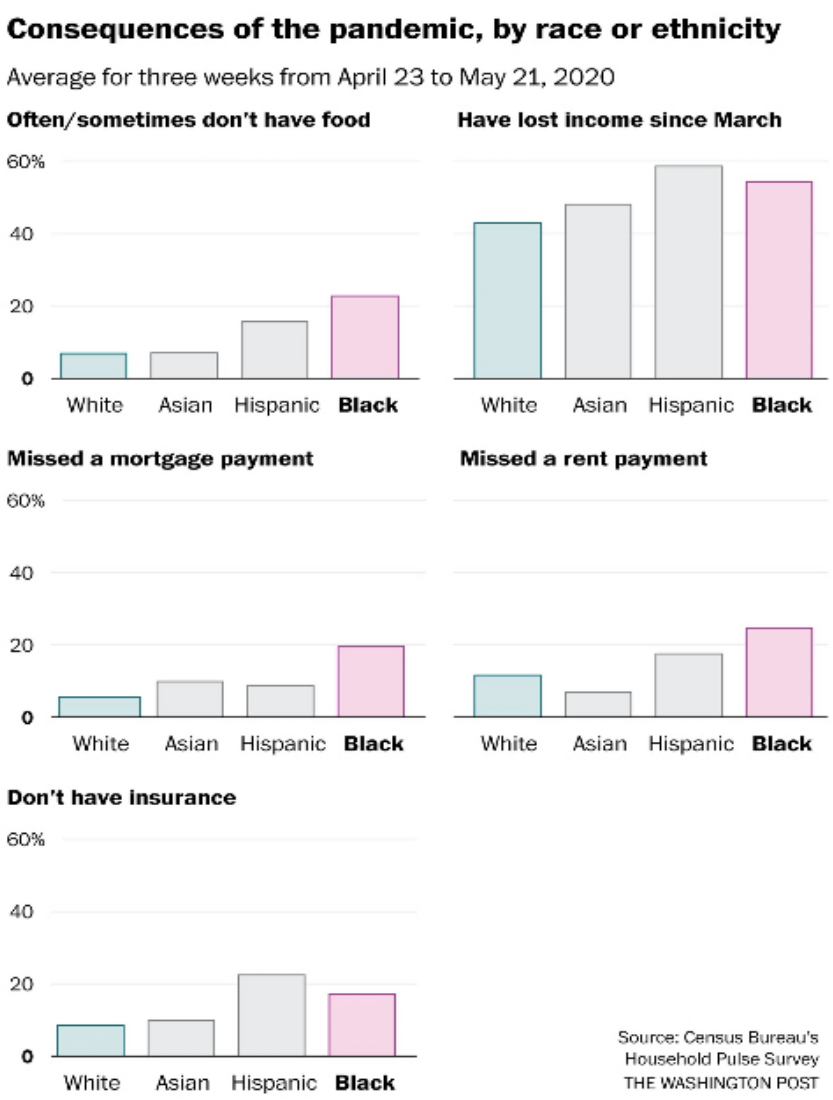


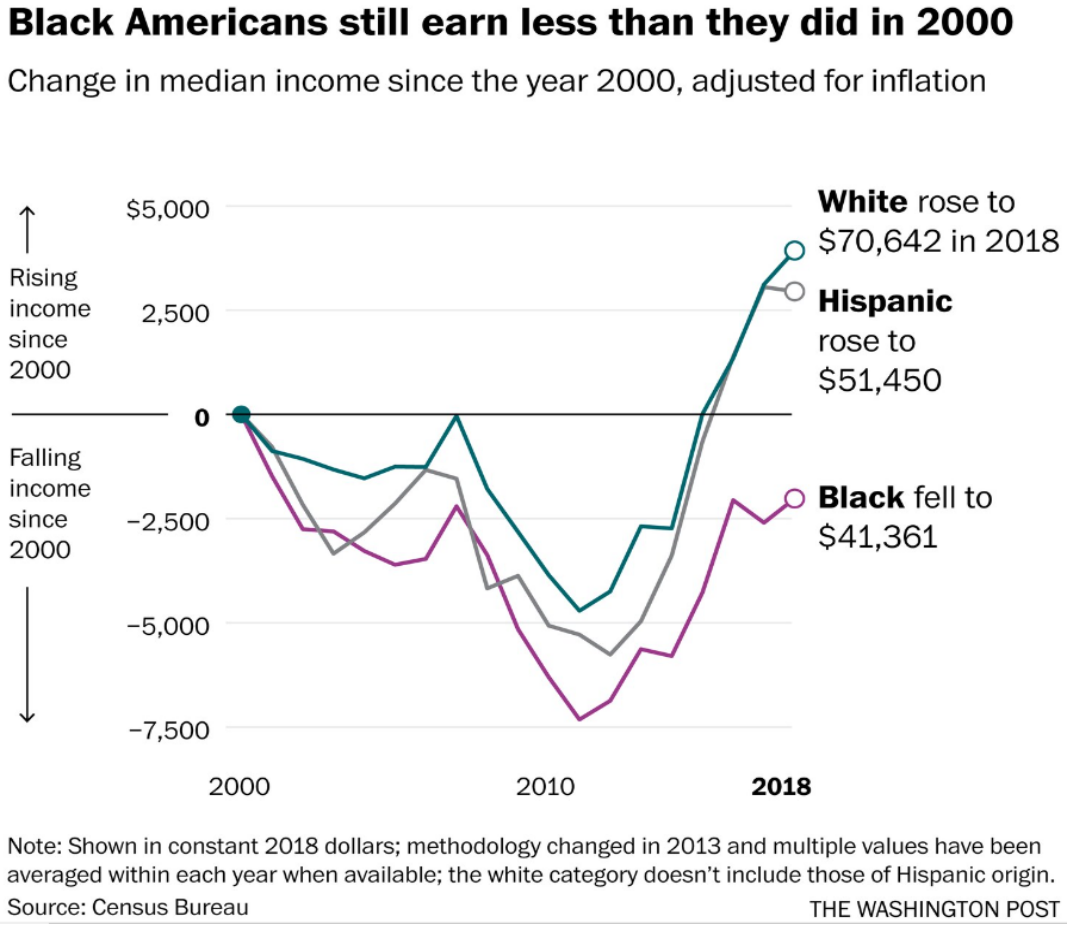
Source: Labor Department data analyzed by Robert Fairlie of the University of California, Santa Cruz
THE WASHINGTON POST

NEW YORK STATE OF OPPORTUNITY. | NY Power Authority | Canal Corporation

Source: The Washington Post

The Washington Post – June 4, 2020

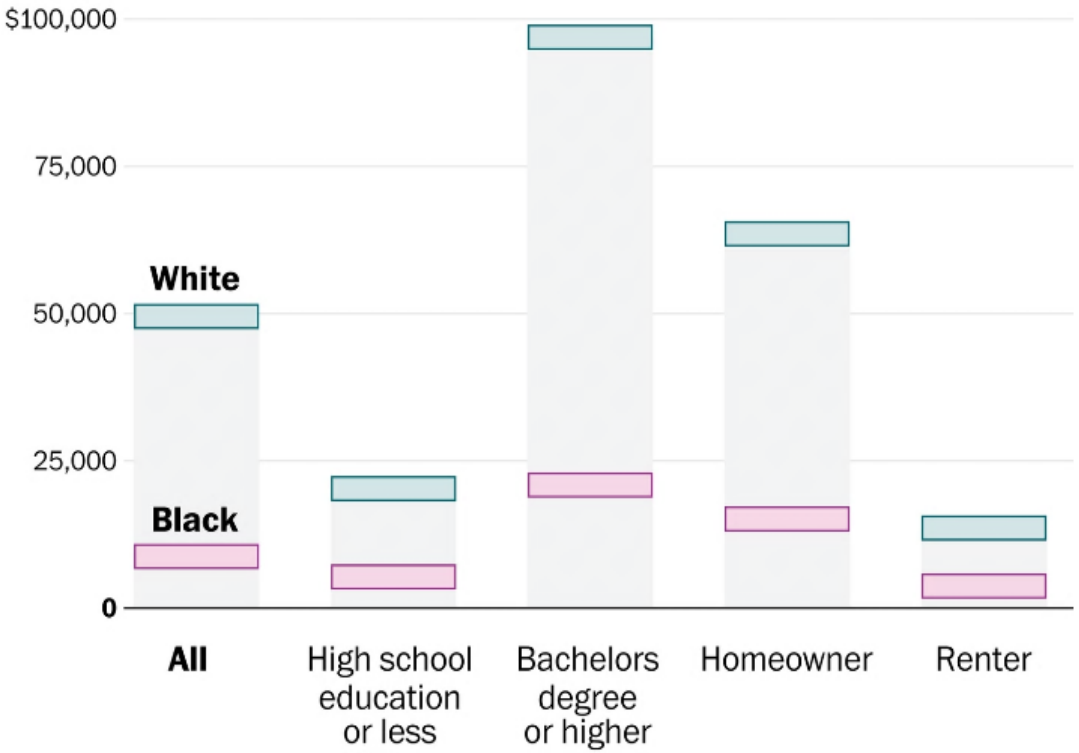




Source: The Washington Post

The Washington Post – June 4, 2020

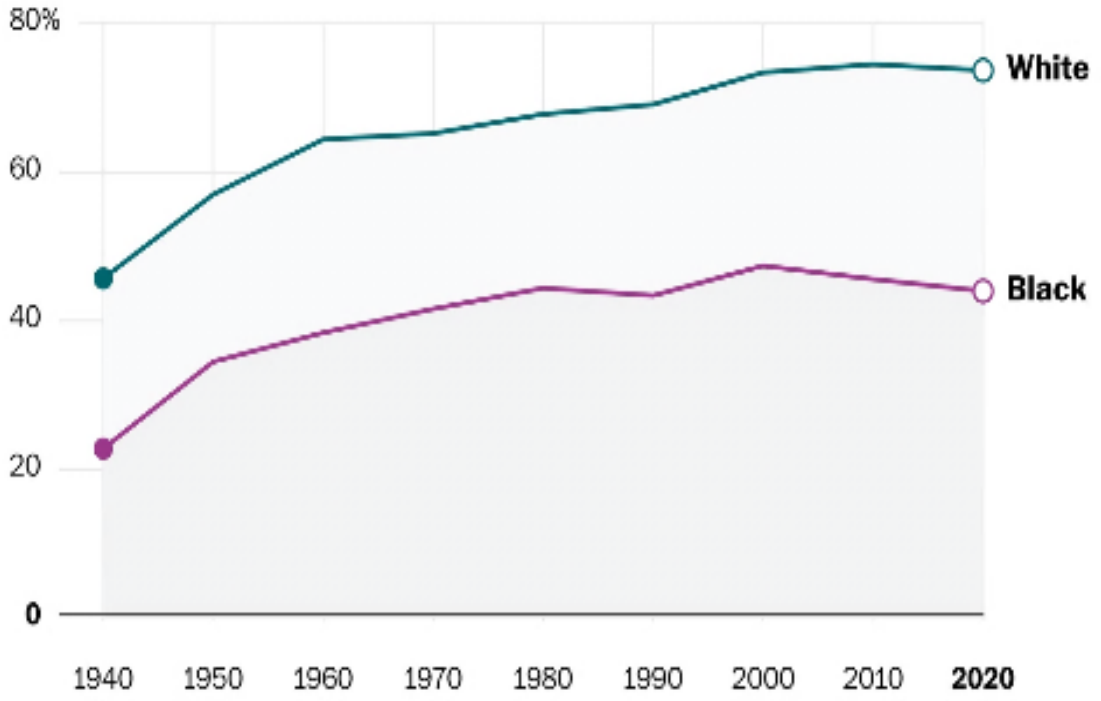
Average cash on hand, 2016



Note: Includes checking and savings accounts, cash, prepaid cards and direcly held stocks, bonds and mutual funds.
Source: Federal Reserve via Elise Gould and Valerie Wilson of the Economic Policy Institute
THE WASHINGTON POST

Black homeownership is in retreat

Homeownership rates by decade and race



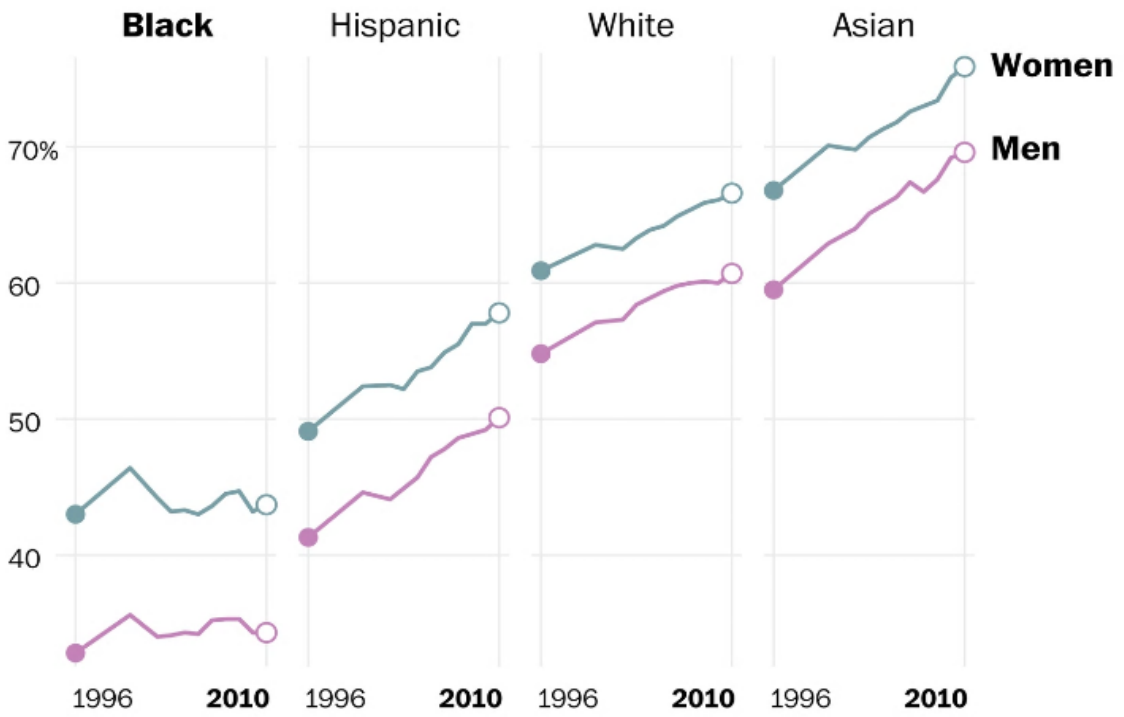
Source: Census Bureau
THE WASHINGTON POST

Source: The Washington Post

The Washington Post – June 4, 2020

Colleges are failing most black students

Share of students who graduate from four-year universities within six years, by year they entered college



Note: Asian includes Pacific Islanders

Source: National Center for Education Statistics

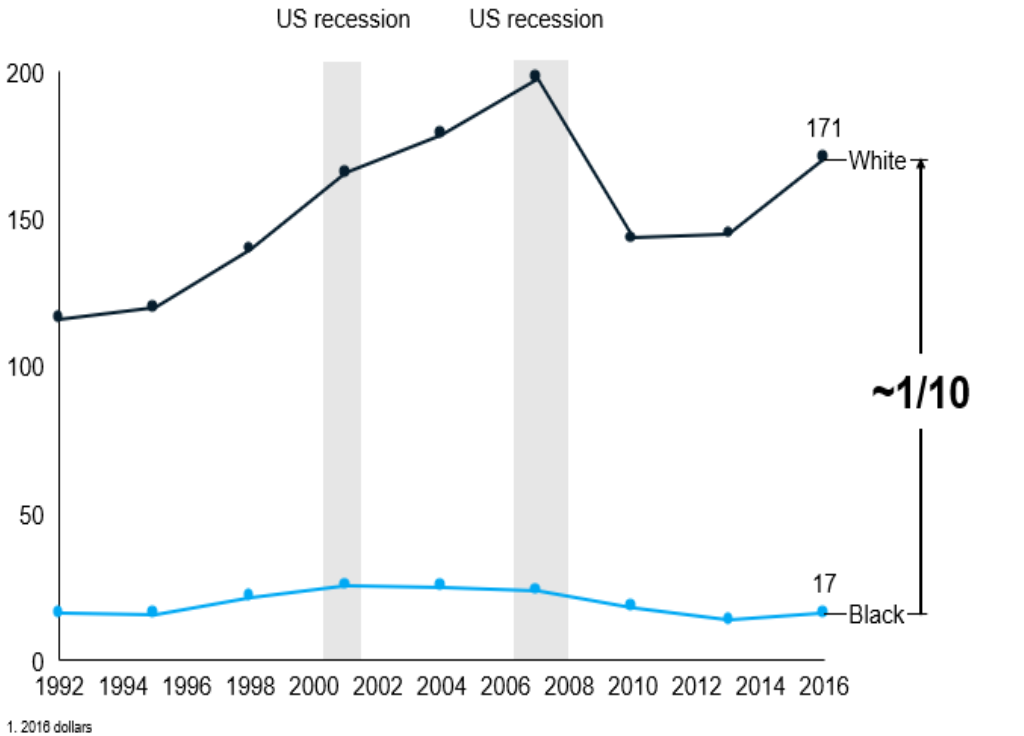
THE WASHINGTON POST

Source: The Washington Post

McKinsey

A wide and persistent wealth gap between white and black families creates two negative impacts

Median family wealth in 1992-2016 by ethnicity/race. $ thousand[1]



1. 2016 dollars

Source: "2016 survey of consumer finances. "Federal reserve Board, September 2017, federalreserve.gov

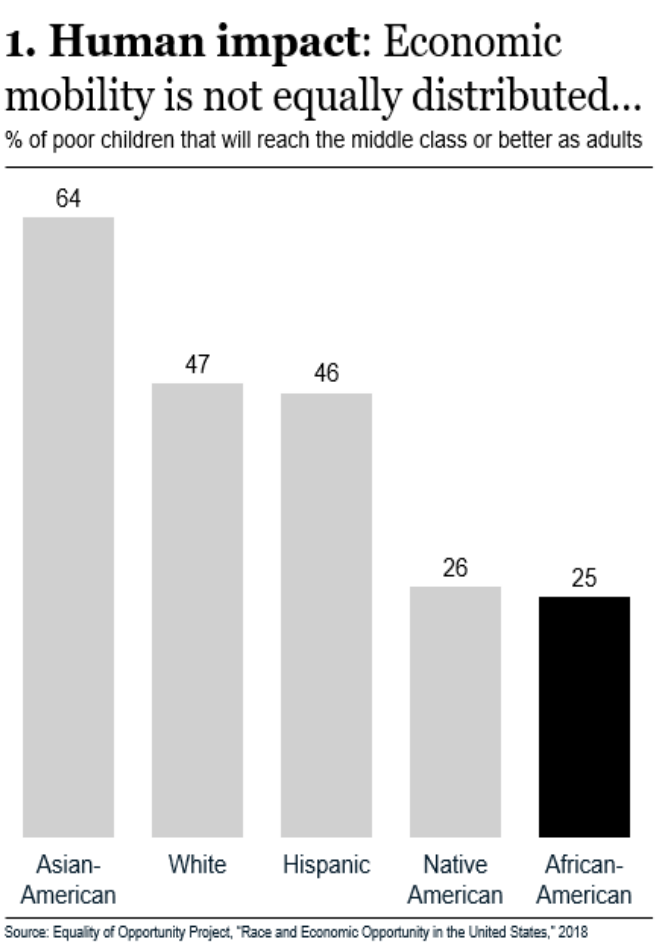
1 Human Impact

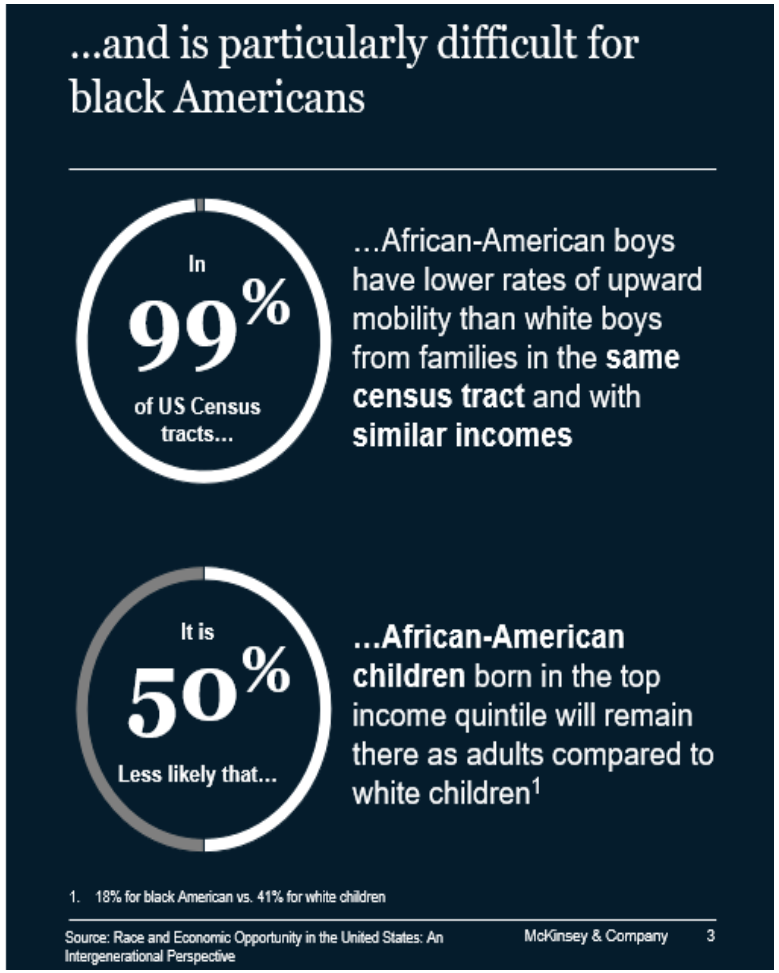
Racial wealth gap puts **downward pressure on socioeconomic mobility,** disadvantaging black individuals, families, and communities

2 Economic Impact

Racial wealth gap also **constrains the US economy as a whole**

McKinsey


1. Human impact: Economic mobility is not equally distributed...
% of poor children that will reach the middle class or better as adults
64
47
46
26
25
Asian-American
White
Hispanic
Native American
African-American
Source: Equality of Opportunity Project, "Race and Economic Opportunity in the United States," 2018

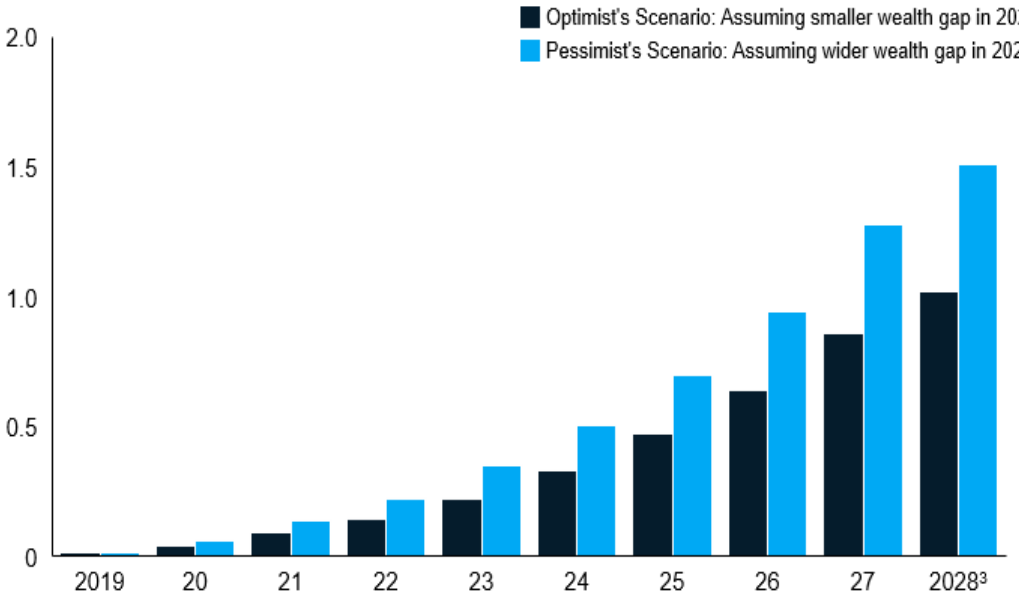

...and is particularly difficult for black Americans
In 99% of US Census tracts...
...African-American boys have lower rates of upward mobility than white boys from families in the same census tract and with similar incomes
It is 50% Less likely that...
...African-American children born in the top income quintile will remain there as adults compared to white children[1]
1. 18% for black American vs. 41% for white children
Source: Race and Economic Opportunity in the United States: An Intergenerational Perspective
McKinsey & Company 3

McKinsey

2. Economic impact: The racial wealth gap constrains the US economy as a whole, leading to up to $1.5 trillion in lost economic output

Real GDP increase from closing racial wealth gap, $ trillion[1]

By closing the racial wealth gap, US GDP could be **4 to 6 percent higher by 2028**



11-12K

Increase in per capita GDP[4] between 2018-2028, greater than any expansion in the last 30 years

1 2018 dollars 2 Assumes that over time, wealth gap will close in linear fashion, reaching scenario's assumed targets by 2028
3 $2,631 billion - $3,990 billion in nominal dollars 4 $7,500 - $11,400 in nominal dollars

Source: "2016 survey of consumer finances," Federal reserve Board, September 2017, Federalreserve.gov; Oxford Economics; McKinsey Global institute analysis

McKinsey & Company 4

McKinsey

The challenges facing black Americans have increased in the pandemic, with continued police brutality threatening black lives and livelihoods

COVID-19 has exacerbated the challenges facing black Americans…

65%

of Black Americans live in states with below median COVID-19 testing rates

40%

of the revenues of black-owned businesses are located in the five most vulnerable sectors due to the pandemic, compared with 25% of the revenues of all US businesses

7 M

of jobs held by black workers (39% of all jobs held by black workers) are vulnerable as a result of the COVID-19 crisis compared with **34%** for white workers

52%

of black workers surveyed say the coronavirus outbreak is a major threat to their personal financial situation, compared to 43% of white respondents

… as has continued police brutality

2.5x

lifetime risk that black men & boys will be killed by police vs. white men & boys

Source: McKinsey Global Institute, Pew Research Center

5

NEW YORK
STATE OF
OPPORTUNITY.™

NY Power Authority

Canal Corporation

Exhibit 5b-A-1
December 1, 2020

NYPA GUIDELINES FOR PROCUREMENT CONTRACTS

1. PURPOSE

These Guidelines for Procurement Contracts ("Guidelines") set forth the policy of the Authority regarding the solicitation and awarding of Procurement Contracts. The provisions of Article 4-C of the Economic Development Law, §§ 2879 and 2879-a of the Public Authorities Law, Articles 15-A and 17-B of the Executive Law and §§ 139-j and 139-k of the State Finance Law were considered in developing these Guidelines. Departments and facilities may adopt further procedures to implement these Guidelines.

2. DEFINITIONS

A. "Capital projects" generally refer to the acquisition or construction of new assets, the replacement and/or betterment of existing assets, equipment, or property (including those of NYPA's customers, where authorized). Betterment refers to an extension of the useful life or improvement in the efficiency and/or capacity of the asset, equipment, or property.

B. "Contact" is any oral, written, or electronic communication with the Authority under circumstances where a reasonable person would infer that the communication was intended to influence the Authority's conduct or decision regarding the procurement.

C. "Discretionary Purchase" is a procurement made below statutorily established monetary threshold amounts (e.g., not exceeding $500,000 for the purchase of commodities and/or services from Small Business Enterprises or NYS-certified MWBE firms, and without a dollar cap for SDVOB firms as further set forth in Sections 3.D and 3.K.5-7) and at the discretion of the Authority, without the need for a formal competitive bid process. For the purpose of determining whether a purchase is within the discretionary thresholds, the aggregate amount of all purchases of the same commodities and/or services to be made within the 12-month period commencing on the date of purchase shall be considered. A change to or a renewal of a discretionary purchase shall not be permitted if the change or renewal would bring the reasonably expected aggregate amount of all purchases of the same commodities and/or services from the same provider within the 12-month period commencing on the date of the first purchase to an amount greater than $500,000, pursuant to State Finance Law § 163.

D. "Disadvantaged Business Enterprise" (DBE) is a for-profit small business concern (1) that is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and (2) whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it, pursuant to the definition found in 49 C.F.R Part 26.

E. "Evaluation of Proposals," as further outlined in Section 4 below, includes evaluating factors the Authority's consideration of a bidder's skill, judgment, and business integrity.

F. "Goods" include equipment, material and supplies of any kind. Procurement Contracts that include both equipment and services may be classified as Equipment," where 60% or more of the total projected contract value will be for the purchase of equipment, material or supplies.

G. "Minority- and Women-owned Business Enterprise" ("MWBE") is defined as any New York State-certified business enterprise at least 51% of which is owned by black persons, Hispanics, Native Americans, Asians, Pacific Islanders and/or women, and as further described in the Authority's Supplier Diversity Program Policy and Procedures and Executive Law Article 15-A, and pursuant to the definition found in Executive Law § 310.

H. "Non-Procurement Contracts" include contracts under $5,000, contracts for energy with or without environmental attributes included, capacity, renewable energy certificates, ancillary services, transmission, distribution or related services in support of providing service to Authority customers; contracts for differences; financial hedge contracts (including but not limited to swaps, calls, puts or swap options) or credit rating services; certain insurance and healthcare products that do not readily lend themselves to a competitive solicitation. In addition, Non-Procurement Contracts include direct and indirect placement of advertisements with radio, television, print and electronic media, periodicals, subscriptions, reference materials or professional research tools, written materials, fees or tuition associated with continuing education courses, training courses, conferences, seminars and symposiums, funding agreements, co-funding agreements, grants or memberships in various industry groups, professional societies or similar cooperative associations, or any cooperative projects and procurement activities conducted or sponsored by such organizations in which the Authority participates.

I. "Operation and Maintenance" ("O&M") generally refers to the work or services necessary to keep the plants, transmission lines, and other equipment and facilities to include NYPA customers, where authorized, (collectively referred to generally as an "asset") in optimal operating condition and/or to restore an asset to its productive capacity. This includes the cost of inspecting, testing, analyzing and reporting on the condition of the asset required to determine repairs or replacement, as well as costs associated with the normal operation and administration of NYPA's production/transmission facilities and energy programs.

J. "Procurement Contracts" are contracts for the acquisition of goods and/or services in the actual or estimated amount of $5,000 or more. Such goods and/or services are those necessary to support the Authority's White Plains office, facilities, operations and maintenance ("O&M") and capital projects (as defined in Section 2.I. and 2. A., respectively), including but not limited to goods such as office supplies, major electrical

equipment, construction and maintenance work and services as more fully described in Section 2.F and 2.M.

K. "Purchase Order Release" is a single order issued for goods or services in accordance with the terms and conditions of a Value Contract.

~~K.~~L. "Relative" is any person living in the same household as the Authority employee or any person who is a direct descendant of the Authority employee's grandparents or the spouse of such descendant, as referred to in Subsection 9.E.1 of these Guidelines. The term Relative may include, but is not limited to, the relationship of spouse, child, parent, sister, brother, grandparent, grandchild, aunt, uncle, cousin, niece, nephew, stepchild, stepparent, stepsister, stepbrother, mother-in-law, father-in-law, sister-in-law, brother-in-law, daughter-in-law or son-in-law.

~~L.~~M. "Services Contracts" are Procurement Contracts for services of a consulting, professional or technical nature provided by outside consultants/contractors (individuals, partnerships, or firms who are not and do not employ officers or employees of the Authority) for a fee or other compensation. Services Contracts comprise three specific types: Personal Services, Non-Personal Services, and Construction. Personal Services include, but are not limited to: accounting, architectural, engineering, financial advisory, legal, public relations, planning, management consulting, surveying, training (when specifically developed by a consultant for the Authority), and construction management. Non-Personal services include but are not limited to skilled or unskilled temporary personnel, including clerical office staff, technicians, or engineers working under Authority's supervision, maintenance, repairs, and printing services. Construction consists of craft labor and other services utilizing laborers and/or mechanics not otherwise considered Non-Personal Services

Note: Use of such services may be appropriate (1) when a consultant/contractor possesses special experience, background or expertise; (2) when there is insufficient Authority staff and retention of a consultant/contractor is more appropriate or economical than hiring additional permanent staff; (3) to provide independent external review or a second opinion; (4) to meet unusual schedule requirements or emergencies or (5) for a combination of the aforementioned factors.

~~M.~~N. "Single-Source" is a procurement in which the Authority, upon written findings setting forth material and substantial reasons, may award a contract (or amendment to a contract) to one offeror over another that can supply the goods or services.

~~N.~~O. "Small Business" (or Small Business Enterprise, "SBE"), pursuant to Executive Law § 310 and as used in these Guidelines, unless otherwise indicated, is a business that has a significant business presence (as defined at 5 NYCRR 140.1) in New York State, is independently owned and operated, not dominant in its field and employs not more than 300 people.

~~O.~~P. "Software" includes on-premise applications as well as Software-as-a-Service (SaaS) which is defined as a software distribution model in which a third-party provider hosts application and makes access available to customers over the Internet. "Software" shall be considered "Equipment" where such term is used throughout these Guidelines.

~~P.~~Q. "Sole Source" is a procurement in which only one offeror is capable of supplying the required goods or services.

~~Q.~~R. "Service-Disabled Veteran-Owned Business" ("SDVOB") is a business enterprise, including a sole proprietorship, partnership, limited liability company or corporation that is at least 51% owned by one or more service-disabled veterans; in which such ownership is real, substantial and continuing, and also has and exercises the authority to control independently the day-to-day business decisions of the enterprise; is a Small Business and is certified by the New York State Office of General Services, as further set forth in Article 17-B of the Executive Law.

S. "Value Contract" Master Service Agreement for goods and services with specific target value and term.

3. SOLICITATION REQUIREMENTS

A. Preparation of the solicitation of proposals for Procurement Contracts is the joint responsibility of the White Plains Strategic Supply Management ("SSM") Department, or the facilities' SSM Departments, and the initiating department. Except as otherwise authorized by these Guidelines, a Request for Proposals ("RFP") or Request for Quotations ("RFQ") will be made available to a minimum of three providers and/or firms (if available) for purchases valued under $50,000 and a minimum of five providers and/or firms (if available) for purchases valued at $50,000 and greater, commensurate with the magnitude and nature of the goods and/or services, and the schedule for performance.

B. Prospective bidders on Procurement Contracts may be prequalified by invitation advertised in the same manner as an RFP/RFQ (referred to as a Request for Qualifications and/or Request for Information ("RFI"). In such cases, proposals are requested only from those providers and/or firms whose prequalification submittals demonstrate sufficient ability and competence (including, but not limited to, the bidder's skill, judgment and business integrity) to supply the particular goods and/or perform the particular services required.

C. The Authority may withdraw any pending solicitation (including but not limited to RFPs and RFQs) at any time, for cause or no cause. Any person or entity submitting any responsive document to the Authority does so at its own cost or expense and will not be reimbursed by the Authority for the preparation of any responsive document, unless otherwise agreed to in writing and signed by an authorized Authority representative.

D. In order to promote the use of Minority- and Women-owned Business Enterprises ("MWBEs"), Service-Disabled Veteran-Owned Businesses ("SDVOBs") and Small Business Enterprises ("SBEs"), the Authority will solicit offers from such firms known to have

experience in the type of goods and/or services to be provided, regardless of the type of contract. For the purpose of these Guidelines, the definitions of NYS-certified MWBE or SDVOB firms and SBEs are set forth in Sections 2.~~H~~G, 2.~~I~~R and 2.~~I~~O, respectively.

To foster increased use of MWBEs and SBEs, a single proposal may be sought, negotiated and accepted for discretionary purchases of goods and/or services not exceeding $500,000, in the aggregate including all amendments, from a NYS-certified MWBE or an SBE that offers a reasonable price for such goods and/or services. An SDVOB may be awarded on the basis of a single proposal that offers a reasonable price for such goods and/or services without a dollar cap. The award of such proposal requires the written approval of the Vice President, SSM. Any subsequent alteration to the accepted proposal, including, but not limited to, change orders, amendments, or supplemental terms shall also necessitate the written approval of the Vice President, SSM. Furthermore, the award of such Procurement Contracts will be noticed on the *Contract Reporter* website, as further set forth in Section 3.H.

E. It is the policy of New York State to promote the participation of and maximize the opportunities for New York State Business Enterprises and New York State residents in Procurement Contracts. The Authority will endeavor to promote such participation and to comply with the applicable statutory provisions. In furtherance of Public Authorities Law § 2879, the following definitions and actions apply:

1. "New York State Business Enterprise" is a business enterprise, including a sole proprietorship, partnership or corporation that offers for sale or lease or other form of exchange, goods sought by the Authority that are substantially manufactured, produced or assembled in New York State or services, excluding construction services, sought by the Authority that are substantially performed within New York State as further described in Public Authorities Law § 2879.

2. "New York State resident" is a person who maintains a fixed, permanent, and principal home in New York State to which such person, whenever temporarily located, always intends to return as further described in Public Authorities Law § 2879.

3. "Foreign Business Enterprise" is a business enterprise, including a sole proprietorship, partnership or corporation, that offers for sale, lease or other form of exchange, goods sought by the Authority that are substantially produced outside New York State, or services other than construction services, sought by the Authority that are substantially performed outside New York State as further described in Public Authorities Law § 2879. For purposes of construction services, Foreign Business Enterprise is a business enterprise, including a sole proprietorship, partnership or corporation, which has its principal place of business outside New York State.

4. "Discriminatory Jurisdiction" is any country, nation, province, state or political subdivision thereof which employs a preference or price distorting mechanism to the detriment of, or otherwise discriminates against, a New York State Business

Enterprise in the procurement of goods and/or services by the same or a non-governmental entity influenced by the same.

5. Pursuant to Public Authorities Law § 2879, the Authority shall not enter into a contract with a Foreign Business Enterprise which has its principal place of business in a Discriminatory Jurisdiction contained on the list prepared by the Commissioner of the New York State Department of Economic Development ("DED"). The provisions of this section may be waived by the Authority's President and CEO if the CEO determines in writing that it is in the best interests of the Authority to do so, as further set forth in the above-referenced law.

6. Pursuant to Public Authorities Law § 2879, the Authority will, where feasible, make use of the stock item specification forms of New York State manufacturers, producers and/or assemblers, as made available by the Commissioner of General Services, for any Procurement Contract for the purchase of goods.

F. Certain goods and/or services may be procured pursuant to Procurement Contracts let by any department, agency, officer, political subdivision or instrumentality of the State (e.g., the New York State Office of General Services ("OGS")) or Federal government (e.g., General Services Administration ("GSA")) or any city or municipality where the White Plains SSM Department, or facility SSM Departments, and the initiating department determine that a reasonable potential exists for cost savings or other benefits to the Authority and have approved the specifications and proposed terms and conditions of such contract.

Certain Procurement Contracts established by the OGS or GSA require that authorized users conduct a "mini bid" (i.e., an abbreviated supplemental competitive bid procurement process) among prequalified bidders identified in such established contracts. Certain other Procurement Contracts issued by the Authority (e.g., for on-call consulting or contracting services) may also utilize a mini bid process, typically, in cases of a multiple award, where a contract is awarded to more than one bidder that meets the Authority's bid requirements, in order to satisfy multiple factors and needs as set forth in the bid document. Such mini bids shall be conducted by the Authority's SSM staff (or on behalf of the Authority by an Implementation Contractor) where applicable and practicable. Within a said multiple award group, work may be assigned to a specific firm without conducting a mini bid, under certain circumstances, including but not limited to: where such firm possesses specialized expertise and is uniquely qualified to perform such work; where time constraints, emergency or other critical conditions exist or geographic location is of primary consideration in order to meet schedule requirements, respond to emergent issues or otherwise meet the Authority's needs; or when the work scope is below a specified monetary threshold. The decision to assign work without conducting a mini bid shall typically be made jointly by SSM and the initiating departments and shall be documented for the Procurement Record.

G. Solicitations will include a scope of work that defines the goods required and/or the services to be performed; evaluation criteria (as defined in Section 4.B); milestone dates;

the Authority's Supplier Diversity Program and SDVOB requirements, if applicable; all other applicable Authority requirements and any special methods or limitations that the Authority chooses to govern the work. Telephone solicitation, usually for procurements valued at less than $50,000, may be used where time constraints do not permit issuance of an RFP, where issuance of an RFP is otherwise impracticable or for goods that are catalog items or do not require a detailed bill of materials or specification. All solicitations made by telephone shall be documented and made part of the Procurement Record.

H. For all Procurement Contracts with a value equal to or greater than $50,000 (except for those contracts noted below), the Authority will, prior to soliciting proposals, submit all required information to the Commissioner of the DED to be included on the New York State *Contract Reporter* website, (www.nyscr.ny.gov) (unless such posting would serve no useful purpose). Such information will be submitted to the DED Commissioner in accordance with the schedule set forth by the DED. The due date for bids or proposals will be a minimum of 15 business days after the date of publication of such notice on the *Contract Reporter* website, except where a shorter period is specifically authorized by law. For Procurement Contracts resulting from a Request for Proposal process, the Authority will submit the results of the bid opening, including the names of firms submitting proposals and the name/s of the awardee/s, for inclusion on the *Contract Reporter* website. For all other Procurement Contracts, the name of the awardee will be submitted.

This section 3.H does not apply to (i) Procurement Contracts awarded on an emergency basis as described below in Section 3.M, (ii) Procurement Contracts being rebid or re-solicited for substantially the same goods and/or services, within 45 business days after the original due date, and/or (iii) Procurement Contracts awarded to not-for-profit human services providers. (See Article 4-C, Economic Development Law)
Certain Procurement Contracts may require purchases: (1) on a spot market; (2) needed prior to the time limits for noticing on the Contract Reporter website or that do not lend themselves to the solicitation process. Such purchases are exempted from the noticing requirements of Article 4-C of the Economic Development Law subject to the approval of the Vice President, SSM, and/or the head of the initiating department that does not complete its procurements through the SSM Department. From time to time or where appropriate, generic notices may be published on the Contract Reporter website notifying potential bidders of such opportunities and soliciting qualification statements for consideration by the Authority.

Notwithstanding the foregoing, submittal of a notice / announcement of award for inclusion on the *Contract Reporter* website is required for Procurement Contracts with a value of $50,000 or more awarded on a sole source or single source basis, including such discretionary contracts not exceeding $500,000 awarded to Small Business Enterprises or NYS-certified MWBE firms, or for the purchase of goods and/or technology that are recycled or remanufactured, for discretionary awards on a single or sole source basis to SDVOB's, or for the purchase of food, including milk and milk products that are grown, produced or harvested in New York State, and certain other Procurement Contracts exempt from the general advertising requirement for Procurement Contract bidding

opportunities, in accordance with the afore-referenced law. Such notice shall specify the name of the awardee.

I. In order to further increase participation of service-disabled veterans in New York State's contracting opportunities, the Service-Disabled Veteran-Owned Business ("SDVOB") Act was signed into law on May 12, 2014. The SDVOB program provides for eligible Veteran business owners to become certified as a New York State Service-Disabled Veteran-Owned Business. The Division of Service-Disabled Veterans' Business Development within the New York State Office of General Services ("OGS") is responsible for certifying eligible SDVOBs, assisting agencies and authorities in complying with the law, and promoting SDVOB participation in the state's procurement activities. Under this program, contracts may be awarded on a non-competitive basis to NYS-certified SDVOBs for discretionary purchases. Alternately, contracts may be competitively bid exclusively among NYS-certified SDVOBs regardless of value, and advertised as such on the *Contract Reporter* website.

J. Proposals for certain Services Contracts may also be solicited by competitive search, as follows:

For contracts where the scope of work cannot be well defined or quantified, or where selection requires evaluation of factors such as breadth and depth of experience in a unique or highly specialized field and suitability as an Authority representative, a "competitive search" will be conducted to determine which consultants are most qualified, for reasonable compensation terms, to perform the work. Depending on market conditions, at least five potential sources should be evaluated; if there are fewer than five sources, all sources should be evaluated. The White Plains SSM Department or the appropriate facility SSM Department will work with the initiating department to gather information from potential sources, that will include a description of the consultant/firm's qualifications, résumés of key personnel, past experience and proposed billing rates.

K. A Procurement Contract may be awarded on a Sole Source, Single Source, or other non-competitive basis where:

1. Compatibility of equipment, accessories or spare or replacement parts is the paramount consideration.

2. Services are required to extend or complement a prior procurement and it is impracticable or uneconomic to have a source other than the original source continue the work.

3. A sole supplier's item is needed for trial use or testing, or a proprietary item is sought for which there is only one source.

4. Other circumstances or work requirements exist that cause only one source to be available to supply the required goods and/or services.

5. The contract is awarded to a Small Business Enterprise or to a NYS-certified MWBE firm for discretionary purchases not exceeding $500,000, pursuant to Section 3.D and as further set forth in Section 2.C

6. The contract is awarded to a NYS-certified SDVOB for a discretionary purchase.

7. The contract is for the discretionary purchase of goods and/or technology that are recycled or remanufactured, in an amount not exceeding $500,000, as further set forth in Section 2.C and subject to the approvals stated in Section 3.D.

8. The contract is for the discretionary purchase of commodities that are food, including milk and milk products, which are grown, produced or harvested in New York State, in an amount not exceeding $500,000, as further set forth in Section 2.C and subject to the approvals stated in Section 3.D.

9. Services are required on a more expedited basis than the competitive procurement process will allow. Requesting business units must demonstrate the urgency of the project and that awardee is cost-effective and qualified in the subject area. Services shall be for specific scopes of work in an amount not exceeding $500,000 and are subject to the approvals stated in Section 3.D.

~~9.~~10. Purchases made on a Sole Source, Single Source, or other non-competitive basis are subject to Public Authorities Law § 2879-a, 2 NYCRR Part 206, entitled "Comptroller Approval of Contracts Made by State Authorities" ("Comptroller Regulations") and the State Authority Contract Manual.

L. Pursuant to Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, the Authority may be required to submit certain contracts to the New York State Comptroller for approval that are awarded on a Sole Source, Single Source, or other non-competitive basis for the purchase of goods and/or services in an amount in excess of $1 million, and shall notify the successful bidder therefor. Such contracts or contract amendments shall not be valid and enforceable unless approved by the Comptroller or until 90 days have elapsed from such submission without action by the Comptroller, as further set forth in the referenced law and regulations.

M. Subject to the Authority's Expenditure Authorization Procedures ("EAPs"), and Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, a Procurement Contract may be awarded without following the solicitation requirements that ordinarily apply (but using such competitive selection procedures as are practicable under the circumstances) where emergency conditions exist, such as:

1. A threat to the health or safety of the public or Authority employees or workers.

2. Proper functioning of the Authority facilities or construction or operating projects requires adherence to a schedule that does not permit time for an ordinary procurement solicitation.

N. Whenever an initiating department determines that a Procurement Contract should be awarded on a Single Source, Sole Source, or an emergency basis, the department head or other authorized equivalent per the EAPs will provide a written statement explaining the compelling reasons therefor to the White Plains SSM Department or the appropriate facility SSM Department. The award of such Procurement Contracts, regardless of value, requires the written approval of the Vice President, SSM, except as noted in Section 3.H.

O. Every potential Sole Source or Single Source contract with a value of $1 million or more must be approved by the President and CEO or the COO prior to processing by the SSM Department.

P. In furtherance of Public Authorities Law § 2800, when a procurement is made on a non-competitive basis, and the price for goods or services purchased exceeds fair market value, prior to making the purchase, the Business Unit Head of the initiating department shall provide a detailed explanation of the justification for making the purchase and a certification shall be signed by the Chief Executive Officer and Chief Financial Officer of the Authority stating that they have reviewed the terms of such purchase and determined that it complies with applicable law and procurement guidelines. The following definition shall apply: "Fair Market Value" shall mean the estimated dollar amount that a willing buyer would pay to a willing seller for property in an arms-length transaction in the appropriate marketplace and under similar circumstances. Fair market value may be determined by internal appraisals, industry-recognized sources, or other methods of valuation generally accepted in the industry in which such property is utilized, as may be approved by the Vice President, SSM or authorized designee.

Q. It is the policy of New York State to discourage improper communications intended to influence a governmental procurement. The Authority will endeavor to control such practices and will comply with the applicable statutory provisions. In furtherance of the State Finance Law §§ 139-j and 139-k, the following shall apply:

The "Restricted Period" is the period of time commencing with the earliest posting, on the Authority's website, in a newspaper of general circulation, or in the Procurement Opportunities Newsletter (i.e., New York State *Contract Reporter*) in accordance with Article 4-C of the Economic Development Law of written notice, advertisement or solicitation of a request for proposal, invitation for bids, or solicitation of proposals, or any other method provided for by law or regulation for soliciting a response from offerors (i.e., bidders/con- tractors) intending to result in a Procurement Contract with the Authority and ending with the final contract award and approval by the Authority and, where applicable, the State Comptroller. The "Restricted Period" also applies to a "mini-bid" process that may be utilized in certain established OGS, GSA or Authority multiple award contracts, as provided in Section 3.F.

The Authority shall designate a person or persons who may be contacted, with respect to each Authority procurement. The bidders/contractors or persons acting on their behalf, shall only contact the Authority's designated person or persons where a reasonable person would infer that the communication was intended to influence the procurement during the Restricted Period.

R. In furtherance of the Authority's commitment to ensure transparency and accountability of its operations, every member, officer or employee of the Authority who is contacted by a lobbyist is required to make a contemporaneous record of such contact, pursuant to Public Authorities Law § 2987 and as further set forth in the Authority's Company Policy, Lobbying Contacts CP 9-2, regarding this matter.

S. Project Sunlight (Chapter 399, Part A, Section 4 of the Laws of 2011) requires the Authority to record in a database maintained by the New York State Office of General Services certain appearances between the Authority and individuals, firms or other entities (excluding elected officials and representatives of federal, state and local agencies and authorities) relating to the procurement of a contract, with a value of $25,000 or more, for real property, goods or services. Appearances are defined as an interaction through an in-person meeting or a video conference between covered individuals. Appearances related to emergency procurements and disposal of property through public auctions are excluded, as are appearances that take place during the formal "Restricted Period." Covered individuals at the Authority means an employee who has the power to exercise discretion in procurement matters or advises someone who exercises such discretion. A covered individual outside of the Authority means both "external" (e.g., a lobbyist) and "internal" (e.g., sales representative) representatives of an entity, individuals appearing on behalf of themselves, advocacy groups or organizations or entities representing the interests or concerns of the organization or entity or of its members. All such appearances must be promptly reported to the Authority's Ethics and Compliance Office for recording in the Project Sunlight database.

T. Prior to entering into any binding relationship with a third party (e.g., written agreement or memorandum of understanding (MOU)) in pursuit of any joint or collaborative development project, the office of SSM and the Law Department ("Law") must be notified regarding the procurement and on the issue of whether and to what extent the projects falls within the constraints of the Authority's procurement regulations and enabling legislation. SSM and Law should be brought into any such project in the development process.

Provided that the Authority has statutory authority to develop or otherwise participate in a project developed, in whole or in part, in collaboration with a third party, the following minimum criteria must be met:

(i) the Authority's participation must be in response to a solicitation issued by the State or other public entity pursuant to a competitive selection process; and

(ii) the construction of any asset to be owned by the Authority must comply with all applicable laws, including but not limited to prevailing wage requirements and goals established for the use of minority enterprises (e.g., minority- and women-owned business enterprise (MWBE), service disabled veteran owned business (SDVOB)); and

(iii) goods and/or services required to develop and implement the project must be sourced and procured in accordance with, and subject to, either (a) the Authority's Procurement Guidelines; or (b) the requirements of the third party collaborator governing the competitive procurement of goods and services, provided that SSM has been furnished with a copy of such requirements which demonstrate, in SSM's judgement, that a competitive procurement or equivalent has been or will be undertaken.

Prior to execution any underlying agreement (i.e. joint development agreement, MOU, etc.) an internal award recommendation shall be memorialized and approved by the VP SSM and the responsible Business Unit head.

4. EVALUATION OF PROPOSALS

A. Proposals will be evaluated using a fair and equitable comparison of all aspects of the proposals against the specifics of the solicitation and against each other, including an analysis of each offer that considers: the quality of the goods and/or the competence of the bidder (including, but not limited to, the bidder's skill, judgment and business integrity), the technical merit of the proposal and the price for which the goods and/or services are to be supplied.

In the event the price submitted by the bidder recommended to be awarded a contract exceeds the cost estimated, where a cost estimate is provided on the solicitation at the time of bidding, the initiating department will prepare a written explanation to be reviewed by the White Plains SSM Department and/or the appropriate facility SSM Department and appropriate managers as stipulated in the EAPs. The following options should be considered: (1) rejecting the bids, resoliciting proposals and/or modifying the scope of work; (2) revising the cost estimate and proceeding with the contract award and (3) negotiating with the low bidder(s), as determined by the Vice President, SSM or designee, to reduce the price quoted. Factors to be considered in reaching the proper course of action include but are not limited to: the effects of a delay on both the schedule and the cost of the specific capital construction project or outage at an operating facility, the magnitude of the contract, available bidders, the ability to attract additional competition if the solicitation is reissued, and the accuracy of the original cost estimate. The recommended course of action and the reasons therefor must be fully documented in a memorandum for consideration by the appropriate level of management prior to approval and placed in the appropriate procurement file.

B. Factors to be considered in evaluating the goods and/or services to be supplied and/or the competence of the bidder are: previous experience (including applicable experience in

New York State and evaluations from other clients for whom the bidder has provided goods and/or services); the abilities and experience of the personnel to be assigned to the Authority's work and the ability to provide any needed advanced techniques such as simulation and modeling; and overall, the bidder's skill, judgment and business integrity. The approach proposed in meeting the exact requirements of the scope of work will be given consideration in evaluating the technical merit of the proposal, together with a well-organized task structure, the ability to timely supply the goods and/or perform the proposed services and the ability to meet Supplier Diversity Program goals, if any. The need to purchase the goods from and/or subcontract performance of services to others will be evaluated as to their effects on cost, as well as quality, schedule and overall performance.

Another factor to be considered in evaluating proposals may involve an assessment of the bidder's diversity practices, where applicable. Pursuant to Article 15-A of the Executive Law, diversity practices are the contractor's practices and policies with respect to utilizing NYS-certified MWBEs in contracts as subcontractors and suppliers, and entering into partnerships, joint ventures or other similar arrangements with NYS-certified MWBEs. A contractor's diversity practices may be assessed when: (1) a procurement is awarded on the basis of "Best Value" as described in Section 4.D. (but *not* when a procurement is awarded based upon "lowest price"); (2) the anticipated award is $250,000 or greater; and (3) such assessment is practicable, feasible and appropriate. Such assessment shall not permit the automatic rejection of a bid or Procurement Contract proposal based on lack of adherence to diversity practices.

C. For Services Contracts (as defined in Section 2.M of these Guidelines), the technical merits of the proposals and the experience and capabilities of the bidders will be the primary factors in determining the individual or firm to be awarded the contract, provided that the price for performing such work is reasonable and competitive.

D. For Procurement Contracts for Goods (as defined in Section 2.-F of these Guidelines), the award should generally be made to the lowest-priced firm submitting a proposal that meets the commercial and technical requirements of the bid documents. (See also Section 4.F regarding award to "other than low bidder".)

As a best practice and pursuant to State Finance Law § 163, the Authority may award on a "Best Value" basis for awarding contracts to the offeror that optimizes quality, cost and efficiency, among responsive and responsible offerors. Such basis shall reflect, wherever possible, objective and quantifiable analysis and may also identify a quantitative factor for offerors that are Small Businesses or NYS-certified SDVOB or MWBE firms.

E. Pursuant to § 139-k of the State Finance Law, the Authority shall not award a Procurement Contract (as defined in Subsection 3.Q.1 of these Guidelines) to a bidder/contractor who fails to provide timely, accurate and complete responses to inquiries about past determinations of non-responsibility (unless awarding the contract is necessary to protect public property or public health or safety and the bidder/contractor is the only source capable of supplying the required article of procurement within the necessary timeframe.)

A bidder's/contractor's knowing and willful violation of the Authority's policy providing for certain procurement disclosures shall result in a determination of non-responsibility of such bidder/contractor pursuant to State Finance Law §§ 139-j and 139-k only.

More than one determination of non-responsibility due to violations of State Finance Law § 139-k in a four-year period shall render a bidder/contractor ineligible to submit bids for four years from the second determination of non-responsibility.

F. An award to "other than low bidder" can be made only with the approval of appropriate management as stipulated in the EAPs, and should be based on such a proposal providing a clear advantage to the Authority over the lower-priced proposal. Factors justifying an "other than low bidder" award may include, but are not limited to: improved delivery schedules that will reduce outages; longer warranty periods; improved efficiency over the usable life of the equipment; reduced maintenance costs; the bidders' financial resources or the ability to meet or exceed Supplier Diversity Program and SDVOB goals; and overall, the bidder's skill, judgment and business integrity.

G. The specifications set forth in any solicitation prepared under these Guidelines were based upon information available at the time of the preparation of the solicitation. Thus, the Authority may diverge from the specifications of any solicitation if, after review of the proposals responsive to such solicitation, the Authority deems it prudent in light of its experience, the circumstances of the solicitation and/or potential cost savings.

5. RECOMMENDATION OF AWARD

A. A recommendation for approval of a proposed award of a Procurement Contract is usually prepared in the form of a memorandum or e-mail by the department requiring the goods and/or services. The recommendation must include an evaluation of proposals as specified in Article 4 above, as well as proposed specific compensation terms that provide a clear breakdown of cost factors and methods of calculation, including, as applicable:

1. Lump sum and/or unit prices for equipment and construction work.

2. Hourly or daily rates for personnel.

3. Markups for payroll taxes, fringe benefits, overhead and fees, if the proposal is based on reimbursement of actual payroll costs.

4. Terms for reimbursement of direct out-of-pocket expenses, such as travel and living costs, telephone charges, services of others and computer services.

5. Provisions, if any, for bonus/penalty arrangements based on target person-hours and/or target schedule.

B. The recommendation will also review any substantive exceptions to commercial and technical requirements of a price inquiry, RFP, RFQ or bidding documents, including but

not limited to payment terms, warranties and bond requirements, if any, as well as Supplier Diversity Program requirements, as applicable.

6. AWARD OF CONTRACT

A. Services Contracts (which include contracts for Construction, Personal and Non-personal services, as defined in Section 2.M.) valued or estimated to be $5,000 or greater to be performed for a period of more than 12 months are approved and reviewed annually by the Trustees. Services Contracts for a period of less than 12 months are approved by authorized designees in accordance with existing EAPs. Extending a contract for services with an initial duration of less than 12 months beyond 12 months will be approved by the Trustees at the request of the initiating department and will be reviewed by the Trustees annually. Extending a contract for services, that has previously been approved by the Trustees, for a cumulative term of more than 12 months requires further Trustees' approval.

B. Extending a contract, previously approved by the Trustees, for 12 months or less ("grace period") requires approval by the Vice President of the requesting department or other authorized equivalent or designee in accordance with existing EAPs and concurrence by the Vice President, SSM.

C. For Services Contracts valued or estimated to be $5,000 or greater to be performed for a period of more than 12 months that must be awarded prior to the next quarterly Trustees' meeting, the initial contract will be issued for the entire intended term of the contract. Based on its total term and value, such contract must be approved in writing by the appropriate management as set forth in the EAPs. Such contract is subject to the Trustees' approval, at the next quarterly Trustees' meeting. If such approval is not granted, the contract will be terminated immediately.

D. A contract or contract task valued or estimated to be $5,000 or greater is deemed to be for services in excess of 12 months where the contract does not specify a definite term and the work will not be completed within 12 months, and any "continuing services" contract with no fixed term that provides for the periodic assignment of specific tasks or particular requests for services. This includes Trustee-approved contracts for architect/ engineering services with the original engineers of operating facilities, as well as the original supplier of steam supply systems or boilers and turbine generating equipment. Each task authorized under such contracts (which may be referred to as a "Change Order," "Purchase Order" or "Task Number") is considered a separate commitment and must be separately approved in accordance with the EAPs.

E. The term of a Personal Services contract is limited to a maximum of five (5) years, including any extensions. However, at the sole discretion of the Vice President of SSM may approve a Business Unit's written justification for a contract term exceeding 5 years or reasonable extension of such a contract.

F. For construction value contracts purchase order releases maybe issued up to the term limit of the value contract. The term of a construction purchase order release shall be as

required to complete the work assigned. The term of the value contract shall be extended accordingly.

~~E.~~G. Multiyear contracts for Goods (which include equipment, materials and supplies, as defined in Section 2.F) valued or estimated to be $5,000 or greater are subject to the management approval thresholds established in the EAPs, and require Trustee approval only once those thresholds are met.

~~F.~~H. When time constraints or emergency conditions require extending an existing contract with an initial duration of less than a year beyond a year, and the cumulative monetary change order value does not exceed the appropriate limit set forth in the EAPs, the Business Unit Head, with the prior concurrence of the Vice President, SSM or equivalent(s) or designee, may authorize extending such contract, subject to the Trustees ratifying such action as soon as practicable.

~~G.~~I. When the total estimated contract value or the value of the extension exceeds the monetary limits set forth in the EAPs, interim approval by the President and Chief Executive Officer or Chief Operating Officer or equivalent(s) or designee is required, subject to the Trustees ratifying such action as soon as practicable.

~~H.~~J. When time constraints or emergency conditions require immediate commencement of services to be performed for a period of more than one year, and when the contract value exceeds the monetary approval limit for the President and Chief Executive Officer or Chief Operating Officer or equivalent(s), as set forth in the EAPs, the President and Chief Executive Officer or Chief Operating Officer or equivalent(s) or designee, with the prior concurrence of the Vice President, SSM or equivalent(s) or designee, may authorize in writing the commencement of such services. The initial compensation limitation may not exceed the authorization level for the President and Chief Executive Officer or equivalent(s) or Chief Operating Officer or equivalent(s) as set forth in the EAPs. Such contracts will be subject to the Trustees' approval, which will be solicited at their next scheduled Trustee meeting.

~~I.~~K. The White Plains SSM Department or the facilities' SSM Departments prepare the contract for execution by the Authority and the successful bidder. No work by the selected contractor will commence until the contract is executed by both parties, except that mutually signed letters of award or intent may initiate work prior to formal execution. Authority signatories of such letters must be authorized to approve contract awards pursuant to the EAPs.

~~J.~~L. Pursuant to Economic Development Law § 143, the Authority shall submit an announcement of the intended contract for inclusion in the procurement opportunities newsletter at the time it enters into a contract. Such announcement shall identify the contract, specify the date of the award of the contract and provide the name of and contact information for each recipient of the contract.

~~K.~~M. Pursuant to Public Authorities Law § 2879, the Authority shall notify the Commissioner of Economic Development of the award of any Procurement Contract for the purchase

of goods and/or services from a Foreign Business Enterprise (as defined in Subsection 3.E.3 of these Guidelines) in an amount equal to or greater than $1 million simultaneously with notifying the successful bidder therefor. The Authority shall not enter into the Procurement Contract for said goods and/or services until at least 15 days have elapsed from the notification of the award, except for a Procurement Contract awarded on an emergency or critical basis. The notification to the Commissioner shall include the name, address, telephone and facsimile number of the Foreign Business Enterprise, the amount of the proposed Procurement Contract and the name of the individual at the Foreign Business Enterprise or acting on behalf of same who is principally responsible for the proposed Procurement Contract.

7. CONTRACT PROVISIONS

A. The following standard forms of contracts are available from the White Plains SSM Department: purchase order format (for standard procurements of goods and/or services); furnish-and-deliver format (for major equipment purchases); long form agreements (for consulting services) and maintenance agreement formats; contract work orders (for construction work of small magnitude); construction contracts (for major construction work) and furnish, deliver and install contracts (for specialized, major procurements where single responsibility is required for procurement and installation). These contract forms are intended to govern the purchase of goods and/or performance of services.

Authority departments proposing to initiate a Procurement Contract should review these forms to suggest any modifications and additions that may be required for the particular goods and/or services. Under no circumstances should contract forms be shown to proposed bidders without the prior approval of the SSM Department, which, along with the facilities' SSM Departments, is solely responsible for requesting proposals.

B. The following types of provisions setting forth contractor responsibilities are to be contained in the standard forms of Procurement Contracts, except that any provisions listed below that are inapplicable or unnecessary because of the nature or duration of the work to be performed, the location(s) where the work is to be performed or the type of compensation being paid therefor, need not be included. Other provisions may be added as necessary and appropriate.

1. Schedule of Services or Specifications
2. Time of Completion
3. Compensation or Itemized Proposals
4. Relationship of Parties
5. Delays
6. Termination
7. Changes in the Work
8. Claims and Disputes
9. Warranty
10. Insurance

11. Records, Accounts, Inspection and Audit
12. Assignment
13. Notices
14. Indemnification
15. Governing Law
16. Proprietary Nature of Work
17. Testimony
18. MWBE requirements
19. SDVOB requirements
20. Entire Agreement

Contract Attachments

1. Compensation Schedule
2. Schedule of Services or Specifications
3. Appendix "A" (Miscellaneous Statutory Provisions)
4. Appendix "B" (Prompt Payment Provisions)
5. Appendix "C" (Minority- and Women-owned Business Enterprise (MWBE) Participation Goal Requirement)
6. Appendix "D" (Background Security Screening for Authority Contractors)
7. Appendix "E" (Omnibus Procurement Act of 1992 Requirements)
8. Appendix "F" (Computer Aided Design Requirements For New York Power Authority Drawings)
9. Appendix "G" (Equal Employment Opportunities Requirements)
10. Appendix "H" (Tax Law Requirements)
11. Appendix "I" (New York Power Authority (NYPA) North American Electric Reliability Corporation Critical Infrastructure Protection (NERC CIP) Cyber Access And/or Unescorted Physical Access Training Requirements)
12. Appendix "J" (Bidder/Contractor Compliance with State Finance Law §§ 139-j and 139-k Providing for Certain Procurement Disclosures)
13. Appendix "K" (Additional State and Federal Provisions Required for American Recovery and Reinvestment Act (Pub. L. No. 111-5 Stat. 2009) ("ARRA") Funded Projects) - inactive
14. Appendix "L" (DOE Federal Contract Provisions) - inactive
15. Appendix "M" (Use of Ultra Low Sulfur Diesel Fuel and Best Available Retrofit Technology ("BART") for Heavy Duty Vehicles)
16. Appendix "N" (The New York State Iran Divestment Act of 2012 – Iranian Energy Sector Divestment)
17. Appendix "O" (Encouraging Use of New York State Businesses in Contract Performance) – inactive
18. Appendix "P" (Non Bulk Electric System (BES)) (Information Security Requirements for Vendors and External Partners non Bulk Electric System)
19. Appendix "P" for BES (Information Security Requirements for Vendors and External Partners for Bulk Electric System)

C. If a vendor (firm, person or other entity) participates in the development or writing of the specifications for a procurement solicitation, such vendor shall not be permitted to bid on such procurement, either as a prime vendor or as a subcontractor at any level. Contracts for evaluation of offers for products or services shall not be awarded to a vendor that would then evaluate its own offers for products or services.

Furthermore, any firm, person or other entity retained by the Authority to provide conceptual studies, designs or specifications is prohibited from being awarded future phases of work, including implementation, related to the original work.

The above restrictions shall not apply where:

1. The vendor is the sole source or single source of the product or service;

2. More than one vendor has been involved in preparing the specifications for a procurement proposal;

3. There is no qualified response to the solicitation for future phases of work, including implementation; or

4. The originating Authority Business Unit determines in writing that the restrictions are not in the best interests of the Authority. Such originating Business Unit shall obtain the approval of the applicable Business Unit Head or equivalent(s), Vice President, SSM or equivalent(s) or designee, Assistant General Counsel or equivalent(s) and President and Chief Executive Officer or designee or Chief Operating Officer or equivalent(s) to waive this restriction on a case-by-case basis.

8. CHANGE ORDERS

A. Change Orders to existing contracts are justified in the following cases:

1. To incorporate additional work related to the original scope, to delete work or to otherwise modify the original work scope;
2. To exercise options previously included in the original contract to perform additional work or to extend the contract term;
3. To accommodate emergency conditions, defined in Section 3.M herein, that require the immediate performance of work by a firm already under contract;
4. When rebidding would not be practical or in the best interests of the Authority's customers; and
5. To meet the Authority's Supplier Diversity and SDVOB Program goals in accordance with Executive Law Articles 15-A and 17-B, respectively.

B. All Change Orders must be approved in accordance with the Authority's EAPs, and should include specific schedules for completion of work at the earliest possible time.

C. Pursuant to Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, the Authority may be required to submit certain Change Orders to the New York State Comptroller for filing or approval where the aggregate value

of the contract as amended is in excess of $1 million and the original contract was awarded on the basis of a competitive procurement, but the modification was neither contemplated nor provided for in the solicitation for such competitive procurement.

9. CONTRACTING DECISIONS INVOLVING CURRENT OR FORMER EMPLOYEES

A. Former Authority officers and employees may be eligible to be considered for direct engagement as contractors and/or consultants provided that they meet all criteria for contractors and/or consultants generally as specified in these Guidelines; their engagement is not barred by New York Public Officers Law § 73(8); they obtain an opinion by the New York State Joint Commission on Public Ethics that such engagement is permissible; and upon approval of the President and Chief Executive Officer, as well as the Chairman of the Board of Trustees.

B. Pursuant to the provisions of New York Public Officers Law § 73(8):

1. No Authority officer or employee is eligible, within a period of two years after the termination of Authority service to appear or practice before the Authority or receive compensation for any services rendered on behalf of any person, firm, corporation or association, in relation to any case, proceeding or application or other matter before the Authority.

2. No Authority officer or employee is eligible, at any time after the termination of Authority service, to appear, practice, communicate or otherwise render services before the Authority or any other state agency or receive compensation for any such services rendered on behalf of any person, firm, corporation or other entity in relation to any case, proceeding, application or transaction that such person was directly concerned with and personally participated in during his or her period of service, or which was under his or her active consideration.

3. Pursuant to the provisions of New York Public Officers Law § 73(8-b), notwithstanding the provisions of 1. and 2. above, a former Authority officer or employee may contract individually, or as a member or employee of a firm, corporation or association, to render services to the Authority, if, prior to engaging in such service, the Chairman of the Board of Trustees certifies in writing to the New York State Joint Commission on Public Ethics that such former officer or employee has expertise, knowledge or experience with respect to a particular matter which meets the Authority's needs and is otherwise unavailable at a comparable cost. Where approval of the contract is required under § 112 of the New York State Finance Law, the Comptroller shall review and consider the reasons for such certification. The New York State Joint Commission on Public Ethics must review and approve all such certifications.

C. No Authority employee who is involved in the award of Authority grants or contracts may ask any officer, director or employee of such current or prospective contractor or grantee to reveal: (a) the political party affiliation of the individual; (b) whether the individual or entity has made campaign contributions to any political party, elected

official or candidate for elective office or (c) whether the individual voted for or against any political party, elected official or candidate for elective office.

D. No Authority employee may award or decline to award any grant or contract, or recommend, promise or threaten to do so because of a current or prospective grantee's or contractor's: (a) refusal to answer any inquiry prohibited by Section 9.C above or (b) giving or withholding or neglecting to make any contribution of money, service or any other valuable thing for any political purpose.

E. No Authority employee may take part in any contracting process or decision: (i) to a Relative; or (ii) to any entity in which the Authority employee or a Relative of such Authority employee owns or controls 10% or more of the stock of such entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange); or serves as an officer, director or partner of that entity. If a contracting matter arises relating to this Section 9.E, then the employee must advise in writing his or her supervisor and the Office of Ethics and Compliance of the relationship, and must be recused from any and all discussions or decisions relating to the matter.

For purposes of this Section 9.E, the term "Relative" is defined in Definitions, Section 2. L of these Guidelines.

10. SUPPLIER DIVERSITY PROGRAM REQUIREMENTS

The Authority strives to continue to foster the development of business opportunities on Authority contracts for MWBEs. Article 15-A of the Executive Law established the NYS Office (now Division) of Minority and Women's Business Development ("DMWBD") that is responsible for developing rules and regulations for implementation of this statute, certifying MWBEs and reviewing and monitoring goal plans, compliance reports and contract provisions to be included in all non-construction contracts for more than $25,000 and construction contracts for more than $100,000. The definition of an MWBE is included in Section 2.-G of these Guidelines. The Authority aims to solicit proposals from NYS-certified MWBEs that are qualified to perform the required work. In addition, specific goals may be included in certain contracts for consulting work, construction and procurement of goods and other services requiring the contractor/vendor to subcontract a portion of the work to NYS-certified MWBEs as required by law. Bidders' proposals will include a completed preliminary Utilization Plan Form for MWBEs, as well as applicable EEO and Diversity Practices Forms, where required. Such bidders' failure to meet these requirements may be grounds for rejection of the proposal, or cancellation of the contract if a contractor did not make a good faith effort to meet its goals after contract award. Final MWBE Utilization Plans for Construction contracts valued at more than $100,000 shall be provided and posted on the Authority's procurement website by the successful vendor within ten business days of contract signing.

Pursuant to § 2879 of the Public Authorities Law and as further set forth in the Authority's Supplier Diversity Program documents, the following guidelines apply:

1. Identify those areas or types of contracts for which MWBEs may best bid so as to promote and assist participation by such enterprises and facilitate a fair share of the awarding of contracts to such enterprises.

2. Provide notice, in addition to any other notice of procurement opportunities required by law, to professional and other organizations that serve MWBEs providing the types of services procured by the Authority.

3. Maintain lists of qualified NYS-certified MWBEs, including professional firms that have expressed an interest in doing business with the Authority and ensuring that such lists are updated regularly. The Authority shall also consult the lists of NYS-certified MWBEs maintained by the DED pursuant to Executive Law Article 15-A.

4. Establish appropriate goals for participation by MWBEs in Procurement Contracts awarded by the Authority and for the utilization of MWBEs as subcontractors and suppliers by entities having Procurement Contracts with the Authority. Statewide numerical participation target goals shall be established by the Authority based on the criteria set forth in Public Authorities Law § 2879.

5. Conduct procurements in a manner that will enable the Authority to achieve the maximum feasible portion of the goals established pursuant to Subdivision 4 of this Section and that eliminates barriers to participation by MWBEs in the Authority's procurements.

6. Designate one or more senior staff of the Authority to oversee the Authority's programs established to promote and assist participation by and utilization of NYS-certified MWBEs.

11. SERVICE-DISABLED VETERAN-OWNED BUSINESS ("SDVOB") PROGRAM REQUIREMENTS

The Authority also strives to foster the development of business opportunities for NYS-certified SDVOBs and to further increase participation by SDVOBs in Authority contracts, as set forth in Sections 2.~~-~~R and 3.I of these Guidelines and pursuant to Article 17-B of the Executive Law. One tool is the use of SDVOB discretionary purchasing, as further described in Sections 3.D, 3.I, and 3.K.6of these Guidelines. Another tool authorized by the law is the use of set-asides, which permit the reservation in whole or in part of certain procurements by state agencies and authorities when more than one NYS-certified SDVOB is available and can provide the necessary goods or services to meet the Authority's form, function and utility. The same dollar limits apply to SDVOB contracts as those set forth for MWBEs in Article 10 of these Guidelines.

Pursuant to Article 17-B of the Executive Law, the following guidelines apply:

~~1.~~ Identify contracts where SDVOBs may best perform and/or where SDVOB goals are practical, feasible and appropriate for the purpose of increasing the utilization of SDVOB participation on Authority contracts.

~~2.~~1. Submit regular reports with respect to SDVOB Program activity, including but not limited to, utilization reporting and contract monitoring and compliance.

~~3.~~2. Achieve an overall goal of six percent for SDVOB participation on Authority contracts.

12. DISADVANTAGED BUSINESS ENTERPRISE ("DBE") PROGRAM REQUIREMENTS ON PROJECTS THAT ARE FEDERALLY FUNDED

The Authority strives to foster the development of business opportunities for NYS certified DBEs and to further increase their participation in NYPA Federally funded contracts. The Authority aims to solicit proposals from DBEs for procurements that will be partially or fully federally funded. The Authority follows the DBE guidelines as set out by The Federal Department of Transportation ("DOT"). NYS DOT is tasked with certifying eligible small businesses as DBEs in New York State.

The Authority is committed to promoting participation of DBEs in NYPA contracting opportunities in accordance with federal law and regulations and seeks to achieve the following objectives:

1. To ensure nondiscrimination in the award and administration of Federally funded contracts;
2. To create a level playing field on which DBEs can compete fairly for Federally funded contracts;
3. To ensure that the Authority's DBE program is narrowly tailored in accordance with applicable law;
4. To ensure that only firms that fully meet this Federal eligibility standards are permitted to participate as DBEs;
5. To help remove barriers to the participation of DBEs in Federally funded contracts;
6. To promote the use of DBEs in all types of federally-assisted contracts and procurement activities.
7. To assist the development of firms that can compete successfully in the marketplace outside the DBE program; and
8. To provide appropriate flexibility to recipients of Federal financial assistance in establishing and providing opportunities for DBEs.

13. PROCUREMENT RECORD AND REPORTING

A. Procurement Record

The White Plains SSM Department maintains records of Procurement Contracts. In addition to bid- and contract award-related documents for the goods provided and/or services performed, the Procurement Record includes, but is not limited to, documentation of the decisions made and the approach taken in the procurement process. Such records are transmitted to the Digital Warehouse for electronic storage and retrieval. At the facilities, such records are currently maintained and stored by the facilities' SSM Departments.

~~A.~~B. Procurement Report

After the end of each calendar year, the Vice President, SSM or equivalent(s) will prepare and submit an annual report to the Trustees for their approval that will include:

1. A copy of the Guidelines;
2. An explanation of the Guidelines and any amendments thereto since the last annual report;
3. A list of all Procurement Contracts entered into since the last annual report, including all contracts entered into with New York State Business Enterprises and the subject matter and value thereof and all contracts entered into with Foreign Business Enterprises and the subject matter and value thereof;
4. A list of fees, commissions or other charges paid;
5. A description of work performed, the contract number, the date of the contract and its duration, the name, address and NYS-certified MWBE designation of the awardees, the total amount of the contract, the amount spent on the contract during the reporting period and for the term of the contract to date and the status of open Procurement Contracts during the report year;
6. The type of contract (equipment, services, personal services or construction);
7. The method of awarding the contract (e.g., competitive bidding, Sole Source, Single Source or competitive search);
8. The reasons why any procurements with a value equal to or greater than $50,000 were not noticed in the Contract Reporter;
9. The number of bids received and
10. All referrals made and all penalties imposed, if any, pursuant to § 316 of the Executive Law.

~~B.~~C. Such annual report, as approved by the Trustees, shall be submitted to the New York State Division of the Budget within 90 days of the end of such calendar year, and copies thereof shall be distributed to the New York State Department of Audit and Control, the DED, the New York State Senate Finance Committee, and the New York State Assembly Ways and Means Committee and any other entity as may be required by law. The annual procurement report is posted on the Authority's website and copies shall be made available to the public upon reasonable written request therefor.

~~C.~~D. State Finance Law §§ 139-j and 139-k

1. A statement describing the basis for a determination of a bidder's/contractor's non-responsibility (per State Finance Law §§ 139-j and 139-k only) and the Authority's decision not to award a bidder/contractor the Procurement Contract must be included in the Procurement Record.

2. The Authority shall notify the New York State Office of General Services of bidders/contractors who have been determined to be non-responsible bidders (per State Finance Law §§ 139-j and 139-k only) or debarred due to violations of § 139-j of the State Finance Law.

3. All forms entitled "Record of Contact" shall be included in the respective Procurement Record.

4. A statement describing the basis for a termination of a Procurement Contract for providing an intentionally false certification must be included in the Procurement Record.

~~D.~~E. The Authority may be called upon periodically to submit information regarding the procurement of goods and/or services to organizations implementing the PAAA or other statutes regulating the procurement of goods and services, such as the Authorities Budget Office through the Public Authorities Reporting Information System ("PARIS").

F. The Vice President, SSM or equivalent(s) will also prepare Annual Goal Plans for the MWBE and SDVOB programs and will submit them by January 15 of each year to Empire State Development - Division of Minority and Women Business Development and the New York State Office of General Services - Division of Service-Disabled Veterans' Business Development, respectively. Quarterly Utilization / Activity Reports for each program will also be prepared and submitted to the aforementioned respective state entities by the 15th day of July, October, January and April.

14. THIRD PARTY RIGHTS: VALIDITY OF CONTRACTS

A. These Guidelines are intended for the guidance of officers and employees of the Authority only. Nothing contained herein is intended, nor should it be construed, to confer on any person, firm or corporation any right, remedy, claim or benefit under, or by reason of, any requirement or provision hereof.

B. Nothing contained in these Guidelines alters or affects the validity of, modifies the terms of or impairs any contract or agreement entered into in violation of these Guidelines.

CANAL CORPORATION GUIDELINES FOR PROCUREMENT CONTRACTS

1. PURPOSE

These Guidelines for Procurement Contracts ("Guidelines") set forth the policy of Canal Corporation regarding the solicitation and awarding of Procurement Contracts. The provisions of Article 4-C of the Economic Development Law, §§ 2879 and 2879-a of the Public Authorities Law, Articles 15-A and 17-B of the Executive Law and §§ 139-j and 139-k of the State Finance Law were considered in developing these Guidelines. Departments and facilities may adopt further procedures to implement these Guidelines.

2. DEFINITIONS

A. "Capital projects" generally refer to the acquisition or construction of new assets, the replacement and/or betterment of existing assets, equipment, or property (including those of NYPA's customers, where authorized). Betterment refers to an extension of the useful life or improvement in the efficiency and/or capacity of the asset, equipment, or property.

B. "Contact" is any oral, written, or electronic communication with the Authority under circumstances where a reasonable person would infer that the communication was intended to influence the Authority's conduct or decision regarding the procurement.

C. "Discretionary Purchase" is a procurement made below statutorily established monetary threshold amounts (e.g., not exceeding $500,000 for the purchase of commodities and/or services from Small Business Enterprises or NYS-certified MWBE firms, and without a dollar cap for SDVOB firms as further set forth in Sections 3.D and 3.K.5-7) and at the discretion of the Authority, without the need for a formal competitive bid process. For the purpose of determining whether a purchase is within the discretionary thresholds, the aggregate amount of all purchases of the same commodities and/or services to be made within the 12-month period commencing on the date of purchase shall be considered. A change to or a renewal of a discretionary purchase shall not be permitted if the change or renewal would bring the reasonably expected aggregate amount of all purchases of the same commodities and/or services from the same provider within the 12-month period commencing on the date of the first purchase to an amount greater than $500,000, pursuant to State Finance Law § 163.

D. "Disadvantaged Business Enterprise" (DBE) is a for-profit small business concern (1) that is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and (2) whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it, pursuant to the definition found in 49 C.F.R Part 26.

E. "Evaluation of Proposals," as further outlined in Section 4 below, includes evaluating factors the Authority's consideration of a bidder's skill, judgment, and business integrity.

F. "Goods" include equipment, material and supplies of any kind. Procurement Contracts that include both equipment and services may be classified as Equipment," where 60% or more of the total projected contract value will be for the purchase of equipment, material or supplies.

G. "Minority- and Women-owned Business Enterprise" ("MWBE") is defined as any New York State-certified business enterprise at least 51% of which is owned by black persons, Hispanics, Native Americans, Asians, Pacific Islanders and/or women, and as further described in the Authority's Supplier Diversity Program Policy and Procedures and Executive Law Article 15-A, and pursuant to the definition found in Executive Law § 310.

H. "Non-Procurement Contracts" include contracts under $5,000, contracts for energy with or without environmental attributes included, capacity, renewable energy certificates, ancillary services, transmission, distribution or related services in support of providing service to Authority customers; contracts for differences; financial hedge contracts (including but not limited to swaps, calls, puts or swap options) or credit rating services; certain insurance and healthcare products that do not readily lend themselves to a competitive solicitation. In addition, Non-Procurement Contracts include direct and indirect placement of advertisements with radio, television, print and electronic media, periodicals, subscriptions, reference materials or professional research tools, written materials, fees or tuition associated with continuing education courses, training courses, conferences, seminars and symposiums, funding agreements, co-funding agreements, grants or memberships in various industry groups, professional societies or similar cooperative associations, or any cooperative projects and procurement activities conducted or sponsored by such organizations in which the Authority participates.

I. "Operation and Maintenance" ("O&M") generally refers to the work or services necessary to keep the plants, transmission lines, and other equipment and facilities to include NYPA customers, where authorized, (collectively referred to generally as an "asset") in optimal operating condition and/or to restore an asset to its productive capacity. This includes the cost of inspecting, testing, analyzing and reporting on the condition of the asset required to determine repairs or replacement, as well as costs associated with the normal operation and administration of NYPA's production/transmission facilities and energy programs.

J. "Procurement Contracts" are contracts for the acquisition of goods and/or services in the actual or estimated amount of $5,000 or more. Such goods and/or services are those necessary to support the Authority's White Plains office, facilities, operations and maintenance ("O&M") and capital projects (as defined in Section 2.I. and 2. A., respectively), including but not limited to goods such as office supplies, major electrical equipment, construction and maintenance work and services as more fully described in Section 2.F and 2.M.

K. "Purchase Order Release" is a single order issued for goods or services in accordance with the terms and conditions of a Value Contract.

~~K.~~L. "Relative" is any person living in the same household as the Authority employee or any person who is a direct descendant of the Authority employee's grandparents or the spouse of such descendant, as referred to in Subsection 9.E.1 of these Guidelines. The term Relative may include, but is not limited to, the relationship of spouse, child, parent, sister, brother, grandparent, grandchild, aunt, uncle, cousin, niece, nephew, stepchild, stepparent, stepsister, stepbrother, mother-in-law, father-in-law, sister-in-law, brother-in-law, daughter-in-law or son-in-law.

~~L.~~M. "Services Contracts" are Procurement Contracts for services of a consulting, professional or technical nature provided by outside consultants/contractors (individuals, partnerships, or firms who are not and do not employ officers or employees of the Authority) for a fee or other compensation. Services Contracts comprise three specific types: Personal Services, Non-Personal Services, and Construction. Personal Services include, but are not limited to: accounting, architectural, engineering, financial advisory, legal, public relations, planning, management consulting, surveying, training (when specifically developed by a consultant for the Authority), and construction management. Non-Personal services include but are not limited to skilled or unskilled temporary personnel, including clerical office staff, technicians, or engineers working under Authority's supervision, maintenance, repairs, and printing services. Construction consists of craft labor and other services utilizing laborers and/or mechanics not otherwise considered Non-Personal Services

Note: Use of such services may be appropriate (1) when a consultant/contractor possesses special experience, background or expertise; (2) when there is insufficient Authority staff and retention of a consultant/contractor is more appropriate or economical than hiring additional permanent staff; (3) to provide independent external review or a second opinion; (4) to meet unusual schedule requirements or emergencies or (5) for a combination of the aforementioned factors.

~~M.~~N. "Single-Source" is a procurement in which the Authority, upon written findings setting forth material and substantial reasons, may award a contract (or amendment to a contract) to one offeror over another that can supply the goods or services.

~~N.~~O. "Small Business" (or Small Business Enterprise, "SBE"), pursuant to Executive Law § 310 and as used in these Guidelines, unless otherwise indicated, is a business that has a significant business presence (as defined at 5 NYCRR 140.1) in New York State, is independently owned and operated, not dominant in its field and employs not more than 300 people.

~~O.~~P. "Software" includes ~~on-premise~~on-premises applications as well as Software-as-a-Service (SaaS) which is defined as a software distribution model in which a third-party provider hosts application and makes access available to customers over the Internet. "Software" shall be considered "Equipment" where such term is used throughout these Guidelines.

~~P.~~Q. "Sole Source" is a procurement in which only one offeror is capable of supplying the required goods or services.

~~Q.~~R. "Service-Disabled Veteran-Owned Business" ("SDVOB") is a business enterprise, including a sole proprietorship, partnership, limited liability company or corporation that is at least 51% owned by one or more service-disabled veterans; in which such ownership is real, substantial and continuing, and also has and exercises the authority to control independently the day-to-day business decisions of the enterprise; is a Small Business and is certified by the New York State Office of General Services, as further set forth in Article 17-B of the Executive Law.

S. "Value Contract" Master Service Agreement for goods and services with specific target value and term.

3. SOLICITATION REQUIREMENTS

A. Preparation of the solicitation of proposals for Procurement Contracts is the joint responsibility of the White Plains Strategic Supply Management ("SSM") Department, or the Canal Corporation SSM Department, and the initiating department. Except as otherwise authorized by these Guidelines, a Request for Proposals ("RFP") or Request for Quotations ("RFQ") will be made available to a minimum of three providers and/or firms (if available) for purchases valued under $50,000 and a minimum of five providers and/or firms (if available) for purchases valued at $50,000 and greater, commensurate with the magnitude and nature of the goods and/or services, and the schedule for performance.

B. Prospective bidders on Procurement Contracts may be prequalified by invitation advertised in the same manner as an RFP/RFQ (referred to as a Request for Qualifications and/or Request for Information ("RFI"). In such cases, proposals are requested only from those providers and/or firms whose prequalification submittals demonstrate sufficient ability and competence (including, but not limited to, the bidder's skill, judgment and business integrity) to supply the particular goods and/or perform the particular services required.

C. The Canal Corporation may withdraw any pending solicitation (including but not limited to RFPs and RFQs) at any time, for cause or no cause. Any person or entity submitting any responsive document to the Canal Corporation does so at its own cost or expense and will not be reimbursed by the Canal Corporation for the preparation of any responsive document, unless otherwise agreed to in writing and signed by an authorized Canal Corporation representative.

D. In order to promote the use of Minority- and Women-owned Business Enterprises ("MWBEs"), Service-Disabled Veteran-Owned Businesses ("SDVOBs") and Small Business Enterprises ("SBEs"), the Canal Corporation will solicit offers from such firms known to have experience in the type of goods and/or services to be provided, regardless of the type of contract. For the purpose of these Guidelines, the definitions of NYS-certified MWBE or SDVOB firms and SBEs are set forth in Sections 2.H, 2.L and 2.I, respectively. To foster increased use of MWBEs and SBEs, a single proposal may be sought, negotiated and accepted for discretionary purchases of goods and/or services not exceeding $500,000, in the aggregate including all amendments, from a NYS-certified MWBE or an SBE that offers a reasonable price for such goods and/or services. An SDVOB may be awarded on the basis of a single proposal that offers a reasonable price for such goods and/or services without a dollar cap. The award of such proposal requires the written approval of the Vice President, SSM. Any subsequent alteration to the accepted proposal, including, but not limited to, change orders, amendments, or supplemental terms shall also necessitate the written approval of the Vice President, SSM. Furthermore, the award of such Procurement Contracts will be noticed on the *Contract Reporter* website, as further set forth in Section 3.H.

E. It is the policy of New York State to promote the participation of and maximize the opportunities for New York State Business Enterprises and New York State residents in Procurement Contracts. The Canal Corporation will endeavor to promote such

participation and to comply with the applicable statutory provisions. In furtherance of Public Authorities Law § 2879, the following definitions and actions apply:

1. "New York State Business Enterprise" is a business enterprise, including a sole proprietorship, partnership or corporation that offers for sale or lease or other form of exchange, goods sought by the Canal Corporation that are substantially manufactured, produced or assembled in New York State or services, excluding construction services, sought by the Canal Corporation that are substantially performed within New York State as further described in Public Authorities Law § 2879.

2. "New York State resident" is a person who maintains a fixed, permanent and principal home in New York State to which such person, whenever temporarily located, always intends to return as further described in Public Authorities Law § 2879.

3. "Foreign Business Enterprise" is a business enterprise, including a sole proprietorship, partnership or corporation, that offers for sale, lease or other form of exchange, goods sought by the Canal Corporation that are substantially produced outside New York State, or services other than construction services, sought by the Canal Corporation that are substantially performed outside New York State as further described in Public Authorities Law § 2879. For purposes of construction services, Foreign Business Enterprise is a business enterprise, including a sole proprietorship, partnership or corporation, which has its principal place of business outside New York State.

4. "Discriminatory Jurisdiction" is any country, nation, province, state or political subdivision thereof which employs a preference or price distorting mechanism to the detriment of, or otherwise discriminates against, a New York State Business Enterprise in the procurement of goods and/or services by the same or a non-governmental entity influenced by the same.

5. Pursuant to Public Authorities Law § 2879, the Canal Corporation shall not enter into a contract with a Foreign Business Enterprise which has its principal place of business in a Discriminatory Jurisdiction contained on the list prepared by the Commissioner of the New York State Department of Economic Development ("DED"). The provisions of this section may be waived by the NYPA's President and CEO if the CEO determines in writing that it is in the best interests of the Canal Corporation to do so, as further set forth in the above-referenced law.

6. Pursuant to Public Authorities Law § 2879, the Canal Corporation will, where feasible, make use of the stock item specification forms of New York State manufacturers, producers and/or assemblers, as made available by the Commissioner of General Services, for any Procurement Contract for the purchase of goods.

F. Certain goods and/or services may be procured pursuant to Procurement Contracts let by any department, agency, officer, political subdivision or instrumentality of the State (e.g., the New York State Office of General Services ("OGS")) or Federal government (e.g.,

General Services Administration ("GSA")) or any city or municipality where the White Plains SSM Department, or Canal Corporation SSM Department, and the initiating department determine that a reasonable potential exists for cost savings or other benefits to the Canal Corporation and have approved the specifications and proposed terms and conditions of such contract.

Certain Procurement Contracts established by the OGS or GSA require that authorized users conduct a "mini-bid" (i.e., an abbreviated supplemental competitive bid procurement process) among prequalified bidders identified in such established contracts. Certain other Procurement Contracts issued by the Canal Corporation (e.g., for on-call consulting or contracting services) may also utilize a mini-bid process, typically, in cases of a multiple award, where a contract is awarded to more than one bidder that meets the Canal Corporation bid requirements, in order to satisfy multiple factors and needs as set forth in the bid document. Such mini bids shall be conducted by the Canal's Corporation SSM staff (or on behalf of the Canal Corporation by an Implementation Contractor) where applicable and practicable. Within a said multiple award group, work may be assigned to a specific firm without conducting a mini-bid, under certain circumstances, including but not limited to: where such firm possesses specialized expertise and is uniquely qualified to perform such work; where time constraints, emergency or other critical conditions exist or geographic location is of primary consideration in order to meet schedule requirements, respond to emergent issues or otherwise meet the Canal's Corporation needs; or when the work scope is below a specified monetary threshold. The decision to assign work without conducting a mini bid shall typically be made jointly by the Canal Corporation SSM Department and initiating departments and shall be documented for the Procurement Record.

G. Solicitations will include a scope of work that defines the goods required and/or the services to be performed; evaluation criteria (as defined in Section 4.B.); milestone dates; the Canal Corporation Supplier Diversity Program and SDVOB requirements, if applicable; all other applicable Canal Corporation requirements and any special methods or limitations that the Canal Corporation chooses to govern the work. Telephone solicitation, usually for procurements valued at less than $50,000, may be used where time constraints do not permit issuance of an RFP, where issuance of an RFP is otherwise impracticable or for goods that are catalog items or do not require a detailed bill of materials or specification. All solicitations made by telephone shall be documented and made part of the Procurement Record.

H. For all Procurement Contracts with a value equal to or greater than $50,000 (except for those contracts noted below), the Canal Corporation will, prior to soliciting proposals, submit all required information to the Commissioner of the DED to be included on the New York State *Contract Reporter* website, (www.nyscr.ny.gov) (unless such posting would serve no useful purpose). Such information will be submitted to the DED Commissioner in accordance with the schedule set forth by the DED. The due date for bids or proposals will be a minimum of 15 business days after the date of publication of such notice on the *Contract Reporter* website, except where a shorter period is specifically authorized by law. For Procurement Contracts resulting from a Request for Proposal process, the Canal Corporation will submit the results of the bid opening, including the names of firms submitting proposals and the name/s of the awardee/s, for inclusion on

the *Contract Reporter* website. For all other Procurement Contracts, the name of the awardee will be submitted.

This section 3.H does not apply to (i) Procurement Contracts awarded on an emergency basis as described below in Section 3.M, (ii) Procurement Contracts being rebid or re-solicited for substantially the same goods and/or services, within 45 business days after the original due date, and/or (iii) Procurement Contracts awarded to not-for-profit human services providers. (See Article 4-C, Economic Development Law)

Certain Procurement Contracts may require purchases: (1) on a spot market; (2) needed prior to the time limits for noticing on the Contract Reporter website or that do not lend themselves to the solicitation process. Such purchases are exempted from the noticing requirements of Article 4-C of the Economic Development Law subject to the approval of the NYPA Vice President of Strategic Supply Management (SSM), and/or the head of the initiating department that does not complete its procurements through NYPA SSM or the Canal Corporation SSM Department. From time to time or where appropriate, generic notices may be published on the Contract Reporter website notifying potential bidders of such opportunities and soliciting qualification statements for consideration by the Canal Corporation.

Notwithstanding the foregoing, submittal of a notice / announcement of award for inclusion on the *Contract Reporter* website is required for Procurement Contracts with a value of $50,000 or more awarded on a sole source or single source basis, including such discretionary contracts not exceeding $500,000 awarded to Small Business Enterprises (SBEs) or MWBE firms, or for the purchase of goods and/or technology that are recycled or remanufactured, for discretionary awards on a single or sole source basis to SDVOB's, or for the purchase of food, including milk and milk products that are grown, produced or harvested in New York State, and certain other Procurement Contracts exempt from the general advertising requirement for Procurement Contract bidding opportunities, in accordance with the afore-referenced law. Such notice shall specify the name of the awardee.

I. In order to further increase participation of service-disabled veterans in New York State's contracting opportunities, the Service-Disabled Veteran-Owned Business ("SDVOB") Act was signed into law on May 12, 2014. The SDVOB program provides for eligible Veteran business owners to become certified as a New York State Service-Disabled Veteran-Owned Business. The Division of Service-Disabled Veterans' Business Development within the New York State Office of General Services ("OGS") is responsible for certifying eligible SDVOBs, assisting agencies and authorities in complying with the law, and promoting SDVOB participation in the state's procurement activities. Under this program, contracts may be awarded on a non-competitive basis to NYS-certified SDVOBs for discretionary purchases. Alternately, contracts may be competitively bid exclusively among NYS-certified SDVOBs regardless of ~~value, and~~value and advertised as such on the *Contract Reporter* website.

J. Proposals for certain Services Contracts may also be solicited by competitive search, as follows:

For contracts where the scope of work cannot be well defined or quantified, or where selection requires evaluation of factors such as breadth and depth of experience in a unique or highly specialized field and suitability as a Canal Corporation representative, a "competitive search" will be conducted to determine which consultants are most qualified, for reasonable compensation terms, to perform the work. Depending on market conditions, at least five potential sources should be evaluated; if there are fewer than five sources, all sources should be evaluated. The NYPA SSM Department or the Canal Corporation SSM Department staff will work with the initiating department to gather information from potential sources, that will include a description of the consultant/firm's qualifications, résumés of key personnel, past experience and proposed billing rates.

K. A Procurement Contract may be awarded on a Sole Source, Single Source, or other non-competitive basis where:

1. Compatibility of equipment, accessories or spare or replacement parts is the paramount consideration.
2. Services are required to extend or complement a prior procurement and it is impracticable or uneconomic to have a source other than the original source continue the work.
3. A sole supplier's item is needed for trial use or testing, or a proprietary item is sought for which there is only one source.
4. Other circumstances or work requirements exist that cause only one source to be available to supply the required goods and/or services.
5. The contract is awarded to a Small Business Enterprise or to a NYS-certified MWBE firm for discretionary purchases not exceeding $500,000, pursuant to Section 3.D and as further set forth in Section 2.C.
6. The contract is awarded to a NYS-certified SDVOB for a discretionary purchase
7. The contract is for the discretionary purchase of goods and/or technology that are recycled or remanufactured, in an amount not exceeding $500,000, as further set forth in Section 2.C and subject to the approvals stated in Section 3.D.
8. The contract is for the discretionary purchase of commodities that are food, including milk and milk products, which are grown, produced or harvested in New York State, in an amount not exceeding $500,000, as further set forth in Section 2.C and subject to the approvals stated in Section 3.D.
9. Services are required on a more expedited basis than the competitive procurement process will allow. Requesting business units must demonstrate the urgency of the project and that awardee is cost-effective and qualified in the subject area. Services shall be for specific scopes of work in an amount not exceeding $500,000 and are subject to the approvals stated in Section 3.D.
~~8.~~10. Purchases made on a Sole Source, Single Source, or other non-competitive basis are subject to Public Authorities Law § 2879-a, 2 NYCRR Part 206, entitled "Comptroller Approval of Contracts Made by State Authorities" ("Comptroller Regulations") and the State Authority Contract Manual.

L. Pursuant to Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, the Canal Corporation may be required to submit certain contracts to the New York State Comptroller for approval that are awarded on a Sole

Source, Single Source, or other non-competitive basis for the purchase of goods and/or services in an amount in excess of $1 million, and shall notify the successful bidder therefor. Such contracts or contract amendments shall not be valid and enforceable unless approved by the Comptroller or until 90 days have elapsed from such submission without action by the Comptroller, as further set forth in the referenced law and regulations.

M. Subject to the Canal Corporation Expenditure Authorization Procedures ("EAPs"), and Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, a Procurement Contract may be awarded without following the solicitation requirements that ordinarily apply (but using such competitive selection procedures as are practicable under the circumstances) where emergency conditions exist, such as:

1. A threat to the health or safety of the public or Canal Corporation employees or workers.
2. Proper functioning of the Canal Corporation facilities or construction or operating projects requires adherence to a schedule that does not permit time for an ordinary procurement solicitation.

N. Whenever an initiating department determines that a Procurement Contract should be awarded on a Single Source, Sole Source, or an emergency basis, the department head or other authorized equivalent per the EAPs will provide a written statement explaining the compelling reasons therefor to the NYPA Vice President, SSM. The award of such Procurement Contracts, regardless of value, requires the written approval of the NYPA Vice President, SSM, except as noted in Section 3.H.

O. Every potential Sole Source or Single Source contract with a value of $1 million or more must be approved by the NYPA President and CEO or the COO prior to processing by the NYPA SSM Department or Canal Corporation SSM Department.

P. In furtherance of Public Authorities Law § 2800, when a procurement is made on a non-competitive basis, and the price for goods or services purchased exceeds fair market value, prior to making the purchase, the Business Unit Head of the initiating department shall provide a detailed explanation of the justification for making the purchase and a certification shall be signed by the NYPA Chief Executive Officer and Chief Financial Officer stating that they have reviewed the terms of such purchase and determined that it complies with applicable law and procurement guidelines. The following definition shall apply: "Fair Market Value" shall mean the estimated dollar amount that a willing buyer would pay to a willing seller for property in an arms-length transaction in the appropriate marketplace and under similar circumstances. Fair market value may be determined by internal appraisals, industry-recognized sources, or other methods of valuation generally accepted in the industry in which such property is utilized, as may be approved by the NYPA Vice President, SSM or authorized designee.

Q. It is the policy of New York State to discourage improper communications intended to influence a governmental procurement. The Canal Corporation will endeavor to control such practices and will comply with the applicable statutory provisions. In furtherance of the State Finance Law §§ 139-j and 139-k, the following shall apply:

The "Restricted Period" is the period of time commencing with the earliest posting, on the Canal Corporation website, in a newspaper of general circulation, or in the Procurement Opportunities Newsletter (i.e., New York State *Contract Reporter*) in accordance with Article 4-C of the Economic Development Law of written notice, advertisement or solicitation of a request for proposal, invitation for bids, or solicitation of proposals, or any other method provided for by law or regulation for soliciting a response from offerors (i.e., bidders/con- tractors) intending to result in a Procurement Contract with the Canal Corporation and ending with the final contract award and approval by the Canal Corporation and, where applicable, the State Comptroller. The "Restricted Period" also applies to a "mini-bid" process that may be utilized in certain established OGS, GSA or Canal Corporation multiple award contracts, as provided in Section 3.F.

The Canal Corporation shall designate a person or persons who may be contacted, with respect to each Canal Corporation procurement. The bidders/contractors or persons acting on their behalf, shall only contact the Canal Corporation's designated person or persons where a reasonable person would infer that the communication was intended to influence the procurement during the Restricted Period.

R. In furtherance of the Canal Corporation commitment to ensure transparency and accountability of its operations, every member, officer or employee of the Canal Corporation who is contacted by a lobbyist is required to make a contemporaneous record of such contact, pursuant to Public Authorities Law § 2987.

S. Project Sunlight (Chapter 399, Part A, Section 4 of the Laws of 2011) requires the Canal Corporation to record in a database maintained by the New York State Office of General Services certain appearances between the Canal Corporation and individuals, firms or other entities (excluding elected officials and representatives of federal, state and local agencies and authorities) relating to the procurement of a contract, with a value of $25,000 or more, for real property, goods or services. Appearances are defined as an interaction through an in-person meeting or a video conference between covered individuals. Appearances related to emergency procurements and disposal of property through public auctions are excluded, as are appearances that take place during the formal "Restricted Period." Covered individuals at the Canal Corporation means an employee who has the power to exercise discretion in procurement matters or advises someone who exercises such discretion. A covered individual outside of the Canal Corporation means both "external" (e.g., a lobbyist) and "internal" (e.g., sales representative) representatives of an entity, individuals appearing on behalf of themselves, advocacy groups or organizations or entities representing the interests or concerns of the organization or entity or of its members. All such appearances must be promptly reported to the Canal Corporation Ethics and Compliance Office for recording in the Project Sunlight database.

T. Prior to entering into any binding relationship with a third party (e.g., written agreement or memorandum of understanding (MOU)) in pursuit of any joint or collaborative development project, the office of SSM and the Law Department ("Law") must be notified regarding the procurement and on the issue of whether and to what extent the projects falls within the constraints of the Authority's procurement

regulations and enabling legislation. SSM and Law should be brought into any such project in the development process.

Provided that the Authority has statutory authority to develop or otherwise participate in a project developed, in whole or in part, in collaboration with a third party, the following minimum criteria must be met:

(i) the Authority's participation must be in response to a solicitation issued by the State or other public entity pursuant to a competitive selection process; and

(ii) the construction of any asset to be owned by the Authority must comply with all applicable laws, including but not limited to prevailing wage requirements and goals established for the use of minority enterprises (e.g., minority- and women-owned business enterprise (MWBE), service disabled veteran owned business (SDVOB)); and

(iii) goods and/or services required to develop and implement the project must be sourced and procured in accordance with, and subject to, either (a) the Authority's Procurement Guidelines; or (b) the requirements of the third party collaborator governing the competitive procurement of goods and services, provided that SSM has been furnished with a copy of such requirements which demonstrate, in SSM's judgement, that a competitive procurement or equivalent has been or will be undertaken.

Prior to execution any underlying agreement (i.e. joint development agreement, MOU, etc.) an internal award recommendation shall be memorialized and approved by the VP SSM and the responsible Business Unit head.

4. EVALUATION OF PROPOSALS

A. Proposals will be evaluated using a fair and equitable comparison of all aspects of the proposals against the specifics of the solicitation and against each other, including an analysis of each offer that considers: the quality of the goods and/or the competence of the bidder (including, but not limited to, the bidder's skill, judgment and business integrity), the technical merit of the proposal and the price for which the goods and/or services are to be supplied.

In the event the price submitted by the bidder recommended to be awarded a contract exceeds the cost estimated, where a cost estimate is provided on the solicitation at the time of bidding, the initiating department will prepare a written explanation to be reviewed by the Canal Corporation SSM Department and appropriate managers as stipulated in the EAPs. The following options should be considered: (1) rejecting the bids, resoliciting proposals and/or modifying the scope of work; (2) revising the cost estimate and proceeding with the contract award and (3) negotiating with the low bidder(s), as determined by the NYPA Vice President, SSM or designee, to reduce the price quoted. Factors to be considered in reaching the proper course of action include but are not limited to: the effects of a delay on both the schedule and the cost of the specific capital construction project or outage at an operating facility, the magnitude of the contract, available bidders, the ability to attract additional competition if the solicitation is reissued,

and the accuracy of the original cost estimate. The recommended course of action and the reasons therefor must be fully documented in a memorandum for consideration by the appropriate level of management prior to approval and placed in the appropriate procurement file.

B. Factors to be considered in evaluating the goods and/or services to be supplied and/or the competence of the bidder are: previous experience (including applicable experience in New York State and evaluations from other clients for whom the bidder has provided goods and/or services); the abilities and experience of the personnel to be assigned to the Canal Corporation work and the ability to provide any needed advanced techniques such as simulation and modeling; and overall, the bidder's skill, judgment and business integrity. The approach proposed in meeting the exact requirements of the scope of work will be given consideration in evaluating the technical merit of the proposal, together with a well-organized task structure, the ability to timely supply the goods and/or perform the proposed services and the ability to meet Supplier Diversity Program goals, if any. The need to purchase the goods from and/or subcontract performance of services to others will be evaluated as to their effects on cost, as well as quality, schedule and overall performance.

Another factor to be considered in evaluating proposals may involve an assessment of the bidder's diversity practices, where applicable. Pursuant to Article 15-A of the Executive Law, diversity practices are the contractor's practices and policies with respect to utilizing NYS-certified MWBEs in contracts as subcontractors and suppliers, and entering into partnerships, joint ventures or other similar arrangements with NYS-certified MWBEs. A contractor's diversity practices may be assessed when: (1) a procurement is awarded on the basis of "Best Value" as described in Section 4.D. (but *not* when a procurement is awarded based upon "lowest price"); (2) the anticipated award is $250,000 or greater; and (3) such assessment is practicable, feasible and appropriate. Such assessment shall not permit the automatic rejection of a bid or Procurement Contract proposal based on lack of adherence to diversity practices.

C. For Services Contracts (as defined in Section 2.M of these Guidelines), the technical merits of the proposals and the experience and capabilities of the bidders will be the primary factors in determining the individual or firm to be awarded the contract, provided that the price for performing such work is reasonable and competitive.

D. For Procurement Contracts for Goods (as defined in Section 2.~~C~~ F of these Guidelines), the award should generally be made to the lowest-priced firm submitting a proposal that meets the commercial and technical requirements of the bid documents. (See also Section 4.F regarding award to "other than low bidder".)

As a best practice and pursuant to State Finance Law § 163, the Canal Corporation may award on a "Best Value" basis for awarding contracts to the offeror that optimizes quality, cost and efficiency, among responsive and responsible offerors. Such basis shall reflect, wherever possible, objective and quantifiable analysis and may also identify a quantitative factor for offerors that are Small Businesses or NYS-certified SDVOB or MWBE firms.

E. Pursuant to § 139-k of the State Finance Law, the Canal Corporation shall not award a Procurement Contract (as defined in Subsection 3.Q.1 of these Guidelines) to a bidder/contractor who fails to provide timely, accurate and complete responses to inquiries about past determinations of non-responsibility (unless awarding the contract is necessary to protect public property or public health or safety and the bidder/contractor is the only source capable of supplying the required article of procurement within the necessary timeframe.)

A bidder's/contractor's knowing and willful violation of the Canal Corporation policy providing for certain procurement disclosures shall result in a determination of non-responsibility of such bidder/contractor pursuant to State Finance Law §§ 139-j and 139-k only.

More than one determination of non-responsibility due to violations of State Finance Law § 139-k in a four-year period shall render a bidder/contractor ineligible to submit bids for four years from the second determination of non-responsibility.

F. An award to "other than low bidder" can be made only with the approval of appropriate management as stipulated in the EAPs, and should be based on such a proposal providing a clear advantage to the Canal Corporation over the lower-priced proposal. Factors justifying an "other than low bidder" award may include, but are not limited to: improved delivery schedules that will reduce outages; longer warranty periods; improved efficiency over the usable life of the equipment; reduced maintenance costs; the bidders' financial resources or the ability to meet or exceed Supplier Diversity Program and SDVOB goals; and overall, the bidder's skill, judgment and business integrity.

G. The specifications set forth in any solicitation prepared under these Guidelines were based upon information available at the time of the preparation of the solicitation. Thus, the Canal Corporation may diverge from the specifications of any solicitation if, after review of the proposals responsive to such solicitation, the Canal Corporation deems it prudent in light of its experience, the circumstances of the solicitation and/or potential cost savings.

5. RECOMMENDATION OF AWARD

A. A recommendation for approval of a proposed award of a Procurement Contract is usually prepared in the form of a memorandum or e-mail by the department requiring the goods and/or services. The recommendation must include an evaluation of proposals as specified in Article 4 above, as well as proposed specific compensation terms that provide a clear breakdown of cost factors and methods of calculation, including, as applicable:

1. Lump sum and/or unit prices for equipment and construction work.
2. Hourly or daily rates for personnel.
3. Markups for payroll taxes, fringe benefits, overhead and fees, if the proposal is based on reimbursement of actual payroll costs.
4. Terms for reimbursement of direct out-of-pocket expenses, such as travel and living costs, telephone charges, services of others and computer services.
5. Provisions, if any, for bonus/penalty arrangements based on target person-hours and/or target schedule.

B. The recommendation will also review any substantive exceptions to commercial and technical requirements of a price inquiry, RFP, RFQ or bidding documents, including but not limited to payment terms, warranties and bond requirements, if any, as well as Supplier Diversity Program requirements, as applicable.

6. AWARD OF CONTRACT

A. Services Contracts (which include contracts for Construction, Personal and Non-personal services, as defined in Section 2.M.) valued or estimated to be $5,000 or greater to be performed for a period of more than 12 months are approved and reviewed annually by the Canal Corporation Board of Directors. Services Contracts for a period of less than 12 months are approved by authorized designees in accordance with existing EAPs. Extending a contract for services with an initial duration of less than 12 months beyond 12 months will be approved by the Canal Corporation Board of Directors at the request of the initiating department and will be reviewed by the Canal Corporation Board of Directors annually. Extending a contract for services, that has previously been approved by the Canal Corporation Board of Directors, for a cumulative term of more than 12 months requires further Canal Corporation Board of Director approval.

B. Extending a contract, previously approved by the Canal Corporation Board of Directors, for 12 months or less ("grace period") requires approval by the NYPA Vice President, SSM of the requesting department or other authorized equivalent or designee in accordance with existing EAPs and concurrence by the NYPA Vice President, SSM.

C. For Services Contracts valued or estimated to be $5,000 or greater to be performed for a period of more than 12 months that must be awarded prior to the next quarterly Canal Corporation Board of Directors meeting, the initial contract will be issued for the entire intended term of the contract. Based on its total term and value, such contract must be approved in writing by the appropriate management as set forth in the EAPs. Such contract is subject to the Canal Corporation Board of Directors' approval, at the next quarterly Canal Corporation Board of Directors' meeting. If such approval is not granted, the contract will be terminated immediately.

D. A contract or contract task valued or estimated to be $5,000 or greater is deemed to be for services in excess of 12 months where the contract does not specify a definite term and the work will not be completed within 12 months, and any "continuing services" contract with no fixed term that provides for the periodic assignment of specific tasks or particular requests for services. This includes Canal Corporation Board of Directors-approved contracts for architect/ engineering services with the original engineers of operating facilities, as well as the original supplier of steam supply systems or boilers and turbine generating equipment. Each task authorized under such contracts (which may be referred to as a "Change Order," "Purchase Order" or "Task Number") is considered a separate commitment and must be separately approved in accordance with the EAPs.

E. The term of a Personal Services contract is limited to a maximum of five (5) years, including any extensions. However, at the sole discretion of the Vice President of SSM may approve a Business Unit's written justification for a contract term exceeding 5 years or reasonable extension of such a contract.

F. For construction value contracts purchase order releases maybe issued up to the term limit of the value contract. The term of a construction purchase order release shall be as required to complete the work assigned. The term of the value contract shall be extended accordingly.

~~E.~~G. Multiyear contracts for Goods (which include equipment, materials and supplies, as defined in Section 2~~.~~F) valued or estimated to be $5,000 or greater are subject to the management approval thresholds established in the EAPs, and require Trustee approval only once those thresholds are exceeded.

~~F.~~H. When time constraints or emergency conditions require extending an existing contract with an initial duration of less than a year beyond a year, and the cumulative monetary change order value does not exceed the appropriate limit set forth in the EAPs, the Department Head, with the prior concurrence of the NYPA Vice President, SSM or equivalent(s) or designee, may authorize extending such contract, subject to the Canal Corporation Board of Directors ratifying such action as soon as practicable.

~~G.~~I. When the total estimated contract value or the value of the extension exceeds the monetary limits set forth in the EAPs, interim approval by the NYPA President and Chief Executive Officer or Chief Operating Officer or equivalent(s) or designee is required, subject to the Canal Corporation Board of Directors ratifying such action as soon as practicable.

~~H.~~J. When time constraints or emergency conditions require immediate commencement of services to be performed for a period of more than one year, and when the contract value exceeds the monetary approval limit for the President and Chief Executive Officer or Chief Operating Officer or equivalent(s), as set forth in the EAPs, the President and Chief Executive Officer or Chief Operating Officer or equivalent(s) or designee, with the prior concurrence of the NYPA Vice President, SSM or equivalent(s) or designee, may authorize in writing the commencement of such services. The initial compensation limitation may not exceed the authorization level for the NYPA President and Chief Executive Officer or equivalent(s) or Chief Operating Officer or equivalent(s) as set forth in the EAPs. Such contracts will be subject to the Canal Corporation Board of Directors approval, which will be solicited at their next scheduled Canal Corporation Board of Directors meeting.

~~I.~~K. The NYPA SSM or the Canal Corporation SSM Department prepares the contract for execution by the Canal Corporation and the successful bidder. No work by the selected contractor will commence until the contract is executed by both parties, except that mutually signed letters of award or intent may initiate work prior to formal execution. Canal Corporation signatories of such letters must be authorized to approve contract awards pursuant to the EAPs.

~~J.~~L. Pursuant to Economic Development Law § 143, the Authority shall submit an announcement of the intended contract for inclusion in the procurement opportunities newsletter at the time it enters into a contract. Such announcement shall identify the contract, specify the date of the award of the contract and provide the name of and contact information for each recipient of the contract.

~~K.~~M. Pursuant to Public Authorities Law § 2879, the Canal Corporation shall notify the Commissioner of Economic Development of the award of any Procurement Contract for the purchase of goods and/or services from a Foreign Business Enterprise (as defined in Subsection 3.E.3 of these Guidelines) in an amount equal to or greater than $1 million simultaneously with notifying the successful bidder therefor. The Canal Corporation shall not enter into the Procurement Contract for said goods and/or services until at least 15 days have elapsed from the notification of the award, except for a Procurement Contract awarded on an emergency or critical basis. The notification to the Commissioner shall include the name, address, telephone and facsimile number of the Foreign Business Enterprise, the amount of the proposed Procurement Contract and the name of the individual at the Foreign Business Enterprise or acting on behalf of same who is principally responsible for the proposed Procurement Contract.

7. CONTRACT PROVISIONS

A. The following standard forms of contracts are available from the NYPA SSM Department or Canal Corporation SSM Department: purchase order format (for standard procurements of goods and/or services); furnish-and-deliver format (for major equipment purchases); long form agreements (for consulting services) and maintenance agreement formats; contract work orders (for construction work of small magnitude); construction contracts (for major construction work) and furnish, deliver and install contracts (for specialized, major procurements where single responsibility is required for procurement and installation). These contract forms are intended to govern the purchase of goods and/or performance of services.

Canal Corporation departments proposing to initiate a Procurement Contract should review these forms to suggest any modifications and additions that may be required for the particular goods and/or services. Under no circumstances should contract forms be shown to proposed bidders without the prior approval of the NYPA SSM Department and the Canal Corporation SSM Department, which are responsible for requesting proposals.

B. The following types of provisions setting forth contractor responsibilities are to be contained in the standard forms of Procurement Contracts, except that any provisions listed below that are inapplicable or unnecessary because of the nature or duration of the work to be performed, the location(s) where the work is to be performed or the type of compensation being paid therefor, need not be included. Other provisions may be added as necessary and appropriate.

1. Schedule of Services or Specifications
2. Time of Completion
3. Compensation or Itemized Proposals
4. Relationship of Parties
5. Delays
6. Termination
7. Changes in the Work
8. Claims and Disputes
9. Warranty
10. Insurance
11. Records, Accounts, Inspection and Audit

12. Assignment
13. Notices
14. Indemnification
15. Governing Law
16. Proprietary Nature of Work
17. Testimony
18. MWBE requirements
19. SDVOB requirements
20. Entire Agreement

Contract Attachments

1. Compensation Schedule
2. Schedule of Services or Specifications
3. Appendix "A" (Miscellaneous Statutory Provisions)
4. Appendix "B" (Prompt Payment Provisions)
5. Appendix "C" (Minority- and Women-owned Business Enterprise (MWBE) Participation Goal Requirement)
6. Appendix "D" (Background Security Screening for Authority Contractors)
7. Appendix "E" (Omnibus Procurement Act of 1992 Requirements)
8. Appendix "F" (Computer Aided Design Requirements For New York Power Authority Drawings)
9. Appendix "G" (Equal Employment Opportunities Requirements)
10. Appendix "H" (Tax Law Requirements)
11. Appendix "I" (New York Power Authority (NYPA) North American Electric Reliability Corporation Critical Infrastructure Protection (NERC CIP) Cyber Access And/or Unescorted Physical Access Training Requirements)
12. Appendix "J" (Bidder/Contractor Compliance with State Finance Law §§ 139-j and 139-k Providing for Certain Procurement Disclosures)
13. Appendix "K" (Additional State and Federal Provisions Required for American Recovery and Reinvestment Act (Pub. L. No. 111-5 Stat. 2009) ("ARRA") Funded Projects) - inactive
14. Appendix "L" (DOE Federal Contract Provisions) - inactive
15. Appendix "M" (Use of Ultra Low Sulfur Diesel Fuel and Best Available Retrofit Technology ("BART") for Heavy Duty Vehicles)
16. Appendix "N" (The New York State Iran Divestment Act of 2012 – Iranian Energy Sector Divestment)
17. Appendix "O" (Encouraging Use of New York State Businesses in Contract Performance) – inactive
18. Appendix "P" (Information Security Requirements for Vendors and External Partners)

C. If a vendor (firm, person or other entity) participates in the development or writing of the specifications for a procurement solicitation, such vendor shall not be permitted to bid on such procurement, either as a prime vendor or as a subcontractor at any level. Contracts for evaluation of offers for products or services shall not be awarded to a vendor that would then evaluate its own offers for products or services.

Furthermore, any firm, person or other entity retained by the Canal Corporation to provide conceptual studies, designs or specifications is prohibited from being awarded future phases of work, including implementation, related to the original work.

The above restrictions shall not apply where:

1. The vendor is the sole source or single source of the product or service;
2. More than one vendor has been involved in preparing the specifications for a procurement proposal;
3. There is no qualified response to the solicitation for future phases of work, including implementation; or
4. The originating Canal Corporation Department determines in writing that the restrictions are not in the best interests of the Canal Corporation. Such originating Department shall obtain the approval of the applicable Department Head or equivalent(s), NYPA Vice President, SSM or equivalent(s) or designee, NYPA Assistant General Counsel or equivalent(s) and NYPA President and Chief Executive Officer or designee or Chief Operating Officer or equivalent(s) to waive this restriction on a case-by-case basis.

8. CHANGE ORDERS

A. Change Orders to existing contracts are justified in the following cases:

1. To incorporate additional work related to the original scope, to delete work or to otherwise modify the original work scope;
2. To exercise options previously included in the original contract to perform additional work or to extend the contract term;
3. To accommodate emergency conditions, defined in Section 3.M herein, that require the immediate performance of work by a firm already under contract;
4. When rebidding would not be practical or in the best interests of the Canal Corporation customers; and
5. To meet the Canal Corporation Supplier Diversity and SDVOB Program goals in accordance with Executive Law Articles 15-A and 17-B, respectively.

B. All Change Orders must be approved in accordance with the Canal Corporation EAPs, and should include specific schedules for completion of work at the earliest possible time.

C. Pursuant to Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, the Canal Corporation may be required to submit certain Change Orders to the New York State Comptroller for filing or approval where the aggregate value of the contract as amended is in excess of $1 million and the original contract was awarded on the basis of a competitive procurement, but the modification was neither contemplated nor provided for in the solicitation for such competitive procurement.

9. CONTRACTING DECISIONS INVOLVING CURRENT OR FORMER EMPLOYEES

A. Former Canal Corporation officers and employees may be eligible to be considered for direct engagement as contractors and/or consultants provided that they meet all criteria for contractors and/or consultants generally as specified in these Guidelines; their

engagement is not barred by New York Public Officers Law § 73(8); they obtain an opinion by the New York State Joint Commission on Public Ethics that such engagement is permissible; and upon approval of the NYPA President and Chief Executive Officer, as well as the Chairman of the Canal Corporation Board.

B. Pursuant to the provisions of New York Public Officers Law § 73(8):

1. No Canal Corporation officer or employee is eligible, within a period of two years after the termination of Canal Corporation service to appear or practice before the Canal Corporation or receive compensation for any services rendered on behalf of any person, firm, corporation or association, in relation to any case, proceeding or application or other matter before the Canal Corporation.

2. No Canal Corporation officer or employee is eligible, at any time after the termination of Canal Corporation service, to appear, practice, communicate or otherwise render services before the Canal Corporation or any other state agency or receive compensation for any such services rendered on behalf of any person, firm, corporation or other entity in relation to any case, proceeding, application or transaction that such person was directly concerned with and personally participated in during his or her period of service, or which was under his or her active consideration.

3. Pursuant to the provisions of New York Public Officers Law § 73(8-b), notwithstanding the provisions of 1. and 2. above, a former Canal Corporation officer or employee may contract individually, or as a member or employee of a firm, corporation or association, to render services to the Canal Corporation, if, prior to engaging in such service, the Chairman of the Board of Directors certifies in writing to the New York State Joint Commission on Public Ethics that such former officer or employee has expertise, knowledge or experience with respect to a particular matter which meets the Canal Corporation needs and is otherwise unavailable at a comparable cost. Where approval of the contract is required under § 112 of the New York State Finance Law, the Comptroller shall review and consider the reasons for such certification. The New York State Joint Commission on Public Ethics must review and approve all such certifications.

C. No Canal Corporation employee who is involved in the award of Canal Corporation grants or contracts may ask any officer, director or employee of such current or prospective contractor or grantee to reveal: (a) the political party affiliation of the individual; (b) whether the individual or entity has made campaign contributions to any political party, elected official or candidate for elective office or (c) whether the individual voted for or against any political party, elected official or candidate for elective office.

D. No Canal Corporation employee may award or decline to award any grant or contract, or recommend, promise or threaten to do so because of a current or prospective grantee's or contractor's: (a) refusal to answer any inquiry prohibited by Section 9.C above or (b) giving or withholding or neglecting to make any contribution of money, service or any other valuable thing for any political purpose.

E. No Canal Corporation employee may take part in any contracting process or decision: (i) to a Relative; or (ii) to any entity in which the Canal Corporation employee or a Relative

of such Canal Corporation employee owns or controls 10% or more of the stock of such entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange); or serves as an officer, director or partner of that entity. If a contracting matter arises relating to this Section 9.E, then the employee must advise in writing his or her supervisor and the Office of Ethics and Compliance of the relationship, and must be recused from any and all discussions or decisions relating to the matter.

1. For purposes of this Section 9.E, the term "Relative" is defined in Definitions, Section 2.L of these Guidelines.

10. SUPPLIER DIVERSITY PROGRAM REQUIREMENTS

The Canal Corporation strives to continue to foster the development of business opportunities on Canal Corporation contracts for MWBEs. Article 15-A of the Executive Law established the NYS Office (now Division) of Minority and Women's Business Development ("DMWBD") that is responsible for developing rules and regulations for implementation of this statute, certifying MWBEs and reviewing and monitoring goal plans, compliance reports and contract provisions to be included in all non-construction contracts for more than $25,000 and construction contracts for more than $100,000. The definition of an MWBE is included in Section 2.G of these Guidelines. The Canal Corporation aims to solicit proposals from NYS-certified MWBEs that are qualified to perform the required work. In addition, specific goals may be included in certain contracts for consulting work, construction and procurement of goods and other services requiring the contractor/vendor to subcontract a portion of the work to NYS-certified MWBEs as required by law. Bidders' proposals will include a completed preliminary Utilization Plan Form for MWBEs, as well as applicable EEO and Diversity Practices Forms, where required. Such bidders' failure to meet these requirements may be grounds for rejection of the proposal, or cancellation of the contract if a contractor did not make a good faith effort to meet its goals after contract award. Final MWBE Utilization Plans for Construction contracts valued at more than $100,000 shall be provided and posted on the procurement website by the successful vendor within ten business days of contract signing.

Pursuant to § 2879 of the Public Authorities Law and as further set forth in the Canal's Corporation Supplier Diversity Program documents, the following guidelines apply:

1. Identify those areas or types of contracts for which MWBEs may best bid so as to promote and assist participation by such enterprises and facilitate a fair share of the awarding of contracts to such enterprises.
2. Provide notice, in addition to any other notice of procurement opportunities required by law, to professional and other organizations that serve MWBEs providing the types of services procured by the Canal Corporation.
3. Maintain lists of qualified NYS-certified MWBEs, including professional firms that have expressed an interest in doing business with the Canal Corporation and ensuring that such lists are updated regularly. The Canal Corporation shall also consult the lists of NYS-certified MWBEs maintained by the DED pursuant to Executive Law Article 15-A.
4. Establish appropriate goals for participation by MWBEs in Procurement Contracts awarded by the Canal Corporation and for the utilization of MWBEs as subcontractors and suppliers by entities having Procurement Contracts with the

Canal Corporation. Statewide numerical participation target goals shall be established by the Canal Corporation based on the criteria set forth in Public Authorities Law § 2879.

5. Conduct procurements in a manner that will enable the Canal Corporation to achieve the maximum feasible portion of the goals established pursuant to Subdivision 4 of this Section and that eliminates barriers to participation by MWBEs in the Canal's Corporation procurements.

6. Designate one or more senior staff of the Canal Corporation to oversee the Canal's Corporation programs established to promote and assist participation by and utilization of NYS-certified MWBEs.

11. SERVICE-DISABLED VETERAN-OWNED BUSINESS ("SDVOB") PROGRAM REQUIREMENTS

The Canal Corporation also strives to foster the development of business opportunities for NYS-certified SDVOBs and to further increase participation by SDVOBs in Canal Corporation contracts, as set forth in Sections 2.-R and 3.I of these Guidelines and pursuant to Article 17-B of the Executive Law. One tool is the use of SDVOB discretionary purchasing, as further described in Sections 3.D, I and K of these Guidelines. Another tool authorized by the law is the use of set-asides, which permit the reservation in whole or in part of certain procurements by state agencies and authorities when more than one NYS-certified SDVOB is available and can provide the necessary goods or services to meet the Canal Corporation form, function and utility. The same dollar limits apply to SDVOB contracts as those set forth for MWBEs in Article 10 of these Guidelines.

Pursuant to Article 17-B of the Executive Law, the following guidelines apply:

1. Identify contracts where SDVOBs may best perform and/or where SDVOB goals are practical, feasible and appropriate for the purpose of increasing the utilization of SDVOB participation on Canal Corporation contracts.

2. Submit regular reports with respect to SDVOB Program activity, including but not limited to, utilization reporting and contract monitoring and compliance.

3. Achieve an overall goal of six percent for SDVOB participation on Canal Corporation contracts.

12. DISADVANTAGED BUSINESS ENTERPRISE ("DBE") PROGRAM REQUIREMENTS ON PROJECTS THAT ARE FEDERALLY FUNDED

The Canal Corporation ("Canals") strives to foster the development of business opportunities for NYS certified DBEs and to further increase their participation in Canals Federally funded contracts. The Canals aims to solicit proposals from DBEs for procurements that will be partially or fully federally funded. The Canals follows the DBE guidelines as set out by The Federal Department of Transportation ("DOT"). NYS DOT is tasked with certifying eligible small businesses as DBEs in New York State.

The Canals is committed to promoting participation of DBEs in Canals contracting opportunities in accordance with federal law and regulations and seeks to achieve the following objectives:

1. To ensure nondiscrimination in the award and administration of Federally funded contracts in the canals and waterways;
2. To create a level playing field on which DBEs can compete fairly for Federally funded contracts;
3. To ensure that the Canals' DBE program is narrowly tailored in accordance with applicable law;
4. To ensure that only firms that fully meet this Federal eligibility standards are permitted to participate as DBEs;
5. To help remove barriers to the participation of DBEs in Federally funded contracts;
6. To promote the use of DBEs in all types of federally-assisted contracts and procurement activities.
7. To assist the development of firms that can compete successfully in the marketplace outside the DBE program; and
8. To provide appropriate flexibility to recipients of Federal financial assistance in establishing and providing opportunities for DBEs.

13. PROCUREMENT RECORD AND REPORTING

A. Procurement Record

The NYPA SSM Department or the Canal Corporation SSM Department maintains records of Procurement Contracts. In addition to bid- and contract award-related documents for the goods provided and/or services performed, the Procurement Record includes, but is not limited to, documentation of the decisions made and the approach taken in the procurement process. Such records may be transmitted to a digital warehouse for electronic storage and retrieval.

B. Procurement Report

After the end of each calendar year, the NYPA Vice President, SSM or equivalent(s) will prepare and submit an annual report to the Canal Corporation Board of Directors for their approval that will include:

1. A copy of the Guidelines;
2. An explanation of the Guidelines and any amendments thereto since the last annual report;
3. A list of all Procurement Contracts entered into since the last annual report, including all contracts entered into with New York State Business Enterprises and the subject matter and value thereof and all contracts entered into with Foreign Business Enterprises and the subject matter and value thereof;
4. A list of fees, commissions or other charges paid;
5. A description of work performed, the contract number, the date of the contract and its duration, the name, address and NYS-certified MWBE designation of the awardees, the total amount of the contract, the amount spent on the contract during the reporting period and for the term of the contract to date and the status of open Procurement Contracts during the report year;
6. The type of contract (equipment, services, personal services or construction);

7. The method of awarding the contract (e.g., competitive bidding, Sole Source, Single Source or competitive search);
8. The reasons why any procurements with a value equal to or greater than $50,000 were not noticed in the Contract Reporter;
9. The number of bids received and
10. All referrals made and all penalties imposed, if any, pursuant to § 316 of the Executive Law.

C. Such annual report, as approved by the Canal Corporation Board of Directors, shall be submitted to the New York State Division of the Budget within 90 days of the end of such calendar year, and copies thereof shall be distributed to the New York State Department of Audit and Control, the DED, the New York State Senate Finance Committee, and the New York State Assembly Ways and Means Committee and any other entity as may be required by law. The annual procurement report is posted on the Canal Corporation website and copies shall be made available to the public upon reasonable written request therefor.

D. State Finance Law §§ 139-j and 139-k

1. A statement describing the basis for a determination of a bidder's/contractor's non-responsibility (per State Finance Law §§ 139-j and 139-k only) and the Canal Corporation decision not to award a bidder/contractor the Procurement Contract must be included in the Procurement Record.
2. The Canal Corporation shall notify the New York State Office of General Services of bidders/contractors who have been determined to be non-responsible bidders (per State Finance Law §§ 139-j and 139-k only) or debarred due to violations of § 139-j of the State Finance Law.
3. All forms entitled "Record of Contact" shall be included in the respective Procurement Record.
4. A statement describing the basis for a termination of a Procurement Contract for providing an intentionally false certification must be included in the Procurement Record.

E. The Canal Corporation may be called upon periodically to submit information regarding the procurement of goods and/or services to organizations implementing the PAAA or other statutes regulating the procurement of goods and services, such as Canal Corporation's Budget Office through the Public Authorities Reporting Information System ("PARIS").

F. The NYPA Vice President, SSM or equivalent(s) will also prepare Annual Goal Plans for the MWBE and SDVOB programs and will submit them by January 15 of each year to Empire State Development - Division of Minority and Women Business Development and the New York State Office of General Services - Division of Service-Disabled Veterans' Business Development, respectively. Quarterly Utilization / Activity Reports for each program will also be prepared and submitted to the aforementioned respective state entities by the 15th day of July, October, January and April.

14. THIRD PARTY RIGHTS: VALIDITY OF CONTRACTS

A. These Guidelines are intended for the guidance of officers and employees of the Canal Corporation only. Nothing contained herein is intended, nor should it be construed, to confer on any person, firm or corporation any right, remedy, claim or benefit under, or by reason of, any requirement or provision hereof.

B. Nothing contained in these Guidelines alters or affects the validity of, modifies the terms of or impairs any contract or agreement entered into in violation of these Guidelines.

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Memorandum

Date: **March 30, 2021**

To: **THE GOVERNANCE COMMITTEE**

From: **Joseph W. Gryzlo, Vice President and Chief Ethics & Compliance Officer**

Subject: **New York Power Authority and Canal Corporation Ethics and Compliance Program Report**

ETHICS and COMPLIANCE

SUMMARY

The Office of Ethics and Compliance ("E&C Office") advises the NYPA and the Canal Corporation ("Canals") trustees, directors, officers and employees on the legal, regulatory and NYPA Code of Conduct ethics and compliance standards affecting their employees and operations. It coordinates the investigation of allegations and concerns involving NYPA's and Canals' assets and employees. E&C staff members participate on various formal and informal committees and working groups related to enterprise resilience, risk management, internal controls and best business practices. This report highlights significant developments in the ethics and compliance program for the period September 23, 2020 through March 30, 2021.

BACKGROUND

The E&C Office began virtual, remote operations in March 2020 and has been operating on a hybrid office/virtual schedule since October 2020. As the occupancy levels in the White Plains Office increase, E&C Office staff will increase its in-office presence.

The principal substantive issues arising under the NYS ethics laws, NYPA's Code of Conduct and the Canals' Code of Ethics investigated or researched involve requests to engage in outside activities and employment, conflicts of interest reviews, financial disclosure analyses, post-employment guidance and assessments of unwarranted privileges.

Going forward, NYPA's Vision2030 Strategy Plan will require employees to innovate and re-imagine their work practices to meet aggressive and aspirational goals. The E&C Office provides guidance relating to those emerging strategic initiatives across the organization. Developing and implementing internal controls that embed the principles of the NYS Public Officers Law and NYPA/Canals Codes of Conduct from the outset of a project or initiative sets a foundational expectation of ethical conduct and transparency. Steadfast adherence to these principles ensures a resilient organization and protects NYPA and Canals' most valuable resource--its employees, from violations of law and policy.

DISCUSSION

Caseload Management

The chart below represents a summary of the categories of inquiries and cases for NYPA and Canals for calendar years 2019, 2020 and 2021 to date. Cases were received from all NYPA locations and many Canals sections.

Category	NYPA Jan-Mar 2021	NYPA 2020	NYPA 2019	CC Jan-Mar 2021	CC 2020	CC 2019
Allegations	7	22	15	0	9	6
Appearance of Impropriety	3	24	10	0	6	0
Conflicts of Interest	7	13	11	0	5	3
Contractor Issues	2	13	24	0	0	3
Gifts	2	16	38	0	0	0
Information Requests	7	21	19	0	4	0
Nepotism/Relative Hires	4	9	16	3	20	35
Outside Activities	15	47	52	0	2	7
Outside Employment	13	47	57	1	10	15
Political Inquiries	1	1	2	0	0	0
Post-Employment	16	60	46	1	10	17
Retaliation	0	1	0	0	0	0
Securities	1	4	1	0	0	0
Unwarranted Privilege	19	88	66	0	4	1
Use of Assets	5	16	17	0	0	0
Total Inquiries	**102**	**382**	**374**	**5**	**70**	**87**

Notable observations:

- Canals' reduction in relative-hire reviews can be attributed to fewer seasonal hires in both the navigation and maintenance seasons due to COVID reductions in work. Post-employment reviews decreased with the addition of full-time staff replacing temporary returning retirees filling vacant positions in the Canals' management team.
- The conflicts of interest category included 13 reviews related to NYPA business partners, vendors, contractors and consultants having access to confidential, non-public and/or proprietary information relating to NYPA, Canals and/or business partners. Implementation of the Strategic Supply Management Conflict of Interest (SSM COI) Disclosure form introduced in July 2020 resulted in these notifications of potential COI's related to the procurement process (discussed in further detail below).
- The post-employment category includes 32 NYPA returning retirees serving in various functions for up to a one-year term of service. 15 new employees requested guidance related to the "reverse 2-year bar" interpretation of the NYS Public Officers Law which restricts their appearance before their former private sector employer for a period of up to two years. Many of those requests came from employees who had been consultants working on NYPA projects and later hired as full-time NYPA or Canals employees. This category increased by 25% in calendar year 2020 as NYPA sought the return of experienced retirees to supplement its workforce during COVID sequestration work protocols.

- Outside activities consist of various uncompensated, volunteer and appointed/elected positions. Of the 47 outside activities reviewed, 22 were related to employees' professions or work duties and include serving on local professional engineering chapters and industry related committees/subcommittees such as EPRI. In these instances, NYPA/Canals' interests and mission align with the outside activities and the employee may engage in the activity during the regular course of their work.

  This category previously included reviews of Paid Volunteer Time (PVT), with six approved requests prior to NYPA/Canals' COVID response. PVT was suspended to reduce instances where employees may be engaging in public activities during the pandemic. The program is currently under review by the Human Resources department as part of the Total Rewards program and will not be tracked by the E&C Office in future reports.

- The unwarranted privilege category includes requests for the use of NYPA/Canals' logos and names on printed materials, references for individuals and/or business partners, requests to opine on acceptable joint press releases, websites and joint research projects with third party organizations and business partners, requests for use of NYPA's video and printed materials by business partners and civic organizations.

Employee Concerns Line

The Employee Concerns Line received seven cases through its web-based reporting platform and an additional fifteen allegations were received through various anonymous and direct-contact mechanisms in 2020. Each concern was triaged and assigned to the appropriate departments and teams for review. Of the twenty-two (22) reported allegations, seven included COVID-19 considerations.

Enterprise Initiatives--Committees and Working Groups

- Internal Controls Committee
- Enterprise Resilience Committee
- Non-NYPA Personnel Working Group/Third Party Risk Mitigation
- Fraud Risk Assessment Working Group
- SECURE Committee (Cyber/Physical Security)
- Strategic Supply Management (SSM)
- Insider Threat Working Group
- Environmental, Social and Governance (ESG) Plan/Report and Sustainability Advisory Council

The Non-NYPA Personnel working group identified three emergent risks related to consultants and contingent workers. To mitigate these risks, the working group will be initiating its roll out of the enhanced HireWorks contingent worker/consultant tracking system. This tool was designed by NYPA staff to manage third parties who regularly work alongside employees, provide staff augmentation services and professional consulting services.

The first internal control to be socialized during Q2 will clearly identify non-NYPA personnel in our email system. Contingent workers will be identified as such in their signature blocks, and any business partner granted access to NYPA systems will have their company names attached to their signature blocks. Doing so will re-enforce the understanding that employees must consider the nature of the information they share with these third parties.

The HireWorks tool and contingent worker program was audited in Q1 of 2021. Internal Audit will conduct a review of the consultant population and how it is managed in Q2 2021. Recommendations and agreed-upon action items from these audits will inform the next steps of this working group. Preliminary findings indicate a need to export this tool to Canals for its contingent worker and consultant populations. A demonstration of the HireWorks tool was requested and provided to the New York State Energy Research and Development Authority. It is keenly interested in replicating portions of the tool to manage its third-party population.

Strategic Supply Management (SSM)---Conflict of Interest (COI) Disclosure Form

As noted above, SSM and the E&C Office collaborated and introduced a Conflict of Interest Disclosure (COI) form for all participants in the competitive procurement bid evaluation process, including contingent workers, consultants and various business partners. Prior to participation on a bid evaluation team, each team member must complete a COI form disclosing any personal or professional conflicts that might raise the appearance of impropriety or be deemed an impermissible conflict of interest. Non-NYPA personnel and business partners serving on evaluation committees must adhere to the following:

- complete a conflict of interest disclosure form.
- certify that an organizational conflict of interest review has been completed by their employers.
- disclosure forms will become part of the procurement record and can be used to disqualify participants and during contract termination proceedings.
- consultants may only provide technical guidance, they may not participate in vendor selection, evaluate, rank, score or otherwise recommend bidder proposals for contract awards.
- contingent workers should not be provided full access to the bid proposals. This is particularly important in mini-bid scenarios in which a Request For Proposals is released to companies serving under a multi-year master services or value contract agreement. These firms are regularly competing against each other for opportunities limited to a select group of firms and for multi-phased projects.

This new requirement was socialized across the SSM environment through live training sessions. 13 disclosures have been made since July 2020, resulting in various guidance including disallowing participation in all or portions of the bid evaluation process.

In an effort to replicate this internal control for Procurement credit card holders, an electronic, Sharepoint based system was developed and which will prompt them to certify that they have used their company issued credit card within the policy guidelines.

Financial Disclosure

The annual NYS Joint Commission on Public Ethics (JCOPE) Financial Disclosure Statement ("FDS") preparation period closed on February 28, 2021.

Filer Type	NYPA	Canal Corporation
Threshold & Over	589	8
Exempt	224	0
Policy Maker	228	16
Total	1041	24

FDS filing reminders will be emailed to all FDS participants, including Trustees and external board members (i.e., EDPAB, NNYPPAB, WNYPPAB). It is anticipated that FDS submissions will be due at JCOPE by May 17, 2021. Countdown clocks will be posted on NYPA and Canals' intranet homepages as reminders concerning the filing deadline.

The E&C Office's internal PowerNet page details the FDS program to assist participants with a centralized information resource. The site includes helpful instructions on managing the entire Financial Disclosure Statement process from establishing an online account to seeking an individual exemption.

Training and Outreach

The E&C Office delivered multiple mandatory JCOPE comprehensive ethics training and targeted supplemental outreach programs (i.e., Project Sunlight) via the TEAMs virtual meeting environment. The JCOPE training is required of participants in the annual Financial Disclosure Statement program and must be delivered in a live, interactive setting. Delivery has been well-received and two-way communications are managed by use of the chat function. We trained 303 employees and board members since August 2020 and have issued certificates for 1.5 hours of continuing professional education to 75 NYPA and Canals' employees for Professional Engineer accreditation.

The E&C Office forwarded a JCOPE reminder notice to all employees regarding political activities in the workplace. The decision to widely distribute this directive was the result of several political signs being displayed in the workplace. Subsequently, several concerns have been received related to the "Sustainability U" training being delivered to all employees, which includes discussion of New York State environmental goals and policies. A clear distinction can be made between individual employees advocating for political candidates and statewide initiatives undertaken by the Executive Branch of government or its agencies. Coincidental alignment of goals and mission in this latter instance is not deemed to be supportive of any individual political ideology.

Compliance Reporting

The E&C Office is collaborating with the Controller's Office and multiple stakeholders to ensure the accurate and timely preparation and submission of reports required by the NYS Public Authorities Law. This effort includes coordination of mandatory NYPA and Canals' website postings and entries into the Public Authorities Reporting Information System. NYPA and Canals are on track to achieve all required filings, postings and submission at the conclusion of the annual March NYPA Trustees and Canals Board of Directors meeting. These reports comprise a comprehensive view into NYPA and Canals' finances, governance, organizational structure, operations and strategy. These and other mandatory reporting and training requirements are captured in NYPA's electronic Compliance Repository. It is anticipated that they will be entered into the Governance, Risk and Compliance tool and mapped to identified internal controls and organizational risks.

The E&C Office actively participated in the preparation of the inaugural enterprise Sustainability Plan and Report, while leading the Regulatory Management & Compliance team. This effort involved a cross-functional collaboration with various stakeholders, including Environmental Health & Safety, Government & Regulatory Affairs, Internal Business Controls and Reliability Standards Compliance. Among other objectives, this initiative demonstrated

NYPA's commitment to regulatory compliance and validated its governance, internal controls and processes to sustain a robust compliance program and reputation.

Environmental, Health and Safety Compliance Audit Program

Internal Audit completed development of the 2021 EH&S Compliance Audit Plan, and program procedures are in progress. Internal Audit applied its risk assessment process to create the 2021 EH&S Compliance Audit Plan and expanded the program scope to not only cover NYPA sites, it will also cover Canals' sites and construction sites as well. The EH&S Compliance Audit Plan was reviewed with the EH&S Sub-Committee (representatives from EH&S, Law Department, Ethics & Compliance and Utility Operations) on 3/2/21, and they agreed to the plan. It contains four EH&S audits, which include audits at the Blenheim-Gilboa site, Zeltmann site, the Canals' Waterford site and the SMART PATH construction site. In addition, the renewal of the five-year third-party EH&S contract has been finalized and will be presented to the Board in consent agenda at the March 30 annual Trustees meeting.

TECHNICAL COMPLIANCE

RELIABILITY STANDARDS COMPLIANCE (RSC)

BACKGROUND

Background information related to the origin of the North American Electric Reliability Corporation (NERC) mandatory standards for reliability and NYPA's obligations to demonstrate compliance with the standards has been presented in previous reports to the Governance Committee.

DISCUSSION

In December 2020, NPCC provided an evaluation of NYPA's Internal Compliance Program (ICP). The report identified areas in which NYPA's ICP documentation has shown "better practice elements and identified minimal areas of improvement. NYPA's score of 1.88 is the highest in the northeast (tied with one other registered entity). The average score in the NPCC region is 1.42.

NPCC is also updating its Inherent Risk Assessment (IRA) for NYPA. The IRA is a risk-based approach to determine the appropriate compliance monitoring methods, frequency, and scope for compliance to the NERC Reliability standards and requirements. RSC is collaborating with SMEs to complete the IRA worksheet prior to the March 2021 due date.

NERC Reliability Standards Compliance Enforcement Actions

During the reporting period, there were five (5) new potential noncompliance concerns of the NERC Reliability Standards reported to the Northeast Power Coordinating Council (NPCC).

1. CIP-003-8 Cyber Security — Security Management Controls - Requirement 2 requires NYPA to implement one or more documented cyber security plan(s) for its

low impact BES Cyber Systems. This concern took place at the NYPA-owned transmission substation in Garden City (4HG East Garden City), New York, which is currently maintained and operated by PSEG-LI. NYPA and PSEG-LI have a written agreement, in which PSEG-LI performs all maintenance and operational functions for this substation, with NYPA responsible for compliance to the NERC Standards.

2. PRC-006-NPCC-2 Automatic Underfrequency Load Shedding - Requirement 3 requires NYPA to implement an automatic Underfrequency Load Shedding (UFLS) program, reflecting normal operating conditions, excluding outages. St. Lawrence Operations discovered that the primary and secondary relays that operate the UFLS schemes were both in the "OFF" position, fully disabling the automatic UFLS.

3. CIP-007-6 Cyber Security — System Security Management - Requirement 2 requires NYPA to apply patches, within 35 calendar days of the evaluation completion. NYPA must take one of the following actions: (1) Apply the applicable patches; or (2) Create a dated mitigation plan; or (3) Revise an existing mitigation plan.

4. CIP-013-1 Cyber Security - Supply Chain Risk Management - Requirement 2 requires NYPA to implement its CIP Supply Chain program. NYPA's risk management plan did not provide an alternative method to ensure that requirements are properly addressed.

These potential noncompliance concerns were determined to be of minimal impact to the Bulk Electric System (BES). As such, RSC reported these to NPCC under the self-logging process and confirmed by NPCC. These minimal impact violations were processed as Compliance Exceptions and did not result in any penalties.

1. PRC-023 - Transmission Relay Loadability - Requirement 1 requires NYPA to prevent its phase protective relay settings from limiting transmission system loadability, while maintaining reliable protection of the BES for all fault conditions. Requirement 4 requires NYPA to provide the NYISO with an updated list of circuits associated with those transmission line relays that apply to Requirement R1 criterion 2, at least once each calendar year, with no more than 15 months between reports.

This potential noncompliance concern was determined to be of moderate impact to the Bulk Electric System (BES). As such, RSC reported this to NPCC under the self-report process and confirmed by NPCC. All mitigation activities have been completed to prevent recurrence of noncompliance.

Investigations of Potential Noncompliance

During the reporting period, RSC reviewed nine (9) investigations of potential noncompliance of the NERC Reliability Standards. Five (5) investigations resulted in a determination of potential noncompliance and submitted to NPCC as described above. Three (3) investigations resulted in a determination of no potential noncompliance of any NERC Standard and one (1) investigation is under review and pending a final determination.

This internal process is viewed by the regulator as evidence that NYPA has a strong internal compliance program.

Critical Infrastructure Protection (CIP) and Operations & Planning (O&P) Audit Preparation

NYPA is scheduled for an onsite O&P and CIP audit in 2021. The tentative date for these regulatory audits, which are conducted by NPCC, is scheduled for September 20 – 24, 2021. In an effort to ensure a successful outcome, RSC with the support of Operations Senior Management is executing audit readiness efforts. Specific discussion and review sessions are being scheduled with respective departments beginning January 2021 to focus on the key program areas that are likely to be in-scope. RSC will rely on support from various Compliance Evidence Managers, subject matter experts and site staff.

NERC Alerts

NERC disseminates information that it deems critical to ensuring the reliability of the bulk power system via “alerts” designed to provide concise, actionable information to the electric industry. During the reporting period, there were three (3) NERC alerts sent to industry.

In late December 2020, a NERC Recommendation to Industry regarding Supply Chain Compromises by Advanced Persistent Threat Actor was issued to assess the risk to BPS reliability and identify next steps due to compromises by an advanced persistent threat actor. In early January, RSC submitted a report to NERC on the status of our activities in relation to this recommendation.

In mid-January 2021, NERC is issued an advisory to recommend that all registered entities review the Prohibition Order to assess risk to their organization and customers. The Department of Energy issued a Prohibition Order that prohibits the acquisition, importation, transfer, or installation of specified BPS electricity equipment that directly serves Critical Defense Facilities (CDFs), pursuant to Executive Order (EO) 13920, “Securing the United States Bulk-Power System”. A response to NERC was not necessary.

In early March 2021, NERC issued an advisory to the active exploitation of vulnerabilities impacting on-premise installations of Microsoft Exchange Server. In addition, NERC strongly advises registered entities to review the information contained in the CISA directive and Microsoft advisories, apply requisite patches as soon as possible and report any attempts to exploit the vulnerabilities along with indicators of compromise.

Risk-Based Evidence Management Program

RSC implements a Risk-Based Evidence Management Program for identifying areas of risk and appropriate frequency for evaluation of and compliance evidence updates for the NERC Reliability Standards applicable to NYPA. This process ensures that NYPA’s compliance program aligns with NERC’s risk-based Compliance Monitoring and Enforcement Program and the NPCC guided self-certification process. In 2021, RSC will review and update the evidence for seventeen (17) NERC Reliability Standards that are applicable to NYPA’s NERC registrations. To date, the evidence for eight (8) NERC Reliability Standards that are applicable to NYPA’s NERC registrations are under review and pending a final determination.

Self-Certification of Compliance

NYPA as an NPCC Full Member Functional Entity, in February 2021, submitted a Self-Certification of Compliance with NPCC Regional Reliability Directory #11 Disturbance Monitoring Equipment Criteria R1, R3 and R6. RSC determined that NYPA is not in compliance with NPCC Directory #11 for the self-certification period. Protection & Control and RSC are collaborating to develop mitigating activities that will prevent recurrence of noncompliance with NPCC Directory.

NERC Operations and Planning (O&P) Standards

Due to our expanding transmission portfolio and NYPA's desire to participate in public/private transmission development projects to meet NYPSC goals in coming years, RSC is coordinating a cross functional group that will look at the detailed aspects of Transmission Operator (TOP) functional responsibilities and compliance obligations. The TOP Task Force (TOPTF) will conduct a gap analysis for registering as a TOP and evaluate potential options to streamline 'monitoring and control' of NYPA transmission assets from its control rooms. The TOPTF will come up with a detailed game plan on next steps.

During this reporting period NYPA participated in NERC and industry discussions on new/revised regulation:

a) PRC-005: inclusion of control system based protective functions and non-battery based dc supply
b) Cold weather preparedness which includes expanding applicability of the GO to have a cold weather preparedness plan that includes freeze protection measures, maintenance, awareness of unit capabilities and training.
c) FERC NOPR (Docket No. RM20-16-000) on usage of Dynamic Line ratings and ambient adjusted ratings for grid operations
d) NPCC DER Forum, which hopes to identify reliability challenges and opportunities regarding the proliferation of Distributed Energy Resources (DER).
e) FERC NOI (Docket No. RM20-12-000) on Potential Enhancements to the CIP Reliability Standards
f) FERC NOPR (Docket No. RM21-3-000) on Incentives for Cybersecurity Investments by Public Utilities

As part of NYPA's NERC registered function, three (3) O&P Standards [PER-006-1, PRC-012-2 and PRC-027-1] became enforceable or will become enforceable by April 1, 2021. RSC is working with NYPA business stakeholders to develop internal controls to ensure compliance for these newly enforceable Standards.

RSC is coordinating with Protection & Control group to establish periodic compliance check-in, governance/internal controls development and enforcement to ensure NERC compliance within the NERC Protection and Control (PRC) Standards.

As RSC strives to continuously improve NYPA's internal processes and reinforce understanding amongst staff, there are enhancements related to Transmission Planning governance that are being addressed. As part of Risk-Based evidence reviews conducted by RSC, it has been observed that internal controls such as Procedures and Support Documents around NYPA Transmission Planning's role in some key technical areas can be matured. RSC is collaborating with Transmission Planning to enhance existing internal controls and ensure compliance with existing and future enforceable NERC Transmission Planning Standards.

RSC is also collaborating with Operations Portfolio Management group to better integrate compliance activities associated with new projects into its Utility Operations Project Portfolio (UOPP) process. This includes finalization of the site turnover checklist.

NERC Critical Infrastructure Protection (CIP) Standards

As part of NYPA's NERC registered function, four (4) CIP Standard [CIP-005-6, CIP-008-6, CIP-010-3 and CIP-013-1] became enforceable in this reporting period. RSC is working with NYPA business stakeholders to develop internal controls to ensure compliance for these newly enforceable Standards.

The CIP-013 Supply Chain Risk Management Program was reviewed to ensure that all requirements are addressed. RSC staff will continue to work with stakeholders to monitor transactions, focus on training and change management, and conduct an independent review of evidence generated by the new processes.

RSC is coordinating with Cyber Security and Operations Technology to comment on CIP standards that do not specifically address virtualization. Due to the increasing use of virtualization in industrial control system environments, questions around treatment of virtualization within the CIP Standards are due for consideration.

RSC continues to initiate internal discussions on the new CIP-012 reliability standards with stakeholders. CIP-012-1 Cyber Security Control Center Communication Networks is intended to protect confidentiality and integrity of data transmitted between Control Centers required for reliable operation of the Bulk Electric System (BES).

QUALITY ASSURANCE

With travel restrictions imposed due to COVID, QA has utilized a combination of 3rd party local inspectors, remote/virtual inspections, and requirements for additional documentation to substitute for in person inspections and witnessing of testing. Although not equal to being onsite, using the alternative options QA has continued to provide oversight of critical Generation & Transmission equipment procurements and work activities.

A full-time provisional employee has been hired at the Niagara facility to provide Quality oversight of critical work with the ongoing LPGP LEM project and the upcoming Next Gen Niagara project.

CODE COMPLIANCE

Code Compliance is completing an update of the Code Program for NYPA/Canals which is expected to be rolled out in 2021Q1. It will continue to be a single program for both entities that has taken the needs of both into consideration. There has been a continued emphasis of compliance in Canals that continues to improve.

Annual Safety Inspections - In 2020 NYPA established a new Level 2 KPI to track the number of NYPA buildings that had completed their annual fire safety inspections and abated any violations with an end of year target of 90%. The final actual measure attained for NYPA

was 80%. The Code group has made adjustments to the program, and emphasized targets for 2021, to assist sites in reaching the 90% target in 2021.

Starting in 2021 a new identical level 2 KPI has been developed for Canals with the same 90% target. Although not formally a KPI in 2020, Canals was tracked in 2020 with a final actual result of 92%.

Inspection Test and Maintenance (ITM) pilot program was started at CEC in the Fall of 2020 and is nearing completion. Once final data is supplied by site, a gap analysis report will be prepared with plans on expanding the program to all NYPA sites.

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Memorandum

Date: **March 30, 2021**

To: **THE GOVERNANCE COMMITTEE**

From: **THE VICE PRESIDENT – PROCUREMENT**

Subject: **Procurement and Related Reports for New York Power Authority and Canal Corporation (January – December 2020)**

SUMMARY

This memorandum is to advise the Governance Committee of certain 2020 Strategic Supply Management Department procurement and related reports for NYPA and, where appropriate and applicable the Canal Corporation, including: procurement contract activity; disposal of personal property; Supplier Diversity Program activities; plant inventory statistics; fossil fuels activities conducted by the Fuel Planning and Operations Group; and corporate finance activities conducted by the Treasury Group.

BACKGROUND

Pursuant to Subsection C.5 of the Authority's Governance Committee Charter relating to Reports, the Vice President – Strategic Supply Management is required to report to the Committee at all regularly scheduled meetings and the Committee has the authority to require Procurement and other staff to prepare additional reports and to produce documents for Committee review.

The reported activities are governed by various State laws and regulations and are set forth in the attached Reports.

DISCUSSION

As more fully described in the individual reports attached hereto as NYPA Exhibits A - G, and Canal Corporation Exhibits H - I, the Procurement Contract Report summarizes activity for procurements of $5,000 or greater that were active during the period January through December 2020, as identified by the Authority's SAP Enterprise Resource Planning ("ERP") system. The Disposal of Personal Property Report lists all personal property disposal transactions over $5,000 conducted during the period January through December 2020. The Supplier Diversity Program Activity Report summarizes dollars awarded to New York State-certified Minority and Women-owned Business Enterprises ("MWBEs") as well as to Service-Disabled Veteran-Owned Businesses ("SDVOBs") based on reportable expenditures. Please note that the MWBE and SDVOB compliance and reportable expenditure values were generated for internal tracking purposes based on NYPA's calendar year reporting, and may not be in alignment with approved NYS fiscal year measures. The Plant Inventory Analysis lists current stock value and compares it to that of the previous year, with a brief explanation for any significant increase or decrease, where applicable. The Fossil Fuels and Corporate Finance Reports list the fuel- and finance-related transactions conducted by the Fuel Planning and Operations and Treasury work groups, respectively. The Transfer of Interest in Personal Property to Canal Corporation report identifies personal property transferred from the Authority

to Canal Corporation deemed prudent by the Contracting Officer to facilitate the Canal Corporation's obligations to operate, maintain, construct, reconstruct, improve and develop the canal system.

FISCAL INFORMATION

There will be no financial impact on the Authority or the Canal Corporation.

RECOMMENDATION

The Governance Committee is requested to review and approve the Procurement, Fossil Fuels and Corporate Finance Reports (attached hereto as NYPA Exhibits A - G, and Canal Corporation Exhibits H - I).

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John L. Canale
Vice President – Strategic Supply Management

LIST OF EXHIBITS

Exhibit A -	NYPA Procurement Contracts Summary	(NYPA transactions)
Exhibit B -	Disposal of Personal Property	(NYPA transactions)
Exhibit C -	Supplier Diversity Program (SDP)	(includes Canal Corp)
Exhibit D -	Inventory Statistics	(includes Canal Corp)
Exhibit E -	Fossil Fuels Activity	(NYPA transactions)
Exhibit F -	Corporate Finance Activity	(NYPA transactions)
Exhibit G -	Transfer of Interest in Personal Property to Canal Corporation	(includes Canal Corp)
Exhibit H -	Canal Corporation Procurement Contracts Summary	(Canal transactions)
Exhibit I -	Canal Corporation Disposal of Personal Property	(Canal transactions)

Exhibit A
March 30, 2021

NYPA PROCUREMENT CONTRACTS SUMMARY
January - December 2020

In accordance with the NYPA Guidelines for Procurement Contracts, "procurement contracts" are contracts for the acquisition of goods and/or services in the actual or estimated amount of $5,000 or more. Such goods and/or services are those necessary to support the Authority's White Plains office, facilities (including Canal Corporation), operations and maintenance and capital projects, including but not limited to, goods and commodities, major electrical equipment, construction, maintenance work and other services.

The following is a summary of all procurement contracts including multi-year contracts awarded through December 31, 2020. These contracts have been active during 2020 and are $5,000 or greater in value. There were 2,377 such contracts with an estimated value of more than $7.2 billion, not including fossil fuel or corporate finance expenditures covered in Sections 5b i-E and 5b i-F of this report, respectively. Total procurement expenditures in 2020 exceeded $689 million.

The following is a breakdown of the total number of active contracts, excluding fossil fuel and corporate finance contracts, by contract type:

- 8% Construction services;
- 35% Equipment and Commodities;
- 5% IT Hardware and Software;
- 5% Architectural and Engineering services;
- 19% Personal Service contracts such as professional consulting services, legal; and
- 28% Non-Personal Service contracts such as maintenance, technicians, and contingent workforce

Based on the total value of the contracts included in this summary ($7.2 billion), approximately 99.16% ($7.1 billion) was competitively bid and 0.8% ($61 million) were sole/single-source awards, which included over $1.9 million in Minority- and Women-owned Business Enterprises (MWBEs), Service-Disabled Veteran-Owned Businesses (SDVOBs) and NYS Small Businesses contract awards. Sole/single-source awards also included, but were not limited to, the purchase of highly specialized spare parts and services from original equipment manufacturers, procurement of services on an emergency basis and proprietary sources.

POWER AUTHORITY OF THE STATE OF NEW YORK
2020 ANNUAL REPORT OF DISPOSAL OF PERSONAL PROPERTY OVER $5,000

DESCRIPTION	PURCHASER	SALE PRICE	PRICE RECEIVED by the Authority
LARGE QTY OF ELECTRICAL EQUIPMENT & HARDWARE	BBCC Electric Philip Binkiwitz	$ 11,100.00	$ 11,100.00
	SUBTOTAL:	$ 11,100.00	$ 11,100.00

POWER AUTHORITY OF THE STATE OF NEW YORK

2020 ANNUAL REPORT OF DISPOSAL OF PERSONAL PROPERTY OVER $5,000

FLEET OPERATIONS

DESCRIPTION	PURCHASER	SALE PRICE	Transportation and Other Fees	PRICE RECEIVED by the Authority
2006 INTERNATIONAL 5600i	Village Truck Sales INC	$ 21,000.00	$ 100.00	$ 20,900.00
2007 CAMOPLAST TROOPER	SG Wilson Truck & Equipment Co LLC	$ 35,000.00	$ 100.00	$ 34,900.00
2007 INTERNATIONAL 9900i	Westwind Ag LLC	$ 17,500.00	$ 100.00	$ 17,400.00
2007 INTERNATIONAL 9900i	Maybury Trucking Co LLC	$ 35,500.00	$ 100.00	$ 35,400.00
2007 TALBERT LOWBOY TRAILER	Tiernan Farms	$ 18,000.00	$ 100.00	$ 17,900.00
2007 tor bc-8680 BRONTO SI 178 HDT	2141965 Ontario INC	$107,000.00	$ 100.00	$106,900.00
2008 FORD E350	Moores Auto Mart	$ 7,000.00	$ 100.00	$ 6,900.00
2008 FORD E350	Gregory Croniser	$ 12,500.00	$ 100.00	$ 12,400.00
2008 FORD E350	Stephen Stasko	$ 13,500.00	$ 100.00	$ 13,400.00
2008 FORD F350	Upstate Reo LLC	$ 7,000.00	$ 100.00	$ 6,900.00
2008 INTERNATIONAL 5600i	SG Wilson Truck & Equipment Co LLC	$ 22,000.00	$ 100.00	$ 21,900.00
2008 INTERNATIONAL 5600i	Tucker Backyard Polls & Spas INC	$ 22,000.00	$ 100.00	$ 21,900.00
2008 INTERNATIONAL 5600i	JRD LLC	$ 26,000.00	$ 100.00	$ 25,900.00
2008 INTERNATIONAL 5600i	SG Wilson Truck & Equipment Co LLC	$ 28,500.00	$ 100.00	$ 28,400.00
2008 INTERNATIONAL 5600i	Village Truck Sales INC	$ 37,000.00	$ 100.00	$ 36,900.00
2008 INTERNATIONAL 7500	Rodney Medlicott	$ 18,000.00	$ 100.00	$ 17,900.00
2009 CHEVROLET K2500	Raymond Escorza	$ 9,000.00	$ 100.00	$ 8,900.00
2010 CHEVROLET IMPALA	Upstate Auto Sales INC	$ 5,500.00	$ 100.00	$ 5,400.00
2010 DODGE GRAND CARAVAN	Upstate Auto Sales INC	$ 5,250.00	$ 100.00	$ 5,150.00
2010 FORD ESCAPE	JJ Kane Auctioneers LLC	$ 6,500.00	$ 100.00	$ 6,400.00
2010 FORD ESCAPE	Gregory Croniser	$ 6,000.00	$ 100.00	$ 5,900.00
2010 FORD ESCAPE	RR Motors LLC	$ 5,500.00	$ 100.00	$ 5,400.00
2011 CHEVROLET SUBURBAN	Music and Metal	$ 8,500.00	$ 100.00	$ 8,400.00
2011 FORD F150	RR Motors LLC	$ 9,000.00	$ 100.00	$ 8,900.00

POWER AUTHORITY OF THE STATE OF NEW YORK

2020 ANNUAL REPORT OF DISPOSAL OF PERSONAL PROPERTY OVER $5,000

FLEET OPERATIONS (CONTINUED)

DESCRIPTION	PURCHASER	SALE PRICE	Transportation and Other Fees	PRICE RECEIVED by the Authority
2012 FORD ESCAPE	Upstate Auto Sales INC	$ 5,250.00	$ 100.00	$ 5,150.00
2012 FORD F350	Darren Julin	$ 9,500.00	$ 100.00	$ 9,400.00
2012 FORD F250	Gilbert Bishop	$ 19,500.00	$ 100.00	$ 19,400.00
2015 CHEVROLET TAHOE	Supply Wagon Rentals LLC	$ 14,000.00	$ 100.00	$ 13,900.00
3-5 YARD UNMOUNTED DUMP BODY	Daniel Carvalho	$ 7,250.00	$ 100.00	$ 7,150.00
	FLEET SUBTOTAL:	$ 538,250.00	$ 2,900.00	$ 535,350.00
	+ SUBTOTAL Page 1:	$ 11,100.00	--	$ 11,100.00
	GRAND TOTAL:	$ 549,360.00	$ 2,900.00	$ 546,450.00

Exhibit C

March 30, 2021

SUPPLIER DIVERSITY PROGRAM (SDP)

January – December 2020

From January 1, 2020 to December 31, 2020 the Authority and the Canal Corporation expended $113.1 million, or 21.29%, of its reportable expenditures to New York State-certified Minority-Women-owned Business Entities ("MWBEs"). This includes direct contracts and subcontracts, as well as construction and energy efficiency-related work. Additionally, Treasury transactions with NYS-certified MWBE financial dealers for the same period resulted in $434.5 million, or 21.4%, in principal sales and purchases for the Authority.

Service-Disabled Veteran-Owned Business ("SDVOB") utilization for the period January 1, 2020 to December 31, 2020 was approximately $4.48 million, or 62.6%, of designated spend. Additionally, SDVOB financial dealers transacted over $241.4 million, or 11.9%, in principal sales and purchases during the same period.

The Authority's 2020-2021 MWBE goal was 23%, this goal is based on New York State's Fiscal Year. The first quarter of 2020 MWBE utilization started strong with 18%, but unfortunately the COVID-19 pandemic began its surge across the country and impacted our 2020 2nd quarter utilization numbers. However, the numbers increased in the 3rd and 4th quarters after work resumed and the year ended in good stead considering the restrictions of the ongoing pandemic and the impact to our customers and suppliers. The 4th quarter ended at its highest MWBE compliance to date of 34.34%.

Although there were limitations for in-person events, we took advantage of Teams and WebEx to present Virtual panel discussions and supplier events (i.e., IT, WNY, Reimagine the Canals). We partnered with Employee Resource Groups, and business units to host events that would not only provide suppliers information on current and upcoming NYPA/Canal procurement opportunities but would provide information on how to do business with the Authority (8 supplier webinars on nypa.gov).

December was an exceptional month for the Supplier Diversity Program, with the approval of the 11 Supplier Diversity Supply Chain DEI Initiatives by the Trustees at the December Meeting, to the New York, New Jersey National Minority Business Council Award for Local Corporation and the Manager of Supplier Diversity receiving the NYS Empire State MWBE Award at the December MWBE Forum, all showed the commitment of the entire staff to making the Program a success.

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Please note that the rates and values in this summary were generated for internal tracking purposes based on NYPA's calendar year reporting and may not be in alignment with approved NYS fiscal year measures.

INVENTORY STATISTICS
December 31, 2020

Exhibit D
March 30, 2021

Facility	12/31/2020	12/31/2019	12/31/2018
Niagara	18,330,862	17,825,021	17,698,911
St. Lawrence	16,973,418 (A)	15,962,016	15,708,193
Poletti Project	12,932,538	12,502,743	12,046,010
Flynn Project	8,715,616	8,507,130	8,123,546
Blenheim-Gilboa	11,733,113 (B)	11,102,091 (C)	9,974,296
500 MW Project	29,189,557 (D)	28,155,117	27,664,839
Clark Energy Center	6,869,874	6,633,768	6,573,108
Canal Corporation	1,288,232	813,099	785,235
Total Stock Value	$ 106,033,210	$ 101,500,985	$ 98,574,138

(A) 2020 Includes $662K for STL net purchases of :

Stationary Rotor Rim Keys	$ 80K
Rotor Pole Keys	$525K
Fabric Dust/Surgical Masks	$ 57K

(B) 2020 Includes $663K for B-G net purchases of:

GMCB Covers, Contacts, Nozzles, O-rings	$126K
Mach Industrial Computers	$238K
ABB Arcing Chamber, Motor, HECS Kit, etc.	$123K
Hitachi Electrode	$176K

(C) 2019 Includes spare parts to support new BG substations' construction and operations.

(D) 2020 Include $598K for 500WM net purchases of:

GE Actuators	$217K
GE Actuators	$176K
Rotor Part, 1st Stage	$ 77K
Dust KN95 Masks	$ 37K
GE Mark VIE Modules, Strip Terminals, Switch	$ 91K

POWER AUTHORITY OF THE STATE OF NEW YORK
ANNUAL REPORT OF PROCUREMENT CONTRACTS
REQUIRED BY N.Y. PUBLIC AUTHORITIES LAW, SECTION 2879

CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O \ C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
FD-1990-33	Northville Industries Corp. NIC 25 Melville Park Road Melville NY 117470398	Oil Storage Agreement	E	1		N	N		$17,155,228	$17,155,228	$598,700	$0	04/01/94	O	3/31/2024	
FD-1990-34	Northville Industries Corp. NIC 25 Melville Park Road Melville NY 117470398	Oil Storage Agreement	E	1		N	N		$5,096,325	$5,096,325	$152,419	$0	10/01/93	O	3/31/2024	
FD-2002-11	PSEG EnergyResourcesTrade 80 Park Plaza Floor T-19 Newark NJ 07102	NAESB Agreement for Natural Gas	E	B		F	N	32	$11,017,721	$11,017,721	$0	$0	11/01/02	O	*	
FD-2003-09	J. Aron and Company 85 Broad Street New York NY 10004	NAESB Agreement for Natural Gas	E	B		N	N	32	$83,241,402	$83,241,402	$0	$0	04/22/03	O	*	
FD-2003-10	BP Energy Company 201 Helios Way Houston TX 77079	NAESB Agreement for Natural Gas	E	B		F	N	32	$221,828,649	$221,828,649	$0	$0	10/01/04	O	*	
FD-2003-12	Exelon Generation Company, LLC 1310 Point Street Baltimore MD 21231	NAESB Agreement for Natural Gas	E	B		F	N	32	$69,252,906	$69,252,906	$1,014,858	$0	06/09/03	O	*	
FD-2003-13	Merrill Lynch Commodities, Inc. 20 East Greenway Plaza Houston TX 77046	NAESB Agreement for Natural Gas	E	B		F	N	32	$2,538,965	$2,538,965	$0	$0	11/01/03	O	*	
FD-2003-14	Colonial Energy Inc. 3975 Fair Ridge Drive Fairfax VA 22033	NAESB Agreement for Natural Gas	E	B		F	N	32	$519,751,395	$519,751,395	$66,760	$0	07/01/03	O	*	
FD-2003-15	Virginia Power Energy Mktg P.O. Box 25773 Richmond VA 23260	NAESB Agreement for Natural Gas	E	B		F	N	32	$629,265,426	$629,265,426	$0	$0	07/11/03	O	*	
FD-2004-08	Shell Energy North America (US), L.P. 1000 Main Street Houston TX 77002	NAESB Agreement for Natural Gas	E	B		F	N	32	$85,198,833	$85,198,833	$1,006,406	$0	04/01/04	O	*	
FD-2005-12	NJR Energy Services Co 1415 Wyckoff Road Wall NJ 07719	NAESB Agreement for Natural Gas	E	B		F	N	32	$484,656,871	$484,656,871	$1,897,029	$0	09/01/05	O	*	
FD-2007-10	Eastern Generation, LLC 18-01 20th Avenue Astoria NY 11105	Oil Delivery Labor Fees	E	1		N	N		$60,771	$60,771	$0	$0	07/01/06	O	*	
FD-2008-05	Sequent Energy Mgmt LP 1200 Smith Street Houston TX 77002	NAESB Agreement for Natural Gas	E	B		F	N	32	$40,075,218	$40,075,218	$1,302,506	$0	03/01/08	O	*	
FD-2008-06	Macquarie Energy LLC 500 Dallas Street Houston TX 77002	NAESB Agreement for Natural Gas	E	B		F	N	32	$47,096,447	$47,096,447	$0	$0	07/01/08	O	*	
FD-2008-10	United Energy Trading, LLC 215 Union Boulevard Lakewood CO 80228	NAESB Agreement for Natural Gas	E	B		F	N	32	$159,002,299	$159,002,299	$0	$0	11/19/08	O	*	
FD-2009-07	Conoco Phillips Company 600 North Dairy Ashford Houston TX 77079	NAESB Agreement for Natural Gas	E	B		F	N	32	$46,185,567	$46,185,567	$391,551	$0	05/01/09	O	*	

CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O \ C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
FD-2009-08	NextEra Energy Power Marketing, LLC 700 Universe Blvd Juno Beach FL 33408	NAESB Agreement for Natural Gas	E	B		F	N	32	$15,895,253	$15,895,253	$68,576	$0	12/01/09	O	*	
FD-2010-02	ENSTOR Energy Services, LLC 20329 State Highway 249 Houston TX 77070	NAESB Agreement for Natural Gas	E	B		F	N	32	$37,442,338	$37,442,338	$0	$0	08/09/10	O	*	
FD-2011-06	EDF Trading North America, LLC 4700 West Sam Houston Houston TX 77041	NAESB Agreement for Natural Gas	E	B		F	N	32	$204,002,685	$204,002,685	$2,020,759	$0	06/01/11	O	*	
FD-2011-10	Tenaska Gas Storage, LLC 14302 FNB Parkway Omaha NE 68154	NAESB Agreement for Natural Gas	E	B		F	N	32	$1,251,315	$1,251,315	$0	$0	12/01/11	O	*	
FD-2011-11	Statoil Natural Gas, LLC 120 Long Ridge Road Stamford CT 06902	NAESB Agreement for Natural Gas	E	B		F	N	32	$18,684,302	$18,684,302	$0	$0	04/18/12	O	*	
FD-2012-02	Repsol Energy North America Corporation 2455 Technology Forest Rd The Woodlands TX 77381	NAESB Agreement for Natural Gas	E	B		F	N	32	$42,219,606	$42,219,606	$1,404,689	$0	11/13/12	O	*	
FD-2013-06	Chesapeake Energy Marketing, LLC P.O. Box 18496 Oklahoma City OK 73154-0496	NAESB Agreement for Natural Gas	E	B		F	N	32	$66,839,383	$66,839,383	$5,047,242	$0	05/28/13	O	*	
FD-2014-08	Spark Energy Gas, LLC 12140 Wickchester Lane Houston TX 77079	NAESB Agreement for Natural Gas	E	B		F	N	32	$361,374,088	$361,374,088	$16,206,978	$0	02/01/14	O	*	
FD-2014-12	EQT Energy, LLC 625 Liberty Ave Pittsburgh PA 15222-3111	NAESB Agreement for Natural Gas	E	B		F	N	32	$12,150,923	$12,150,923	$4,440,051	$0	05/01/14	O	*	
FD-2014-16	Pacific Summit Energy LLC 2010 Main Street Irvine CA 92614	NAESB Agreement for Natural Gas	E	B		F	N	32	$65,740,203	$65,740,203	$2,073,823	$0	08/11/14	O	*	
FD-2015-03	Cabot Oil & Gas Corporation 840 Gessner Road Houston TX 77024-4152	NAESB Agreement for Natural Gas	E	B		F	N	32	$2,439,304	$2,439,304	$0	$0	03/02/15	O	*	
FD-2015-05	DTE Energy Trading, Inc. 414 South Main Street Ann Arbor MI 48104	NAESB Agreement for Natural Gas	E	B		F	N	32	$89,927,998	$89,927,998	$17,905,435	$0	08/14/15	O	*	
FD-2015-07	Definite Energy Group 575 Lexington Ave New York NY 10022	NAESB Agreement for Natural Gas	E	B		N	N	32	$385,895	$385,895	$0	$0	10/01/15	O	*	
FD-2015-10	Direct Energy Business Marketing, LLC 194 Wood Ave South Iselin NJ 08830	NAESB Agreement for Natural Gas	E	B		F	N	32	$2,689,248	$2,689,248	$301,390	$0	12/14/15	O	*	
FD-2016-02	Astoria Energy II LLC 1710 Steinway Street Astoria NY 11105	AEII Demand Charges	E	1		N	N		$81,160	$81,160	$39,411	$0	05/01/16	O	*	
FD-2016-07	National Grid - LI 100 East Old Country Road Hicksville NY 11801	LDC Agreement (Flynn)	E	1		N	N		$3,941,754	$3,941,754	$1,603,532	$0	04/01/17	O	*	

CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O \ C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
FD-2018-09	Twin Eagle Resource Management LLC 8847 West Sam Houston Houston TX 77040	NAESB Agreement for Natural Gas	E	B		F	N	32	$191,201	$191,201	$191,201	$0	07/10/18	O	*	
FD-2018-13	Engie Energy Marketing NA, Inc. 1990 Post Oak Blvd Houston TX 77058	NAESB Agreement for Natural Gas	E	B		F	N	34	$8,870,037	$8,870,037	$2,034,026	$0	04/12/18	O	*	
FD-2018-19	Consolidated Edison Energy 100 Summit Lake Drive Valhalla NY 10595	NAESB Agreement for Natural Gas	E	B		F	N	32	$151,233	$151,233	$6,258	$0	02/19/19	O	*	
FD-2018-20	Freepoint Commodities LLC 58 Commerce Road Stamford CT 06902	NAESB Agreement for Natural Gas	E	B		F	N	32	$5,189,720	$5,189,720	$504,050	$0	06/28/18	O	*	
FD-2018-21	Penn Oak Services, LLC 1815 Sudbury Rd NW Washington DC 20012	NAESB Agreement for Natural Gas	E	B		F	N	32	$4,075,114	$4,075,114	$2,017,793	$0	07/19/18	O	*	
FD-2019-02	Castleton Commodities Mercant Trading LP 2200 Atlantic Street Stamford, CT 06902	NAESB Agreement for Natural Gas	E	B		F	N	32	$25,302,859	$25,302,859	$11,240,255	$0	02/08/19	O	*	
FD-2019-03	Spotlight Energy LLC 950 Echo Lane Houston TX77024	NAESB Agreement for Natural Gas	E	B		F	N	32	$5,857,213	$5,857,213	$1,595,083	$0	04/18/19	O	*	
FD-2019-04	National Grid - NY 1 Metrotech Centre Brooklyn NY 11201	LDC Agreement(G/K/P)	E	1		N	N		$2,172,690	$2,172,690	$877,060	$0	06/01/19	C		05/31/20
FD-2019-05	National Grid - LI 100 East Old Country Road Hicksville NY 11801	LDC Agreement (Brentwood)	E	1		N	N		$286,055	$286,055	$94,046	$0	06/01/19	C		05/31/20
FD-2019-06	Transco P.O. BOX 201371 Houston TX 77216	Firm Gas Transportation Agreement	E	1		F	N		$931,211	$931,211	$627,540	$0	06/01/19	O	05/31/21	
FD-2019-07	Con Edison 4 Irving Place New York NY 10003	LDC Agreement	E	1		N	N		$6,675,695	$6,675,695	$5,028,849	$0	07/01/19	O	06/30/22	
FD-2019-13	Saybolt LP P.O. Box 844640 Dallas TX 752844640	Oil Inspection Agreement	P	1		N	N		$7,988	$7,988	$7,988	$0	01/01/20	O	12/31/22	
FD-2020-01	Vitol 2925 Richmond Ave Houston, TX 77098	NAESB Agreement for Natural Gas	E	2		F	N		$7,622,547	$7,622,547	$7,622,547	$0	01/14/20	O	*	
FD-2020-02	Gunvor 600 Travis Street, Suite 6500 Houston, Texas 77702	NAESB Agreement for Natural Gas	E	2		F	N		$61,150	$61,150	$61,150	$0	03/02/20	O	*	
FD-2020-04	George E. Warren LLC 3001 Ocean Drive Suite 203 Vero Beach, Flo 32963	Oil Purchase	E	B		F	Y	2	$1,040,604	$1,040,604	$1,040,604	$0	04/24/20	C		
FD-2020-05	National Grid - NY 1 Metrotech Centre Brooklyn NY 11201	LDC Agreement(G/K/P)	E	1		N	N		$1,094,962	$1,094,962	$1,094,962	$0	06/01/20	O	05/31/21	

CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O \ C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
FD-2020-06	National Grid - LI 100 East Old Country Road Hicksville NY 11801	LDC Agreement (Brentwood/Pilgrim)	E	1		N	N		$26,258	$26,258	$26,258	$0	06/01/20	O	05/31/21	
FD-2020-08	AmSpec LLC 36 Mileed Way Avenel, NJ 07001	Oil Inspection Agreement	P	B		N	N	2	$2,100	$2,100	$2,100	$0	10/1/2020	O	12/31/2022	
FD-2020-09	Six One Commodities One Dock Street Suite 412 Stamford, CT 06902	NAESB Agreement for Natural Gas	E	2		F	N		$2,672,711	$2,672,711	$2,672,711	$0	10/22/20	O	*	
FD-2020-10	Diversified 601 West Crossville Road Roswell, Georgia 30075	NAESB Agreement for Natural Gas	E	2		F	Y		$3,125	$3,125	$3,125	$0	10/23/20	O	*	
		FUELS TOTALS							3,418,723,951	3,418,723,951	94,289,721	0				

NOTE:

* Contract continues until terminated by NYPA or Counterparty upon specified notice.

POWER AUTHORITY OF THE STATE OF NEW YORK
ANNUAL REPORT OF PROCUREMENT CONTRACTS
REQUIRED BY N.Y. PUBLIC AUTHORITIES LAW, SECTION 2879

PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O \ C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
Bank of New York (formely JPMorgan) 101 Barclay Street New York, NY 10286	Trustee/Paying Agent Services on Bonds	S	C	9	N			626,281	626,281	59,037	0	2/24/1998	O	*	
Bank of New York (formerly JPMorgan) 101 Barclay Street New York, NY 10286	Trustee- Commercial Paper	S	C	9	N			286,138	286,138	32,137	0	10/2/2006	O	*	
Barclays Capital (assigned from Lehman Bros.) ** 745 Seventh Avenue New York, NY 10019	Re-marketing Agent CP-1	S	C	9	N			2,137,302	2,137,302	82,547	0	7/14/1994	O	*	
Barclays Capital (assigned from Lehman Bros.) 745 Seventh Avenue New York, NY 10019	Re-marketing Agent CP-3	S	C	9	N			10,775	10,775	0	0	6/26/2008	O	*	
Citigroup 390 Greenwich Street New York, NY 10013	Re-marketing Agent CP-2	S	C	9	N			1,236,971	1,236,971	34,908	0	12/4/1997	O	*	
Goldman, Sachs & Co. 85 Broad Street New York, NY 10004-2456	Re-marketing Agent CP-2 and 3	S	C	9	N			1,236,140	1,236,140	45,784	0	12/4/1997	O	*	
Goldman, Sachs & Co. 85 Broad Street New York, NY 10004-2456	Re-marketing EMCP	S	C	9	N			957,005	957,005	4,507	0	3/4/2003	O	*	
JPMorgan Chase 270 Park Avenue New York, NY 10017-2070	Escrow Agent POCR/CASP & LMEI Funds	S	C	9	N			598,728	598,728	10,082	0	5/30/1996	O	*	
JPMorgan Chase 270 Park Avenue New York, NY 10017-2070	Re-marketing Agent CP-3	S	C	9	N			719,635	719,635	41,701	0	12/4/1997	O	*	
JPMorgan Chase 270 Park Avenue New York, NY 10017-2070	Re-marketing Agent CP-2	S	C	9	N			461,107	461,107	46,727	0	6/28/2001	O	*	
JPMorgan Chase 270 Park Avenue New York, NY 10017-2070	Revolving Line of Credit	S	C	9	N		2	14,378,686	14,378,686	2,585,020	0	1/19/2019	O	*	
JPMorgan Chase 270 Park Avenue New York, NY 10017-2070	Revolving Line of Credit	S	C	9	N		2	200,000	200,000	200,000	0	4/22/2020	O	4/21/2021	
Morgan Stanley 1221 Avenue of the Americas New York, NY 10020	Re-marketing Agent CP-1	S	C	8	N		7	517,518	517,518	7,087	0	3/31/2009	O	*	
Printer - ImageMaster 1182 Oak Valley Drive Ann Arbor, MI 48108	Financial Deal Roadshow hosting and printing	S	2	9	N			6,736	6,736	6,736	0	4/13/2020	C		5/13/2020

POWER AUTHORITY OF THE STATE OF NEW YORK
ANNUAL REPORT OF PROCUREMENT CONTRACTS
REQUIRED BY N.Y. PUBLIC AUTHORITIES LAW, SECTION 2879

PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O \ C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
Public Financial Management 1735 Market St 43rd floor Philadelphia, PA 19103	Capital Markets Financial Advisor	P	C	9	N		2	285,625	285,625	168,000	0	8/19/2019	C		12/31/2020
RBC Capital Markets ** 1211 Avenue of the Americas New York, NY 10036	Re-marketing Agent CP-1	S	C	9	N			909,376	909,376	47,174	0	7/14/1994	O	*	
	FINANCE TOTALS							24,568,023	24,568,023	3,371,447	0				

NOTES:

* Contract continues until terminated by NYPA or Counterparty upon specified notice

** Expense History only available from 1997

TRANSFER OF INTEREST IN PERSONAL PROPERTY FROM NYPA TO CANAL CORPORATION

January – December 2020

January – December 2020 Report of Transfer of Interest in Personal Property to Canal Corporation

Effective January 1, 2017, management and administration of the New York State Canal Corporation is an additional corporate purpose of the Authority. New York Public Authorities Law § 1005-b (2) authorizes the Authority to "transfer to the Canal Corporation any moneys, real, personal, or mixed property or any personnel in order to carry out the purposes of this section…" to the extent that the Authority's Trustees deem it feasible and advisable. Under Public Authorities Law Title 5-A Disposition of Property by Public Authorities, the Trustees annually designate a Contracting Officer as part of their approval of the Guidelines for the Disposal of New York Power Authority Personal Property.

The Trustees' authorized, on January 31, 2017, the Authority's personal property Contracting Officer to transfer any interest in Authority personal property to the Canal Corporation, as the Contracting Officer deems prudent after balancing the respective needs of the Authority and the Canal Corporation, will facilitate the Canal Corporation's obligations to operate, maintain, construct, reconstruct, improve and develop the canal system. The Contracting Officer will authorize the transfer of Authority personal property or any interest therein only at the request of Canal Corporation. The Contracting Officer will authorize the transfer to Canal Corporation any interest in Authority personal property, valued at up to $500,000 per transaction, in parity with the authorization level and signing authority set forth in the Guidelines for the Disposal of New York Power Authority Personal Property. Additionally, the Contracting Officer will report to the Trustees or committee thereof regarding such property transfers. To that end, the January to December 2020 Report of Transfer of Interest in Personal Property from NYPA and Canal Corporation less than $500,000 in value is attached.

Grand Total as of 12/31/20

As summarized on the attached Report, the January through June 2020 Grand Total "Value of Interest in Personal Property Transferred from NYPA and Canal Corporation" for all Personal Property less than or equal to $500,000 authorized by the Contracting Officer was $ 0.00.

POWER AUTHORITY OF THE STATE OF NEW YORK

JANUARY – DECEMBER 2020 REPORT OF TRANSFER OF INTEREST IN PERSONAL PROPERTY TO CANAL CORPORATION LESS THAN OR EQUAL TO $500,000

FLEET OPERATIONS

DESCRIPTION	VIN	UNIT #	TRANSFER DATE	Transfer Value Recorded by the Authority
**No sales or transfers				

SUBTOTAL:	**$**	**0.00**

POWER AUTHORITY OF THE STATE OF NEW YORK

JANUARY – DECEMBER 2020 REPORT OF TRANSFER OF INTEREST IN PERSONAL PROPERTY TO CANAL CORPORATION LESS THAN OR EQUAL TO $500,000

OTHER PERSONAL PROPERTY

DESCRIPTION	IDENTIFICATION NUMBER	TRANSFER DATE	Transfer Value Recorded by the Authority
**No sales or transfers			
	SUBTOTAL:		**$ 0.00**
	+ SUBTOTAL Page 1:		**$ 0.00**
	GRAND TOTAL:		**$ 0.00**

3/30/21

CANAL CORPORATION PROCUREMENT CONTRACTS SUMMARY
January - December 2020

In accordance with the Canals Guidelines for Procurement Contracts, "procurement contracts" are contracts for the acquisition of goods and/or services in the actual or estimated amount of $5,000 or more. Such goods and/or services are those necessary to support the Canal Corporation facilities including operations and maintenance and capital projects, including but not limited to, goods and commodities, construction, maintenance work and other services.

The following is a summary of all procurement contracts including multi-year contracts awarded through December 31, 2020. These contracts have been active during 2020 and are $5,000 or greater in value. There were 382 such contracts with an estimated value of $301 million. Total procurement expenditures in 2020 exceeded $60 million.

The following is a breakdown of the total number of active contracts:

- 8% Construction services;
- 52% Equipment and Commodities;
- 3% Architectural and Engineering services;
- 3% IT Hardware and Software;
- 12% Personal Service contracts such as professional consulting services; and
- 22% Non-Personal Service contracts such as maintenance, technicians, and contingent workforce

Based on the total value of the contracts included in this summary ($301 million), approximately 98.7% ($297 million) was competitively bid and 1.3% ($4 million), were sole/single-source awards, which included over $1.1 million in Minority- and Women-owned Business Enterprises (MWBEs), Service-Disabled Veteran-Owned Businesses (SDVOBs) and NYS Small Businesses contract awards. Sole/single-source awards also included, but were not limited to, the purchase of highly specialized spare parts and services from original equipment manufacturers, procurement of services on an emergency basis and proprietary sources.

The Canal Corporation had no fossil fuel or corporate finance activity related specifically to its operations. Additionally, for other matters, such as Supplier Diversity Program and Inventory Statistical reporting and the transfer of interest in personal property from NYPA to Canal Corporation, the values have been included in the attached NYPA reporting.

Exhibit I
March 30, 2021

CANAL CORPORATION

JANUARY – DECEMBER 2020 REPORT OF DISPOSAL OF PERSONAL PROPERTY OVER $5,000

DESCRIPTION	PURCHASER	SALE PRICE	PRICE RECEIVED by Canal Corp.
**No sales or transfers			
	TOTAL:	**$ 0.00**	**$ 0.00**

3/30/21

CANAL CORPORATION

JANUARY – DECEMBER 2020 REPORT OF DISPOSAL OF PERSONAL PROPERTY OVER $5,000

FLEET OPERATIONS

DESCRIPTION	PURCHASER	SALE PRICE	Transportation and Other Fees	PRICE RECEIVED * by Canal Corp
**No sales or transfers				
	FLEET SUBTOTAL:	$ 0.00	$ 0.00	$ 0.00
	+ SUBTOTAL Page 1:	$ 0.00	--	$ 0.00
	GRAND TOTAL:	$ 0.00	$ 0.00	$ 0.00

3/30/21

NEW YORK STATE OF OPPORTUNITY. | NY Power Authority | Canal Corporation

Memorandum

Date: **March 30, 2021**

To: **THE GOVERNANCE COMMITTEE**

From: **THE VICE PRESIDENT – STRATEGIC SUPPLY MANAGEMENT**

Subject: **Annual Report of Procurement Contracts,**
Guidelines for Procurement Contracts and
Annual Review of Open Procurement Service Contracts

SUMMARY

This memorandum is to request that the Governance Committee review and recommend for approval by the full Board of Trustees ("Trustees") and Canal Corporation Board of Directors ("Board") the 2020 Annual Report of Procurement Contracts ("Annual Report") (Exhibit "A-4") and the New York Power Authority ("Authority's") and Canal Corporation ("Canal") Guidelines for Procurement Contracts ("Guidelines") (Exhibit "A-2" and "A-3") and to review open service contracts exceeding one year that were active in 2020 as detailed in the Annual Report (Exhibit "A-4"). An Executive Summary is set forth in Exhibit "A-1".

BACKGROUND

Pursuant to Subsection C.5 of the Authority's Governance Committee Charter relating to Reports, the Vice President – Strategic Supply Management is required to report to the Committee at all regularly scheduled meetings and the Committee has the authority to require Procurement and other staff to prepare additional reports and to produce documents for Committee review.

Section 2879 of the Public Authorities Law ("PAL") governs the administration and award of procurement contracts equal to or greater than $5,000. Section 2879 of the PAL requires public authorities to adopt comprehensive guidelines detailing their operative policy and instructions concerning the use, awarding, monitoring and reporting of procurement contracts. The Authority's Guidelines were adopted by the Trustees at their meeting of October 31, 1989 and were implemented as of January 1, 1990. The Guidelines have been amended as deemed advisable and necessary, and reviewed and approved annually by the Board since that date, most recently on December 9, 2020.

Section 2879 of the PAL also requires authorities to review and approve such guidelines annually and to file a report regarding procurement contracts with the Director of the Division of the Budget, the Department of Audit and Control, the Department of Economic Development, the Senate Finance Committee, the Assembly Ways and Means Committee and the Authorities Budget Office. The Annual Report must include a copy of the Authority's current Guidelines, details concerning any changes to the Guidelines during the year and particular information concerning procurement contracts. For each procurement contract included in the report, the following information must be identified:

> *[A] listing of all procurement contracts entered into [by the Authority], all contracts entered into with New York State business enterprises and the subject matter and value thereof, all contracts entered into with certified minority or women-owned business*

enterprises and the subject matter and value thereof, all referrals made and all penalties imposed pursuant to section three hundred sixteen of the executive law, all contracts entered into with foreign business enterprises, and the subject matter and value thereof, the selection process used to select such contractors, all procurement contracts which were exempt from the publication requirements of article four-C of the economic development law, the basis for any such exemption and the status of existing procurement contracts.

Lastly, § 2879 of the PAL requires an annual review by the Trustees of open service contracts exceeding one year, which are also included in the Annual Report.

DISCUSSION

The 2020 Annual Report is attached for review and recommendation for approval (Exhibit "A-4"). The Annual Report reflects activity for all procurement contracts equal to or greater than $5,000, as identified by the Authority's SAP Enterprise Resource Planning ("ERP") system, that were open, closed or awarded in 2020, including contracts that were extended into 2021 or beyond. In addition, fossil fuels transactions reported by the Fuel Planning and Operations group and financial-related services reported by Corporate Finance (of the Wholesale Commercial Operations and Business Services Business Units, respectively), are included in the Annual Report of Procurement Contracts. All additional information required by the statute is also included.

A copy of the Guidelines effective March 30, 2021 (Exhibit "A-2" and "A-3") is attached to the Annual Report. These Guidelines are amended in accordance with certain provisions of State Finance Law §§ 139-j and 139-k, New York Public Officers Law § 73(8), and as further set forth in Exhibit "A-1".

The Guidelines generally describe the Authority's process for soliciting proposals and awarding contracts. Topics detailed in the Guidelines include solicitation requirements, evaluation criteria, contract award process, contract provisions, change orders, Minority- and Women-owned Business Enterprise ("MWBE") requirements, employment of former officers and reporting requirements.

FISCAL INFORMATION

There will be no financial impact on the Authority.

RECOMMENDATION

The Executive Vice President and Chief Financial Officer and the Vice President – Strategic Supply Management recommend that the Governance Committee approve the 2020 Annual Report of Procurement Contracts in Exhibit "A-4", the Guidelines for Procurement Contracts and the review of open service contracts as attached hereto in Exhibits "A-2" through "A-3".

For the reasons stated, I recommend the approval of the above-requested action by adoption of the resolution below.

John L. Canale
Vice President – Strategic Supply Management

LIST OF EXHIBITS

NYPA and CANALS CORPORATION

Exhibit A-1	Executive Summary
Exhibit A-2	NYPA Guidelines for Procurement Contracts (Clean)
Exhibit A-2	NYPA Guidelines for Procurement Contracts (Redline)
Exhibit A-3	Canal Corporation Guidelines for Procurement Contracts (Clean)
Exhibit A-3	Canal Corporation Guidelines for Procurement Contracts (Redline)
Exhibit A-4	Annual Report of Procurement Contracts

Exhibit "A-1"
March 30, 2021

POWER AUTHORITY OF THE STATE OF NEW YORK
2020 ANNUAL REPORT OF PROCUREMENT CONTRACTS

EXECUTIVE SUMMARY

The Power Authority of the State of New York (the "Authority") is a corporate municipal instrumentality and political subdivision of the State of New York. The Authority generates, transmits and sells electric power and energy principally at wholesale. The Authority's primary customers are municipal and investor-owned utilities and rural electric cooperatives located throughout New York State, high-load-factor industries and other businesses, various public corporations located within the metropolitan area of New York City and certain out-of-state customers. The Authority does not use tax revenues or State funds or credit. It finances construction of its projects through bond and note sales to private investors and repays the debt holders with proceeds from operations.

The Authority requires the services of outside firms for accounting, engineering, legal, public relations, surveying and other work of a consulting, professional or technical nature to supplement its own staff, as well as to furnish varied goods and services and perform construction work. Many of these contracts are associated with the construction, maintenance and operation of the Authority's electric generating and transmission facilities, transmission lines, as well as for support of Energy Solutions ("ES") and Energy Efficiency ("EE") programs.

The Canal Corporation is fully integrated into the NYPA procurement process and all related contracts for goods and services are included in this report.

PROCUREMENT GUIDELINES (Exhibit "A-2")

In compliance with the applicable provisions of § 2879 of the Public Authorities Law ("PAL"), as amended, the Authority has established comprehensive Guidelines detailing its operative policy and instructions concerning the use, awarding, monitoring and reporting of procurement contracts. The Guidelines describe the Authority's process for soliciting proposals and awarding contracts. Topics detailed in the Guidelines include solicitation requirements, evaluation criteria, contract award process, contract provisions, change orders, Minority- and Women-owned Business Enterprise ("MWBE") and Service-Disabled Veteran-Owned Business ("SDVOB") requirements, employment of former officers and reporting requirements. These Guidelines, approved by the Authority's Trustees, were initially implemented on January 1, 1990, and have been amended as deemed advisable and necessary, and reviewed and approved by the Board annually since that date, the last approval was on December 9, 2020.

Staff has reviewed the Procurement Guidelines and recommends several changes to make them more consistent with the law or to improve or clarify the Authority's procurement process. These amended Guidelines, as reviewed by the Governance Committee on March 30, 2021, are now presented to the full Board of Trustees for review and approval at their meeting of the same date. The approved Guidelines will become effective on March 30, 2021 and will be posted on the Authority's internet website. Such Guidelines will also be filed with the Director of the Division of the Budget, the Department of Audit and Control, the Department of Economic Development, the Senate Finance Committee, the Assembly Ways and Means Committee and the Authorities Budget Office within 90 days of the end of the calendar year.

ACCOMPLISHMENTS

Major Procurement efforts in 2020 included purchase of goods, services and construction work in support of the Moses Adirondack Smart Path Project, the operating projects and Headquarters facilities, Life Extension and Modernization ("LEM") Program at Niagara's Lewiston Pump Generating Plant, Transmission LEM and EE Programs. The Authority's SSM Department also supports the requirements of the Authority's operations and maintenance work, capital projects, Energy Solutions Programs including the NY Energy Manager, Headquarters operations along with the Authority's Strategic Initiatives and Digital Transformation. Our focus remains steady on the economic success of New York and we proudly awarded 55% of all new 2020 contracts to New York State businesses, 699 contracts valued at $467M.

To align NYPA's procurement processes with the industry's best practices, the Strategic Supply Management group has implemented SAP Ariba Procure to Contract cloud solution with a comprehensive Supplier Information Management and Performance, Electronic Sourcing, and Contract Management system. In 2020 SSM used the Risk Management module to assess, mitigate and monitor supplier risk in the following areas: environmental/social, financial, operational, and regulatory/legal compliance for our current suppliers and potential bidders. The tool also helps identify inherent risk for sourcing events and remediation activities to mitigate identified exposures.

Strategic Supply Management rose to the challenge of the COVID-19 pandemic. In the events leading up to the sequestration in place for the NYPA Power Projects, Transactional Procurement immediately began to source RV's, shower trailers, mobile kitchens, refrigerators and freezers to support the two sites that would be sequestered. In parallel, we sourced EPA approved disinfectants and disinfectant spray systems to enhance our cleaning and disinfecting capabilities and sourced masks from agile suppliers. Site SSM was able to source pool tables, video games, exercise equipment and assorted recreational items for our sequestered employees during their downtime. Our site SSM teams went above and beyond their call, often on their own time, using their own vehicles to make sure our sites would have the necessities to be sequestered. They sourced washing machines, dryers, fresh food, meat, poultry, vegetables and much more by leveraging relationships with local and diverse suppliers to help them mitigate any potential loss of revenue as businesses began to close. In parallel, Transactional Procurement

negotiated contracts with SYSCO for the supply and delivery of fresh food on an as needed basis, propane deliveries, potable and gray water services for the RV's and shower trailers. When called upon by the State, the Niagara SSM team rented a box truck, kitted and delivered Covid test kits to the 19 nursing home facilities in Niagara county. The strong partnerships our SSM site managers have with their communities proved to be a mutually beneficial relationship that helped keep our employees safe in sequester and helped NYS Small Businesses and MWBE Businesses stay afloat during trying times.

SUPPLIER DIVERSITY PROGRAM ("SDP")

From January 1, 2020 to December 31, 2020 the Authority and the Canal Corporation expended $113.1 million, or 21.29%, of its reportable expenditures to New York State-certified Minority-Women-owned Business Entities ("MWBEs"). This includes direct contracts and subcontracts, as well as construction and energy efficiency-related work. Additionally, Treasury transactions with NYS-certified MWBE financial dealers for the same period resulted in $434.5 million, or 21.4%, in principal sales and purchases for the Authority.

Service-Disabled Veteran-Owned Business ("SDVOB") utilization for the period January 1, 2020 to December 31, 2020 was approximately $4.48 million, or 62.6%, of designated spend. Additionally, SDVOB financial dealers transacted over $241.4 million, or 11.9%, in principal sales and purchases during the same period.

The Authority's 2020-2021 MWBE goal was 23%, this goal is based on New York State's Fiscal Year. The first quarter of 2020 MWBE utilization started strong with 18%, but unfortunately the COVID-19 pandemic began its surge across the country and impacted our 2020 2nd quarter utilization numbers. However, the numbers increased in the 3rd and 4th quarters after work resumed and the year ended in good stead considering the restrictions of the ongoing pandemic and the impact to our customers and suppliers. The 4th quarter ended at its highest MWBE compliance to date of 34.34%.

Although there were limitations for in-person events, we took advantage of Teams and WebEx to present Virtual panel discussions and supplier events (i.e., IT, WNY, Reimagine the Canals). We partnered with Employee Resource Groups, and business units to host events that would not only provide suppliers information on current and upcoming NYPA/Canal procurement opportunities but would provide information on how to do business with the Authority (8 supplier webinars on nypa.gov).

December was an exceptional month for the Supplier Diversity Program, with the approval of the 11 Supplier Diversity Supply Chain DEI Initiatives by the Trustees at the December Meeting. Additionally, NYPA received the New York, New Jersey National Minority Business Council Award for Local Corporation and the Manager of Supplier Diversity was awarded the NYS Empire State MWBE Award at the December MWBE Forum.

CREDIT CARD PROCUREMENT SYSTEM

The Credit Card Procurement System (CCPS) is utilized to procure goods and services valued

under $5,000. At the end of 2020, the Authority had approximately 274 cardholders in both headquarters and operating facilities including Canal. The average value of a single transaction was approximately $521, with transactions totaling nearly $11.5 million for the year.

The rebate for the Authority from JP Morgan Chase based on credit card activity for August 2019 through July 2020 was $139,225.

2020 ANNUAL REPORT OF PROCUREMENT CONTRACTS (Exhibit "A-1")

The Annual Report includes specific details for procurements with a value of $5,000 or greater that were open, completed or awarded in 2020, including contracts that were extended into 2021 or beyond. There were 2,827 such contracts with an estimated value of more than $10.9 billion, which also includes Canal, fossil fuel and corporate finance contracts. Total procurement expenditures in 2020 exceeded $847 million. This amount includes over $94 million for the purchase of fossil fuels and related services.

The following is a breakdown of the total value of contracts including fuels and corporate finance by contract type:

- 7% Construction services;
- 36% Equipment and Commodities;
- 5% IT Hardware and Software;
- 5% Architectural and Engineering services;
- 19% Personal Service contracts such as professional consulting services, legal; and
- 28% Non-Personal Service contracts such as maintenance, technicians, and contingent workforce

Approximately 99% of contract value was competitively bid. In 2020, approximately 1% of contracts (with a total contract value of $65 million), were sole/single-source awards, which included over $3 million in MWBE, SDVOB, and SBE contract awards. The sole/single-source awards included, but were not limited to, the purchase of spare parts and services from original equipment manufacturers (OEM), procurements from proprietary sources and procurements required on an emergency basis.

Exhibit A-2
March 30, 2021

NYPA GUIDELINES FOR PROCUREMENT CONTRACTS

1. PURPOSE

These Guidelines for Procurement Contracts ("Guidelines") set forth the policy of the Authority regarding the solicitation and awarding of Procurement Contracts. The provisions of Article 4-C of the Economic Development Law, §§ 2879 and 2879-a of the Public Authorities Law, Articles 15-A and 17-B of the Executive Law and §§ 139-j and 139-k of the State Finance Law were considered in developing these Guidelines. Departments and facilities may adopt further procedures to implement these Guidelines.

2. DEFINITIONS

A. "Capital projects" generally refer to the acquisition or construction of new assets, the replacement and/or betterment of existing assets, equipment, or property (including those of NYPA's customers, where authorized). Betterment refers to an extension of the useful life or improvement in the efficiency and/or capacity of the asset, equipment, or property.

B. "Contact" is any oral, written, or electronic communication with the Authority under circumstances where a reasonable person would infer that the communication was intended to influence the Authority's conduct or decision regarding the procurement.

C. "Design-Build" is a method of project delivery where there is one entity, one contract, one unified flow of work from initial concept through completion. Design-Build is also referred to as Engineer, Procure, Construct (EPC) in some instances.

D. "Discretionary Purchase" is a procurement made below statutorily established monetary threshold amounts (e.g., not exceeding $500,000 for the purchase of commodities and/or services from Small Business Enterprises or NYS-certified MWBE firms, and without a dollar cap for SDVOB firms as further set forth in Sections 3.D and 3.K.5-7) and at the discretion of the Authority, without the need for a formal competitive bid process. For the purpose of determining whether a purchase is within the discretionary thresholds, the aggregate amount of all purchases of the same commodities and/or services to be made within the 12-month period commencing on the date of purchase shall be considered. A change to or a renewal of a discretionary purchase shall not be permitted if the change or renewal would bring the reasonably expected aggregate amount of all purchases of the same commodities and/or services from the same provider within the 12-month period commencing on the date of the first purchase to an amount greater than $500,000, pursuant to State Finance Law § 163.

E. "Disadvantaged Business Enterprise" (DBE) is a for-profit small business concern (1) that is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and (2) whose management and daily business operations are controlled by one or more of the socially and economically

disadvantaged individuals who own it, pursuant to the definition found in 49 C.F.R Part 26.

F. "Evaluation of Proposals," as further outlined in Section 4 below, includes evaluating factors the Authority's consideration of a bidder's skill, judgment, and business integrity.

G. "Goods" include equipment, material and supplies of any kind. Procurement Contracts that include both equipment and services may be classified as Equipment," where 60% or more of the total projected contract value will be for the purchase of equipment, material or supplies.

H. "Minority- and Women-owned Business Enterprise" ("MWBE") is defined as any New York State-certified business enterprise at least 51% of which is owned by black persons, Hispanics, Native Americans, Asians, Pacific Islanders and/or women, and as further described in the Authority's Supplier Diversity Program Policy and Procedures and Executive Law Article 15-A, and pursuant to the definition found in Executive Law § 310.

I. "Non-Procurement Contracts" include contracts under $5,000, contracts for energy with or without environmental attributes included, capacity, renewable energy certificates, ancillary services, transmission, distribution or related services in support of providing service to Authority customers; contracts for differences; financial hedge contracts (including but not limited to swaps, calls, puts or swap options) or credit rating services; certain insurance and healthcare products that do not readily lend themselves to a competitive solicitation. In addition, Non-Procurement Contracts include direct and indirect placement of advertisements with radio, television, print and electronic media, periodicals, subscriptions, reference materials or professional research tools, written materials, fees or tuition associated with continuing education courses, training courses, conferences, seminars and symposiums, funding agreements, co-funding agreements, grants or memberships in various industry groups, professional societies or similar cooperative associations, or any cooperative projects and procurement activities conducted or sponsored by such organizations in which the Authority participates.

J. "Operation and Maintenance" ("O&M") generally refers to the work or services necessary to keep the plants, transmission lines, and other equipment and facilities to include NYPA customers, where authorized, (collectively referred to generally as an "asset") in optimal operating condition and/or to restore an asset to its productive capacity. This includes the cost of inspecting, testing, analyzing and reporting on the condition of the asset required to determine repairs or replacement, as well as costs associated with the normal operation and administration of NYPA's production/transmission facilities and energy programs.

K. "Procurement Contracts" are contracts for the acquisition of goods and/or services in the actual or estimated amount of $5,000 or more. Such goods and/or services are those necessary to support the Authority's White Plains office, facilities, operations and maintenance ("O&M") and capital projects (as defined in Section 2.I. and 2. A.,

respectively), including but not limited to goods such as office supplies, major electrical equipment, construction and maintenance work and services as more fully described in Section 2.F and 2.M.

L. "Purchase Order Release" is a single order issued for goods or services in accordance with the terms and conditions of a Value Contract.

M. "Relative" is any person living in the same household as the Authority employee or any person who is a direct descendant of the Authority employee's grandparents or the spouse of such descendant, as referred to in Subsection 9.E.1 of these Guidelines. The term Relative may include, but is not limited to, the relationship of spouse, child, parent, sister, brother, grandparent, grandchild, aunt, uncle, cousin, niece, nephew, stepchild, stepparent, stepsister, stepbrother, mother-in-law, father-in-law, sister-in-law, brother-in-law, daughter-in-law or son-in-law.

N. "Services Contracts" are Procurement Contracts for services of a consulting, professional or technical nature provided by outside consultants/contractors (individuals, partnerships, or firms who are not and do not employ officers or employees of the Authority) for a fee or other compensation. Services Contracts comprise three specific types: Personal Services, Non-Personal Services, and Construction. Personal Services include, but are not limited to: accounting, architectural, engineering, financial advisory, legal, public relations, planning, management consulting, surveying, training (when specifically developed by a consultant for the Authority), and construction management. Non-Personal services include but are not limited to skilled or unskilled temporary personnel, including clerical office staff, technicians, or engineers working under Authority's supervision, maintenance, repairs, and printing services. Construction consists of craft labor and other services utilizing laborers and/or mechanics not otherwise considered Non-Personal Services

> Note: Use of such services may be appropriate (1) when a consultant/contractor possesses special experience, background or expertise; (2) when there is insufficient Authority staff and retention of a consultant/contractor is more appropriate or economical than hiring additional permanent staff; (3) to provide independent external review or a second opinion; (4) to meet unusual schedule requirements or emergencies or (5) for a combination of the aforementioned factors.

O. "Single-Source" is a procurement in which the Authority, upon written findings setting forth material and substantial reasons, may award a contract (or amendment to a contract) to one offeror over another that can supply the goods or services.

P. "Small Business" (or Small Business Enterprise, "SBE"), pursuant to Executive Law § 310 and as used in these Guidelines, unless otherwise indicated, is a business that has a significant business presence (as defined at 5 NYCRR 140.1) in New York State, is

independently owned and operated, not dominant in its field and employs not more than 300 people.

Q. "Software" includes on-premise applications as well as Software-as-a-Service (SaaS) which is defined as a software distribution model in which a third-party provider hosts application and makes access available to customers over the Internet. "Software" shall be considered "Equipment" where such term is used throughout these Guidelines.

R. "Sole Source" is a procurement in which only one offeror is capable of supplying the required goods or services.

S. "Service-Disabled Veteran-Owned Business" ("SDVOB") is a business enterprise, including a sole proprietorship, partnership, limited liability company or corporation that is at least 51% owned by one or more service-disabled veterans; in which such ownership is real, substantial and continuing, and also has and exercises the authority to control independently the day-to-day business decisions of the enterprise; is a Small Business and is certified by the New York State Office of General Services, as further set forth in Article 17-B of the Executive Law.

T. "Value Contract" Master Service Agreement for goods and services with specific target value and term.

3. SOLICITATION REQUIREMENTS

A. Preparation of the solicitation of proposals for Procurement Contracts is the joint responsibility of the White Plains Strategic Supply Management ("SSM") Department, or the facilities' SSM Departments, and the initiating department. Except as otherwise authorized by these Guidelines, a Request for Proposals ("RFP") or Request for Quotations ("RFQ") will be made available to a minimum of three providers and/or firms (if available) for purchases valued under $50,000 and a minimum of five providers and/or firms (if available) for purchases valued at $50,000 and greater, commensurate with the magnitude and nature of the goods and/or services, and the schedule for performance.

B. Prospective bidders on Procurement Contracts may be prequalified by invitation advertised in the same manner as an RFP/RFQ (referred to as a Request for Qualifications and/or Request for Information ("RFI"). In such cases, proposals are requested only from those providers and/or firms whose prequalification submittals demonstrate sufficient ability and competence (including, but not limited to, the bidder's skill, judgment and business integrity) to supply the particular goods and/or perform the particular services required.

C. The Authority may withdraw any pending solicitation (including but not limited to RFPs and RFQs) at any time, for cause or no cause. Any person or entity submitting any responsive document to the Authority does so at its own cost or expense and will not be reimbursed by the Authority for the preparation of any responsive document, unless otherwise agreed to in writing and signed by an authorized Authority representative.

D. In order to promote the use of Minority- and Women-owned Business Enterprises ("MWBEs"), Service-Disabled Veteran-Owned Businesses ("SDVOBs") and Small Business Enterprises ("SBEs"), the Authority will solicit offers from such firms known to have experience in the type of goods and/or services to be provided, regardless of the type of contract. For the purpose of these Guidelines, the definitions of NYS-certified MWBE or SDVOB firms and SBEs are set forth in Sections 2.G, 2.R and 2.O, respectively.

To foster increased use of MWBEs and SBEs, a single proposal may be sought, negotiated and accepted for discretionary purchases of goods and/or services not exceeding $500,000, in the aggregate including all amendments, from a NYS-certified MWBE or an SBE that offers a reasonable price for such goods and/or services. An SDVOB may be awarded on the basis of a single proposal that offers a reasonable price for such goods and/or services without a dollar cap. The award of such proposal requires the written approval of the Vice President, SSM. Any subsequent alteration to the accepted proposal, including, but not limited to, change orders, amendments, or supplemental terms shall also necessitate the written approval of the Vice President, SSM. Furthermore, the award of such Procurement Contracts will be noticed on the *Contract Reporter* website, as further set forth in Section 3.H.

E. It is the policy of New York State to promote the participation of and maximize the opportunities for New York State Business Enterprises and New York State residents in Procurement Contracts. The Authority will endeavor to promote such participation and to comply with the applicable statutory provisions. In furtherance of Public Authorities Law § 2879, the following definitions and actions apply:

1. "New York State Business Enterprise" is a business enterprise, including a sole proprietorship, partnership or corporation that offers for sale or lease or other form of exchange, goods sought by the Authority that are substantially manufactured, produced or assembled in New York State or services, excluding construction services, sought by the Authority that are substantially performed within New York State as further described in Public Authorities Law § 2879.

2. "New York State resident" is a person who maintains a fixed, permanent, and principal home in New York State to which such person, whenever temporarily located, always intends to return as further described in Public Authorities Law § 2879.

3. "Foreign Business Enterprise" is a business enterprise, including a sole proprietorship, partnership or corporation, that offers for sale, lease or other form of exchange, goods sought by the Authority that are substantially produced outside New York State, or services other than construction services, sought by the Authority that are substantially performed outside New York State as further described in Public Authorities Law § 2879. For purposes of construction services, Foreign Business Enterprise is a business enterprise, including a sole proprietorship, partnership or corporation, which has its principal place of business outside New York State.

4. "Discriminatory Jurisdiction" is any country, nation, province, state or political subdivision thereof which employs a preference or price distorting mechanism to the detriment of, or otherwise discriminates against, a New York State Business Enterprise in the procurement of goods and/or services by the same or a non-governmental entity influenced by the same.

5. Pursuant to Public Authorities Law § 2879, the Authority shall not enter into a contract with a Foreign Business Enterprise which has its principal place of business in a Discriminatory Jurisdiction contained on the list prepared by the Commissioner of the New York State Department of Economic Development ("DED"). The provisions of this section may be waived by the Authority's President and CEO if the CEO determines in writing that it is in the best interests of the Authority to do so, as further set forth in the above-referenced law.

6. Pursuant to Public Authorities Law § 2879, the Authority will, where feasible, make use of the stock item specification forms of New York State manufacturers, producers and/or assemblers, as made available by the Commissioner of General Services, for any Procurement Contract for the purchase of goods.

F. Certain goods and/or services may be procured pursuant to Procurement Contracts let by any department, agency, officer, political subdivision or instrumentality of the State (e.g., the New York State Office of General Services ("OGS")) or Federal government (e.g., General Services Administration ("GSA")) or any city or municipality where the White Plains SSM Department, or facility SSM Departments, and the initiating department determine that a reasonable potential exists for cost savings or other benefits to the Authority and have approved the specifications and proposed terms and conditions of such contract.

Certain Procurement Contracts established by the OGS or GSA require that authorized users conduct a "mini bid" (i.e., an abbreviated supplemental competitive bid procurement process) among prequalified bidders identified in such established contracts. Certain other Procurement Contracts issued by the Authority (e.g., for on-call consulting or contracting services) may also utilize a mini bid process, typically, in cases of a multiple award, where a contract is awarded to more than one bidder that meets the Authority's bid requirements, in order to satisfy multiple factors and needs as set forth in the bid document. Such mini bids shall be conducted by the Authority's SSM staff (or on behalf of the Authority by an Implementation Contractor) where applicable and practicable. Within a said multiple award group, work may be assigned to a specific firm without conducting a mini bid, under certain circumstances, including but not limited to: where such firm possesses specialized expertise and is uniquely qualified to perform such work; where time constraints, emergency or other critical conditions exist or geographic location is of primary consideration in order to meet schedule requirements, respond to emergent issues or otherwise meet the Authority's needs; or when the work scope is below a specified monetary threshold. The decision to assign work without conducting a mini bid shall typically be made jointly by SSM and the initiating departments and shall be documented for the Procurement Record.

G. Solicitations will include a scope of work that defines the goods required and/or the services to be performed; evaluation criteria (as defined in Section 4.B); milestone dates; the Authority's Supplier Diversity Program and SDVOB requirements, if applicable; all other applicable Authority requirements and any special methods or limitations that the Authority chooses to govern the work. Telephone solicitation, usually for procurements valued at less than $50,000, may be used where time constraints do not permit issuance of an RFP, where issuance of an RFP is otherwise impracticable or for goods that are catalog items or do not require a detailed bill of materials or specification. All solicitations made by telephone shall be documented and made part of the Procurement Record.

H. For all Procurement Contracts with a value equal to or greater than $50,000 (except for those contracts noted below), the Authority will, prior to soliciting proposals, submit all required information to the Commissioner of the DED to be included on the New York State *Contract Reporter* website, (www.nyscr.ny.gov) (unless such posting would serve no useful purpose). Such information will be submitted to the DED Commissioner in accordance with the schedule set forth by the DED. The due date for bids or proposals will be a minimum of 15 business days after the date of publication of such notice on the *Contract Reporter* website, except where a shorter period is specifically authorized by law. For Procurement Contracts resulting from a Request for Proposal process, the Authority will submit the results of the bid opening, including the names of firms submitting proposals and the name/s of the awardee/s, for inclusion on the *Contract Reporter* website. For all other Procurement Contracts, the name of the awardee will be submitted.

This section 3.H does not apply to (i) Procurement Contracts awarded on an emergency basis as described below in Section 3.M, (ii) Procurement Contracts being rebid or re-solicited for substantially the same goods and/or services, within 45 business days after the original due date, and/or (iii) Procurement Contracts awarded to not-for-profit human services providers. (See Article 4-C, Economic Development Law)
Certain Procurement Contracts may require purchases: (1) on a spot market; (2) needed prior to the time limits for noticing on the Contract Reporter website or that do not lend themselves to the solicitation process. Such purchases are exempted from the noticing requirements of Article 4-C of the Economic Development Law subject to the approval of the Vice President, SSM, and/or the head of the initiating department that does not complete its procurements through the SSM Department. From time to time or where appropriate, generic notices may be published on the Contract Reporter website notifying potential bidders of such opportunities and soliciting qualification statements for consideration by the Authority.

Notwithstanding the foregoing, submittal of a notice / announcement of award for inclusion on the *Contract Reporter* website is required for Procurement Contracts with a value of $50,000 or more awarded on a sole source or single source basis, including such discretionary contracts not exceeding $500,000 awarded to Small Business Enterprises or NYS-certified MWBE firms, or for the purchase of goods and/or technology that are recycled or remanufactured, for discretionary awards on a single or sole source basis to SDVOB's, or for the purchase of food, including milk and milk products that are grown,

produced or harvested in New York State, and certain other Procurement Contracts exempt from the general advertising requirement for Procurement Contract bidding opportunities, in accordance with the afore-referenced law. Such notice shall specify the name of the awardee.

I. In order to further increase participation of service-disabled veterans in New York State's contracting opportunities, the Service-Disabled Veteran-Owned Business ("SDVOB") Act was signed into law on May 12, 2014. The SDVOB program provides for eligible Veteran business owners to become certified as a New York State Service-Disabled Veteran-Owned Business. The Division of Service-Disabled Veterans' Business Development within the New York State Office of General Services ("OGS") is responsible for certifying eligible SDVOBs, assisting agencies and authorities in complying with the law, and promoting SDVOB participation in the state's procurement activities. Under this program, contracts may be awarded on a non-competitive basis to NYS-certified SDVOBs for discretionary purchases. Alternately, contracts may be competitively bid exclusively among NYS-certified SDVOBs regardless of value, and advertised as such on the *Contract Reporter* website.

J. Proposals for certain Services Contracts may also be solicited by competitive search, as follows:

For contracts where the scope of work cannot be well defined or quantified, or where selection requires evaluation of factors such as breadth and depth of experience in a unique or highly specialized field and suitability as an Authority representative, a "competitive search" will be conducted to determine which consultants are most qualified, for reasonable compensation terms, to perform the work. Depending on market conditions, at least five potential sources should be evaluated; if there are fewer than five sources, all sources should be evaluated. The White Plains SSM Department or the appropriate facility SSM Department will work with the initiating department to gather information from potential sources, that will include a description of the consultant/firm's qualifications, résumés of key personnel, past experience and proposed billing rates.

K. A Procurement Contract may be awarded on a Sole Source, Single Source, or other non-competitive basis where:

1. Compatibility of equipment, accessories or spare or replacement parts is the paramount consideration.

2. Services are required to extend or complement a prior procurement and it is impracticable or uneconomic to have a source other than the original source continue the work.

3. A sole supplier's item is needed for trial use or testing, or a proprietary item is sought for which there is only one source.

4. Other circumstances or work requirements exist that cause only one source to be available to supply the required goods and/or services.

5. The contract is awarded to a Small Business Enterprise or to a NYS-certified MWBE firm for discretionary purchases not exceeding $500,000, pursuant to Section 3.D and as further set forth in Section 2.C

6. The contract is awarded to a NYS-certified SDVOB for a discretionary purchase.

7. The contract is for the discretionary purchase of goods and/or technology that are recycled or remanufactured, in an amount not exceeding $500,000, as further set forth in Section 2.C and subject to the approvals stated in Section 3.D.

8. The contract is for the discretionary purchase of commodities that are food, including milk and milk products, which are grown, produced or harvested in New York State, in an amount not exceeding $500,000, as further set forth in Section 2.C and subject to the approvals stated in Section 3.D.

9. Services are required on a more expedited basis than the competitive procurement process will allow. Requesting business units must demonstrate the urgency of the project and that awardee is cost-effective and qualified in the subject area. Services shall be for specific scopes of work in an amount not exceeding $500,000 and are subject to the approvals stated in Section 3.D.

10. Purchases made on a Sole Source, Single Source, or other non-competitive basis are subject to Public Authorities Law § 2879-a, 2 NYCRR Part 206, entitled "Comptroller Approval of Contracts Made by State Authorities" ("Comptroller Regulations") and the State Authority Contract Manual.

L. Pursuant to Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, the Authority may be required to submit certain contracts to the New York State Comptroller for approval that are awarded on a Sole Source, Single Source, or other non-competitive basis for the purchase of goods and/or services in an amount in excess of $1 million, and shall notify the successful bidder therefor. Such contracts or contract amendments shall not be valid and enforceable unless approved by the Comptroller or until 90 days have elapsed from such submission without action by the Comptroller, as further set forth in the referenced law and regulations.

M. Subject to the Authority's Expenditure Authorization Procedures ("EAPs"), and Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, a Procurement Contract may be awarded without following the solicitation requirements that ordinarily apply (but using such competitive selection procedures as are practicable under the circumstances) where emergency conditions exist, such as:

1. A threat to the health or safety of the public or Authority employees or workers.

2. Proper functioning of the Authority facilities or construction or operating projects requires adherence to a schedule that does not permit time for an ordinary procurement solicitation.

N. Whenever an initiating department determines that a Procurement Contract should be awarded on a Single Source, Sole Source, or an emergency basis, the department head or other authorized equivalent per the EAPs will provide a written statement explaining the compelling reasons therefor to the White Plains SSM Department or the appropriate facility SSM Department. The award of such Procurement Contracts, regardless of value, requires the written approval of the Vice President, SSM, except as noted in Section 3.H.

O. Every potential Sole Source or Single Source contract with a value of $1 million or more must be approved by the President and CEO or the COO prior to processing by the SSM Department.

P. In furtherance of Public Authorities Law § 2800, when a procurement is made on a non-competitive basis, and the price for goods or services purchased exceeds fair market value, prior to making the purchase, the Business Unit Head of the initiating department shall provide a detailed explanation of the justification for making the purchase and a certification shall be signed by the Chief Executive Officer and Chief Financial Officer of the Authority stating that they have reviewed the terms of such purchase and determined that it complies with applicable law and procurement guidelines. The following definition shall apply: "Fair Market Value" shall mean the estimated dollar amount that a willing buyer would pay to a willing seller for property in an arms-length transaction in the appropriate marketplace and under similar circumstances. Fair market value may be determined by internal appraisals, industry-recognized sources, or other methods of valuation generally accepted in the industry in which such property is utilized, as may be approved by the Vice President, SSM or authorized designee.

Q. It is the policy of New York State to discourage improper communications intended to influence a governmental procurement. The Authority will endeavor to control such practices and will comply with the applicable statutory provisions. In furtherance of the State Finance Law §§ 139-j and 139-k, the following shall apply:

The "Restricted Period" is the period of time commencing with the earliest posting, on the Authority's website, in a newspaper of general circulation, or in the Procurement Opportunities Newsletter (i.e., New York State *Contract Reporter*) in accordance with Article 4-C of the Economic Development Law of written notice, advertisement or solicitation of a request for proposal, invitation for bids, or solicitation of proposals, or any other method provided for by law or regulation for soliciting a response from offerors (i.e., bidders/con- tractors) intending to result in a Procurement Contract with the Authority and ending with the final contract award and approval by the Authority and, where applicable, the State Comptroller. The "Restricted Period" also applies to a "mini-bid" process that may be utilized in certain established OGS, GSA or Authority multiple award contracts, as provided in Section 3.F.

The Authority shall designate a person or persons who may be contacted, with respect to each Authority procurement. The bidders/contractors or persons acting on their behalf, shall only contact the Authority's designated person or persons where a reasonable person would infer that the communication was intended to influence the procurement during the Restricted Period.

R. In furtherance of the Authority's commitment to ensure transparency and accountability of its operations, every member, officer or employee of the Authority who is contacted by a lobbyist is required to make a contemporaneous record of such contact, pursuant to Public Authorities Law § 2987 and as further set forth in the Authority's Company Policy, Lobbying Contacts CP 9-2, regarding this matter.

S. Project Sunlight (Chapter 399, Part A, Section 4 of the Laws of 2011) requires the Authority to record in a database maintained by the New York State Office of General Services certain appearances between the Authority and individuals, firms or other entities (excluding elected officials and representatives of federal, state and local agencies and authorities) relating to the procurement of a contract, with a value of $25,000 or more, for real property, goods or services. Appearances are defined as an interaction through an in-person meeting or a video conference between covered individuals. Appearances related to emergency procurements and disposal of property through public auctions are excluded, as are appearances that take place during the formal "Restricted Period." Covered individuals at the Authority means an employee who has the power to exercise discretion in procurement matters or advises someone who exercises such discretion. A covered individual outside of the Authority means both "external" (e.g., a lobbyist) and "internal" (e.g., sales representative) representatives of an entity, individuals appearing on behalf of themselves, advocacy groups or organizations or entities representing the interests or concerns of the organization or entity or of its members. All such appearances must be promptly reported to the Authority's Ethics and Compliance Office for recording in the Project Sunlight database.

T. Prior to entering into any binding relationship with a third party (e.g., written agreement or memorandum of understanding (MOU)) in pursuit of any joint or collaborative development project, the office of SSM and the Law Department ("Law") must be notified regarding the procurement and on the issue of whether and to what extent the projects falls within the constraints of the Authority's procurement regulations and enabling legislation. SSM and Law should be brought into any such project in the development process.

Provided that the Authority has statutory authority to develop or otherwise participate in a project developed, in whole or in part, in collaboration with a third party, the following minimum criteria must be met:

(i) the Authority's participation must be in response to a solicitation issued by the State or other public entity pursuant to a competitive selection process; and

(ii) the construction of any asset to be owned by the Authority must comply with all applicable laws, including but not limited to prevailing wage requirements and goals established for the use of minority enterprises (e.g., minority- and women-owned business enterprise (MWBE), service disabled veteran owned business (SDVOB)); and

(iii) goods and/or services required to develop and implement the project must be sourced and procured in accordance with, and subject to, either (a) the Authority's Procurement Guidelines; or (b) the requirements of the third party collaborator governing the competitive procurement of goods and services, provided that SSM has been furnished with a copy of such requirements which demonstrate, in SSM's judgement, that a competitive procurement or equivalent has been or will be undertaken.

Prior to execution any underlying agreement (i.e. joint development agreement, MOU, etc.) an internal award recommendation shall be memorialized and approved by the VP SSM and the responsible Business Unit head.

4. EVALUATION OF PROPOSALS

A. Proposals will be evaluated using a fair and equitable comparison of all aspects of the proposals against the specifics of the solicitation and against each other, including an analysis of each offer that considers: the quality of the goods and/or the competence of the bidder (including, but not limited to, the bidder's skill, judgment and business integrity), the technical merit of the proposal and the price for which the goods and/or services are to be supplied.

In the event the price submitted by the bidder recommended to be awarded a contract exceeds the cost estimated, where a cost estimate is provided on the solicitation at the time of bidding, the initiating department will prepare a written explanation to be reviewed by the White Plains SSM Department and/or the appropriate facility SSM Department and appropriate managers as stipulated in the EAPs. The following options should be considered: (1) rejecting the bids, resoliciting proposals and/or modifying the scope of work; (2) revising the cost estimate and proceeding with the contract award and (3) negotiating with the low bidder(s), as determined by the Vice President, SSM or designee, to reduce the price quoted. Factors to be considered in reaching the proper course of action include but are not limited to: the effects of a delay on both the schedule and the cost of the specific capital construction project or outage at an operating facility, the magnitude of the contract, available bidders, the ability to attract additional competition if the solicitation is reissued, and the accuracy of the original cost estimate. The recommended course of action and the reasons therefor must be fully documented in a memorandum for consideration by the appropriate level of management prior to approval and placed in the appropriate procurement file.

B. Factors to be considered in evaluating the goods and/or services to be supplied and/or the competence of the bidder are: previous experience (including applicable experience in

New York State and evaluations from other clients for whom the bidder has provided goods and/or services); the abilities and experience of the personnel to be assigned to the Authority's work and the ability to provide any needed advanced techniques such as simulation and modeling; and overall, the bidder's skill, judgment and business integrity. The approach proposed in meeting the exact requirements of the scope of work will be given consideration in evaluating the technical merit of the proposal, together with a well-organized task structure, the ability to timely supply the goods and/or perform the proposed services and the ability to meet Supplier Diversity Program goals, if any. The need to purchase the goods from and/or subcontract performance of services to others will be evaluated as to their effects on cost, as well as quality, schedule and overall performance.

Another factor to be considered in evaluating proposals may involve an assessment of the bidder's diversity practices, where applicable. Pursuant to Article 15-A of the Executive Law, diversity practices are the contractor's practices and policies with respect to utilizing NYS-certified MWBEs in contracts as subcontractors and suppliers, and entering into partnerships, joint ventures or other similar arrangements with NYS-certified MWBEs. A contractor's diversity practices may be assessed when: (1) a procurement is awarded on the basis of "Best Value" as described in Section 4.D. (but *not* when a procurement is awarded based upon "lowest price"); (2) the anticipated award is $250,000 or greater; and (3) such assessment is practicable, feasible and appropriate. Such assessment shall not permit the automatic rejection of a bid or Procurement Contract proposal based on lack of adherence to diversity practices.

C. For Services Contracts (as defined in Section 2.M of these Guidelines), the technical merits of the proposals and the experience and capabilities of the bidders will be the primary factors in determining the individual or firm to be awarded the contract, provided that the price for performing such work is reasonable and competitive.

D. For Procurement Contracts for Goods (as defined in Section 2.F of these Guidelines), the award should generally be made to the lowest-priced firm submitting a proposal that meets the commercial and technical requirements of the bid documents. (See also Section 4.F regarding award to "other than low bidder".)

As a best practice and pursuant to State Finance Law § 163, the Authority may award on a "Best Value" basis for awarding contracts to the offeror that optimizes quality, cost and efficiency, among responsive and responsible offerors. Such basis shall reflect, wherever possible, objective and quantifiable analysis and may also identify a quantitative factor for offerors that are Small Businesses or NYS-certified SDVOB or MWBE firms.

E. Pursuant to § 139-k of the State Finance Law, the Authority shall not award a Procurement Contract (as defined in Subsection 3.Q.1 of these Guidelines) to a bidder/contractor who fails to provide timely, accurate and complete responses to inquiries about past determinations of non-responsibility (unless awarding the contract is necessary to protect public property or public health or safety and the bidder/contractor is the only source capable of supplying the required article of procurement within the necessary timeframe.)

A bidder's/contractor's knowing and willful violation of the Authority's policy providing for certain procurement disclosures shall result in a determination of non-responsibility of such bidder/contractor pursuant to State Finance Law §§ 139-j and 139-k only.

More than one determination of non-responsibility due to violations of State Finance Law § 139-k in a four-year period shall render a bidder/contractor ineligible to submit bids for four years from the second determination of non-responsibility.

F. An award to "other than low bidder" can be made only with the approval of appropriate management as stipulated in the EAPs, and should be based on such a proposal providing a clear advantage to the Authority over the lower-priced proposal. Factors justifying an "other than low bidder" award may include, but are not limited to: improved delivery schedules that will reduce outages; longer warranty periods; improved efficiency over the usable life of the equipment; reduced maintenance costs; the bidders' financial resources or the ability to meet or exceed Supplier Diversity Program and SDVOB goals; and overall, the bidder's skill, judgment and business integrity.

G. The specifications set forth in any solicitation prepared under these Guidelines were based upon information available at the time of the preparation of the solicitation. Thus, the Authority may diverge from the specifications of any solicitation if, after review of the proposals responsive to such solicitation, the Authority deems it prudent in light of its experience, the circumstances of the solicitation and/or potential cost savings.

5. RECOMMENDATION OF AWARD

A. A recommendation for approval of a proposed award of a Procurement Contract is usually prepared in the form of a memorandum or e-mail by the department requiring the goods and/or services. The recommendation must include an evaluation of proposals as specified in Article 4 above, as well as proposed specific compensation terms that provide a clear breakdown of cost factors and methods of calculation, including, as applicable:

1. Lump sum and/or unit prices for equipment and construction work.

2. Hourly or daily rates for personnel.

3. Markups for payroll taxes, fringe benefits, overhead and fees, if the proposal is based on reimbursement of actual payroll costs.

4. Terms for reimbursement of direct out-of-pocket expenses, such as travel and living costs, telephone charges, services of others and computer services.

5. Provisions, if any, for bonus/penalty arrangements based on target person-hours and/or target schedule.

B. The recommendation will also review any substantive exceptions to commercial and technical requirements of a price inquiry, RFP, RFQ or bidding documents, including but

not limited to payment terms, warranties and bond requirements, if any, as well as Supplier Diversity Program requirements, as applicable.

6. AWARD OF CONTRACT

A. Services Contracts (which include contracts for Construction, Personal and Non-personal services, as defined in Section 2.M.) valued or estimated to be $5,000 or greater to be performed for a period of more than 12 months are approved and reviewed annually by the Trustees. Services Contracts for a period of less than 12 months are approved by authorized designees in accordance with existing EAPs. Extending a contract for services with an initial duration of less than 12 months beyond 12 months will be approved by the Trustees at the request of the initiating department and will be reviewed by the Trustees annually. Extending a contract for services, that has previously been approved by the Trustees, for a cumulative term of more than 12 months requires further Trustees' approval.

B. Extending a contract, previously approved by the Trustees, for 12 months or less ("grace period") requires approval by the Vice President of the requesting department or other authorized equivalent or designee in accordance with existing EAPs and concurrence by the Vice President, SSM.

C. For Services Contracts valued or estimated to be $5,000 or greater to be performed for a period of more than 12 months that must be awarded prior to the next quarterly Trustees' meeting, the initial contract will be issued for the entire intended term of the contract. Based on its total term and value, such contract must be approved in writing by the appropriate management as set forth in the EAPs. Such contract is subject to the Trustees' approval, at the next quarterly Trustees' meeting. If such approval is not granted, the contract will be terminated immediately.

D. A contract or contract task valued or estimated to be $5,000 or greater is deemed to be for services in excess of 12 months where the contract does not specify a definite term and the work will not be completed within 12 months, and any "continuing services" contract with no fixed term that provides for the periodic assignment of specific tasks or particular requests for services. This includes Trustee-approved contracts for architect/ engineering services with the original engineers of operating facilities, as well as the original supplier of steam supply systems or boilers and turbine generating equipment. Each task authorized under such contracts (which may be referred to as a "Change Order," "Purchase Order" or "Task Number") is considered a separate commitment and must be separately approved in accordance with the EAPs.

E. The term of a Personal Services contract is limited to a maximum of five (5) years, including any extensions. However, at the sole discretion of the Vice President of SSM may approve a Business Unit's written justification for a contract term exceeding 5 years or reasonable extension of such a contract.

F. The term of a Purchase Order Release may extend beyond the term of the Value Contract with the approval of the Vice President of SSM.

G. Multiyear contracts for Goods (which include equipment, materials and supplies, as defined in Section 2.F) valued or estimated to be $5,000 or greater are subject to the management approval thresholds established in the EAPs, and require Trustee approval only once those thresholds are met.

H. When time constraints or emergency conditions require extending an existing contract with an initial duration of less than a year beyond a year, and the cumulative monetary change order value does not exceed the appropriate limit set forth in the EAPs, the Business Unit Head, with the prior concurrence of the Vice President, SSM or equivalent(s) or designee, may authorize extending such contract, subject to the Trustees ratifying such action as soon as practicable.

I. When the total estimated contract value or the value of the extension exceeds the monetary limits set forth in the EAPs, interim approval by the President and Chief Executive Officer or Chief Operating Officer or equivalent(s) or designee is required, subject to the Trustees ratifying such action as soon as practicable.

J. When time constraints or emergency conditions require immediate commencement of services to be performed for a period of more than one year, and when the contract value exceeds the monetary approval limit for the President and Chief Executive Officer or Chief Operating Officer or equivalent(s), as set forth in the EAPs, the President and Chief Executive Officer or Chief Operating Officer or equivalent(s) or designee, with the prior concurrence of the Vice President, SSM or equivalent(s) or designee, may authorize in writing the commencement of such services. The initial compensation limitation may not exceed the authorization level for the President and Chief Executive Officer or equivalent(s) or Chief Operating Officer or equivalent(s) as set forth in the EAPs. Such contracts will be subject to the Trustees' approval, which will be solicited at their next scheduled Trustee meeting.

K. The White Plains SSM Department or the facilities' SSM Departments prepare the contract for execution by the Authority and the successful bidder. No work by the selected contractor will commence until the contract is executed by both parties, except that mutually signed letters of award or intent may initiate work prior to formal execution. Authority signatories of such letters must be authorized to approve contract awards pursuant to the EAPs.

L. Pursuant to Economic Development Law § 143, the Authority shall submit an announcement of the intended contract for inclusion in the procurement opportunities newsletter at the time it enters into a contract. Such announcement shall identify the contract, specify the date of the award of the contract and provide the name of and contact information for each recipient of the contract.

M. Pursuant to Public Authorities Law § 2879, the Authority shall notify the Commissioner of Economic Development of the award of any Procurement Contract for the purchase of goods and/or services from a Foreign Business Enterprise (as defined in Subsection 3.E.3 of these Guidelines) in an amount equal to or greater than $1 million

simultaneously with notifying the successful bidder therefor. The Authority shall not enter into the Procurement Contract for said goods and/or services until at least 15 days have elapsed from the notification of the award, except for a Procurement Contract awarded on an emergency or critical basis. The notification to the Commissioner shall include the name, address, telephone and facsimile number of the Foreign Business Enterprise, the amount of the proposed Procurement Contract and the name of the individual at the Foreign Business Enterprise or acting on behalf of same who is principally responsible for the proposed Procurement Contract.

7. CONTRACT PROVISIONS

A. The following standard forms of contracts are available from the White Plains SSM Department: purchase order format (for standard procurements of goods and/or services); furnish-and-deliver format (for major equipment purchases); long form agreements (for consulting services) and maintenance agreement formats; contract work orders (for construction work of small magnitude); construction contracts (for major construction work) and furnish, deliver and install contracts (for specialized, major procurements where single responsibility is required for procurement and installation). These contract forms are intended to govern the purchase of goods and/or performance of services.

Authority departments proposing to initiate a Procurement Contract should review these forms to suggest any modifications and additions that may be required for the particular goods and/or services. Under no circumstances should contract forms be shown to proposed bidders without the prior approval of the SSM Department, which, along with the facilities' SSM Departments, is solely responsible for requesting proposals.

B. The following types of provisions setting forth contractor responsibilities are to be contained in the standard forms of Procurement Contracts, except that any provisions listed below that are inapplicable or unnecessary because of the nature or duration of the work to be performed, the location(s) where the work is to be performed or the type of compensation being paid therefor, need not be included. Other provisions may be added as necessary and appropriate.

1. Schedule of Services or Specifications
2. Time of Completion
3. Compensation or Itemized Proposals
4. Relationship of Parties
5. Delays
6. Termination
7. Changes in the Work
8. Claims and Disputes
9. Warranty
10. Insurance
11. Records, Accounts, Inspection and Audit
12. Assignment

13. Notices
14. Indemnification
15. Governing Law
16. Proprietary Nature of Work
17. Testimony
18. MWBE requirements
19. SDVOB requirements
20. Entire Agreement

Contract Attachments

1. Compensation Schedule
2. Schedule of Services or Specifications
3. Appendix "A" (Miscellaneous Statutory Provisions)
4. Appendix "B" (Prompt Payment Provisions)
5. Appendix "C" (Minority- and Women-owned Business Enterprise (MWBE) Participation Goal Requirement)
6. Appendix "D" (Background Security Screening for Authority Contractors)
7. Appendix "E" (Omnibus Procurement Act of 1992 Requirements)
8. Appendix "F" (Computer Aided Design Requirements For New York Power Authority Drawings)
9. Appendix "G" (Equal Employment Opportunities Requirements)
10. Appendix "H" (Tax Law Requirements)
11. Appendix "I" (New York Power Authority (NYPA) North American Electric Reliability Corporation Critical Infrastructure Protection (NERC CIP) Cyber Access And/or Unescorted Physical Access Training Requirements)
12. Appendix "J" (Bidder/Contractor Compliance with State Finance Law §§ 139-j and 139-k Providing for Certain Procurement Disclosures)
13. Appendix "K" (Additional State and Federal Provisions Required for American Recovery and Reinvestment Act (Pub. L. No. 111-5 Stat. 2009) ("ARRA") Funded Projects) - inactive
14. Appendix "L" (DOE Federal Contract Provisions) - inactive
15. Appendix "M" (Use of Ultra Low Sulfur Diesel Fuel and Best Available Retrofit Technology ("BART") for Heavy Duty Vehicles)
16. Appendix "N" (The New York State Iran Divestment Act of 2012 – Iranian Energy Sector Divestment)
17. Appendix "O" (Encouraging Use of New York State Businesses in Contract Performance) – inactive
18. Appendix "P" (Non Bulk Electric System (BES)) (Information Security Requirements for Vendors and External Partners non Bulk Electric System)
19. Appendix "P" for BES (Information Security Requirements for Vendors and External Partners for Bulk Electric System)

C. If a vendor (firm, person or other entity) participates in the development or writing of the specifications for a procurement solicitation, such vendor shall not be permitted to bid on such procurement, either as a prime vendor or as a subcontractor at any level. Contracts

for evaluation of offers for products or services shall not be awarded to a vendor that would then evaluate its own offers for products or services.

Furthermore, any firm, person or other entity retained by the Authority to provide conceptual studies, designs or specifications is prohibited from being awarded future phases of work, including implementation, related to the original work.

The above restrictions shall not apply where:

1. The vendor is the sole source or single source of the product or service;

2. More than one vendor has been involved in preparing the specifications for a procurement proposal;

3. There is no qualified response to the solicitation for future phases of work, including implementation, or Design-Build or Engineer, Procure Construct; or

4. The originating Authority Business Unit determines in writing that the restrictions are not in the best interests of the Authority. Such originating Business Unit shall obtain the approval of the applicable Business Unit Head or equivalent(s), Vice President, SSM or equivalent(s) or designee, Assistant General Counsel or equivalent(s) and President and Chief Executive Officer or designee or Chief Operating Officer or equivalent(s) to waive this restriction on a case-by-case basis.

8. CHANGE ORDERS

A. Change Orders to existing contracts are justified in the following cases:

1. To incorporate additional work related to the original scope, to delete work or to otherwise modify the original work scope;
2. To exercise options previously included in the original contract to perform additional work or to extend the contract term;
3. To accommodate emergency conditions, defined in Section 3.M herein, that require the immediate performance of work by a firm already under contract;
4. When rebidding would not be practical or in the best interests of the Authority's customers; and
5. To meet the Authority's Supplier Diversity and SDVOB Program goals in accordance with Executive Law Articles 15-A and 17-B, respectively.

B. All Change Orders must be approved in accordance with the Authority's EAPs, and should include specific schedules for completion of work at the earliest possible time.

C. Pursuant to Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, the Authority may be required to submit certain Change Orders to the New York State Comptroller for filing or approval where the aggregate value of the contract as amended is in excess of $1 million and the original contract was awarded on the basis of a competitive procurement, but the modification was neither contemplated nor provided for in the solicitation for such competitive procurement.

9. CONTRACTING DECISIONS INVOLVING CURRENT OR FORMER EMPLOYEES

A. Former Authority officers and employees may be eligible to be considered for direct engagement as contractors and/or consultants provided that they meet all criteria for contractors and/or consultants generally as specified in these Guidelines; their engagement is not barred by New York Public Officers Law § 73(8); they obtain an opinion by the New York State Joint Commission on Public Ethics that such engagement is permissible; and upon approval of the President and Chief Executive Officer, as well as the Chairman of the Board of Trustees.

B. Pursuant to the provisions of New York Public Officers Law § 73(8):

1. No Authority officer or employee is eligible, within a period of two years after the termination of Authority service to appear or practice before the Authority or receive compensation for any services rendered on behalf of any person, firm, corporation or association, in relation to any case, proceeding or application or other matter before the Authority.

2. No Authority officer or employee is eligible, at any time after the termination of Authority service, to appear, practice, communicate or otherwise render services before the Authority or any other state agency or receive compensation for any such services rendered on behalf of any person, firm, corporation or other entity in relation to any case, proceeding, application or transaction that such person was directly concerned with and personally participated in during his or her period of service, or which was under his or her active consideration.

3. Pursuant to the provisions of New York Public Officers Law § 73(8-b), notwithstanding the provisions of 1. and 2. above, a former Authority officer or employee may contract individually, or as a member or employee of a firm, corporation or association, to render services to the Authority, if, prior to engaging in such service, the Chairman of the Board of Trustees certifies in writing to the New York State Joint Commission on Public Ethics that such former officer or employee has expertise, knowledge or experience with respect to a particular matter which meets the Authority's needs and is otherwise unavailable at a comparable cost. Where approval of the contract is required under § 112 of the New York State Finance Law, the Comptroller shall review and consider the reasons for such certification. The New York State Joint Commission on Public Ethics must review and approve all such certifications.

C. No Authority employee who is involved in the award of Authority grants or contracts may ask any officer, director or employee of such current or prospective contractor or grantee to reveal: (a) the political party affiliation of the individual; (b) whether the individual or entity has made campaign contributions to any political party, elected official or candidate for elective office or (c) whether the individual voted for or against any political party, elected official or candidate for elective office.

D. No Authority employee may award or decline to award any grant or contract, or recommend, promise or threaten to do so because of a current or prospective grantee's or contractor's: (a) refusal to answer any inquiry prohibited by Section 9.C above or (b) giving or withholding or neglecting to make any contribution of money, service or any other valuable thing for any political purpose.

E. No Authority employee may take part in any contracting process or decision: (i) to a Relative; or (ii) to any entity in which the Authority employee or a Relative of such Authority employee owns or controls 10% or more of the stock of such entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange); or serves as an officer, director or partner of that entity. If a contracting matter arises relating to this Section 9.E, then the employee must advise in writing his or her supervisor and the Office of Ethics and Compliance of the relationship, and must be recused from any and all discussions or decisions relating to the matter.

For purposes of this Section 9.E, the term "Relative" is defined in Definitions, Section 2.L of these Guidelines.

10. SUPPLIER DIVERSITY PROGRAM REQUIREMENTS

The Authority strives to continue to foster the development of business opportunities on Authority contracts for MWBEs. Article 15-A of the Executive Law established the NYS Office (now Division) of Minority and Women's Business Development ("DMWBD") that is responsible for developing rules and regulations for implementation of this statute, certifying MWBEs and reviewing and monitoring goal plans, compliance reports and contract provisions to be included in all non-construction contracts for more than $25,000 and construction contracts for more than $100,000. The definition of an MWBE is included in Section 2.G of these Guidelines. The Authority aims to solicit proposals from NYS-certified MWBEs that are qualified to perform the required work. In addition, specific goals may be included in certain contracts for consulting work, construction and procurement of goods and other services requiring the contractor/vendor to subcontract a portion of the work to NYS-certified MWBEs as required by law. Bidders' proposals will include a completed preliminary Utilization Plan Form for MWBEs, as well as applicable EEO and Diversity Practices Forms, where required. Such bidders' failure to meet these requirements may be grounds for rejection of the proposal, or cancellation of the contract if a contractor did not make a good faith effort to meet its goals after contract award. Final MWBE Utilization Plans for Construction contracts valued at more than $100,000 shall be provided and posted on the Authority's procurement website by the successful vendor within ten business days of contract signing.

Pursuant to § 2879 of the Public Authorities Law and as further set forth in the Authority's Supplier Diversity Program documents, the following guidelines apply:

1. Identify those areas or types of contracts for which MWBEs may best bid so as to promote and assist participation by such enterprises and facilitate a fair share of the awarding of contracts to such enterprises.

2. Provide notice, in addition to any other notice of procurement opportunities required by law, to professional and other organizations that serve MWBEs providing the types of services procured by the Authority.

3. Maintain lists of qualified NYS-certified MWBEs, including professional firms that have expressed an interest in doing business with the Authority and ensuring that such lists are updated regularly. The Authority shall also consult the lists of NYS-certified MWBEs maintained by the DED pursuant to Executive Law Article 15-A.

4. Establish appropriate goals for participation by MWBEs in Procurement Contracts awarded by the Authority and for the utilization of MWBEs as subcontractors and suppliers by entities having Procurement Contracts with the Authority. Statewide numerical participation target goals shall be established by the Authority based on the criteria set forth in Public Authorities Law § 2879.

5. Conduct procurements in a manner that will enable the Authority to achieve the maximum feasible portion of the goals established pursuant to Subdivision 4 of this Section and that eliminates barriers to participation by MWBEs in the Authority's procurements.

6. Designate one or more senior staff of the Authority to oversee the Authority's programs established to promote and assist participation by and utilization of NYS-certified MWBEs.

11. SERVICE-DISABLED VETERAN-OWNED BUSINESS ("SDVOB") PROGRAM REQUIREMENTS

The Authority also strives to foster the development of business opportunities for NYS-certified SDVOBs and to further increase participation by SDVOBs in Authority contracts, as set forth in Sections 2.R and 3.I of these Guidelines and pursuant to Article 17-B of the Executive Law. One tool is the use of SDVOB discretionary purchasing, as further described in Sections 3.D, 3.I, and 3.K.6of these Guidelines. Another tool authorized by the law is the use of set-asides, which permit the reservation in whole or in part of certain procurements by state agencies and authorities when more than one NYS-certified SDVOB is available and can provide the necessary goods or services to meet the Authority's form, function and utility. The same dollar limits apply to SDVOB contracts as those set forth for MWBEs in Article 10 of these Guidelines.

Pursuant to Article 17-B of the Executive Law, the following guidelines apply:

1. Identify contracts where SDVOBs may best perform and/or where SDVOB goals are practical, feasible and appropriate for the purpose of increasing the utilization of SDVOB participation on Authority contracts. Submit regular reports with respect to SDVOB Program activity, including but not limited to, utilization reporting and contract monitoring and compliance.
2. Achieve an overall goal of six percent for SDVOB participation on Authority contracts.

12. DISADVANTAGED BUSINESS ENTERPRISE ("DBE") PROGRAM REQUIREMENTS ON PROJECTS THAT ARE FEDERALLY FUNDED

The Authority strives to foster the development of business opportunities for NYS certified DBEs and to further increase their participation in NYPA Federally funded contracts. The Authority aims to solicit proposals from DBEs for procurements that will be partially or fully federally funded. The Authority follows the DBE guidelines as set out by The Federal Department of Transportation ("DOT"). NYS DOT is tasked with certifying eligible small businesses as DBEs in New York State.

The Authority is committed to promoting participation of DBEs in NYPA contracting opportunities in accordance with federal law and regulations and seeks to achieve the following objectives:

1. To ensure nondiscrimination in the award and administration of Federally funded contracts;
2. To create a level playing field on which DBEs can compete fairly for Federally funded contracts;
3. To ensure that the Authority's DBE program is narrowly tailored in accordance with applicable law;
4. To ensure that only firms that fully meet this Federal eligibility standards are permitted to participate as DBEs;
5. To help remove barriers to the participation of DBEs in Federally funded contracts;
6. To promote the use of DBEs in all types of federally-assisted contracts and procurement activities.
7. To assist the development of firms that can compete successfully in the marketplace outside the DBE program; and
8. To provide appropriate flexibility to recipients of Federal financial assistance in establishing and providing opportunities for DBEs.

13. PROCUREMENT RECORD AND REPORTING

A. Procurement Record

The White Plains SSM Department maintains records of Procurement Contracts. In addition to bid- and contract award-related documents for the goods provided and/or services performed, the Procurement Record includes, but is not limited to, documentation of the decisions made and the approach taken in the procurement process. Such records are transmitted to the Digital Warehouse for electronic storage and retrieval. At the facilities, such records are currently maintained and stored by the facilities' SSM Departments.

B. Procurement Report

After the end of each calendar year, the Vice President, SSM or equivalent(s) will prepare and submit an annual report to the Trustees for their approval that will include:

1. A copy of the Guidelines;
2. An explanation of the Guidelines and any amendments thereto since the last annual report;
3. A list of all Procurement Contracts entered into since the last annual report, including all contracts entered into with New York State Business Enterprises and the subject matter and value thereof and all contracts entered into with Foreign Business Enterprises and the subject matter and value thereof;
4. A list of fees, commissions or other charges paid;
5. A description of work performed, the contract number, the date of the contract and its duration, the name, address and NYS-certified MWBE designation of the awardees, the total amount of the contract, the amount spent on the contract during the reporting period and for the term of the contract to date and the status of open Procurement Contracts during the report year;
6. The type of contract (equipment, services, personal services or construction);
7. The method of awarding the contract (e.g., competitive bidding, Sole Source, Single Source or competitive search);
8. The reasons why any procurements with a value equal to or greater than $50,000 were not noticed in the Contract Reporter;
9. The number of bids received and
10. All referrals made and all penalties imposed, if any, pursuant to § 316 of the Executive Law.

C. Such annual report, as approved by the Trustees, shall be submitted to the New York State Division of the Budget within 90 days of the end of such calendar year, and copies thereof shall be distributed to the New York State Department of Audit and Control, the DED, the New York State Senate Finance Committee, and the New York State Assembly Ways and Means Committee and any other entity as may be required by law. The annual procurement report is posted on the Authority's website and copies shall be made available to the public upon reasonable written request therefor.

D. State Finance Law §§ 139-j and 139-k

1. A statement describing the basis for a determination of a bidder's/contractor's non-responsibility (per State Finance Law §§ 139-j and 139-k only) and the Authority's decision not to award a bidder/contractor the Procurement Contract must be included in the Procurement Record.

2. The Authority shall notify the New York State Office of General Services of bidders/contractors who have been determined to be non-responsible bidders (per State Finance Law §§ 139-j and 139-k only) or debarred due to violations of § 139-j of the State Finance Law.

3. All forms entitled "Record of Contact" shall be included in the respective Procurement Record.

4. A statement describing the basis for a termination of a Procurement Contract for providing an intentionally false certification must be included in the Procurement Record.

E. The Authority may be called upon periodically to submit information regarding the procurement of goods and/or services to organizations implementing the PAAA or other statutes regulating the procurement of goods and services, such as the Authorities Budget Office through the Public Authorities Reporting Information System ("PARIS").

F. The Vice President, SSM or equivalent(s) will also prepare Annual Goal Plans for the MWBE and SDVOB programs and will submit them by January 15 of each year to Empire State Development - Division of Minority and Women Business Development and the New York State Office of General Services - Division of Service-Disabled Veterans' Business Development, respectively. Quarterly Utilization / Activity Reports for each program will also be prepared and submitted to the aforementioned respective state entities by the 15th day of July, October, January and April.

14. THIRD PARTY RIGHTS: VALIDITY OF CONTRACTS

A. These Guidelines are intended for the guidance of officers and employees of the Authority only. Nothing contained herein is intended, nor should it be construed, to confer on any person, firm or corporation any right, remedy, claim or benefit under, or by reason of, any requirement or provision hereof.

B. Nothing contained in these Guidelines alters or affects the validity of, modifies the terms of or impairs any contract or agreement entered into in violation of these Guidelines.

Exhibit A-2
March 30, 2021~~December 9, 2020~~

NYPA GUIDELINES FOR PROCUREMENT CONTRACTS

1. PURPOSE

These Guidelines for Procurement Contracts ("Guidelines") set forth the policy of the Authority regarding the solicitation and awarding of Procurement Contracts. The provisions of Article 4-C of the Economic Development Law, §§ 2879 and 2879-a of the Public Authorities Law, Articles 15-A and 17-B of the Executive Law and §§ 139-j and 139-k of the State Finance Law were considered in developing these Guidelines. Departments and facilities may adopt further procedures to implement these Guidelines.

2. DEFINITIONS

A. "Capital projects" generally refer to the acquisition or construction of new assets, the replacement and/or betterment of existing assets, equipment, or property (including those of NYPA's customers, where authorized). Betterment refers to an extension of the useful life or improvement in the efficiency and/or capacity of the asset, equipment, or property.

B. "Contact" is any oral, written, or electronic communication with the Authority under circumstances where a reasonable person would infer that the communication was intended to influence the Authority's conduct or decision regarding the procurement.

C. "Design-Build" is a method of project delivery where there is one entity, one contract, one unified flow of work from initial concept through completion. Design-Build is also referred to as Engineer, Procure, Construct (EPC) in some instances.

~~C.~~D. "Discretionary Purchase" is a procurement made below statutorily established monetary threshold amounts (e.g., not exceeding $500,000 for the purchase of commodities and/or services from Small Business Enterprises or NYS-certified MWBE firms, and without a dollar cap for SDVOB firms as further set forth in Sections 3.D and 3.K.5-7) and at the discretion of the Authority, without the need for a formal competitive bid process. For the purpose of determining whether a purchase is within the discretionary thresholds, the aggregate amount of all purchases of the same commodities and/or services to be made within the 12-month period commencing on the date of purchase shall be considered. A change to or a renewal of a discretionary purchase shall not be permitted if the change or renewal would bring the reasonably expected aggregate amount of all purchases of the same commodities and/or services from the same provider within the 12-month period commencing on the date of the first purchase to an amount greater than $500,000, pursuant to State Finance Law § 163.

~~D.~~E. "Disadvantaged Business Enterprise" (DBE) is a for-profit small business concern (1) that is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and (2) whose management and daily

business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it, pursuant to the definition found in 49 C.F.R Part 26.

~~E.~~F. "Evaluation of Proposals," as further outlined in Section 4 below, includes evaluating factors the Authority's consideration of a bidder's skill, judgment, and business integrity.

~~F.~~G. "Goods" include equipment, material and supplies of any kind. Procurement Contracts that include both equipment and services may be classified as Equipment," where 60% or more of the total projected contract value will be for the purchase of equipment, material or supplies.

~~G.~~H. "Minority- and Women-owned Business Enterprise" ("MWBE") is defined as any New York State-certified business enterprise at least 51% of which is owned by black persons, Hispanics, Native Americans, Asians, Pacific Islanders and/or women, and as further described in the Authority's Supplier Diversity Program Policy and Procedures and Executive Law Article 15-A, and pursuant to the definition found in Executive Law § 310.

~~H.~~I. "Non-Procurement Contracts" include contracts under $5,000, contracts for energy with or without environmental attributes included, capacity, renewable energy certificates, ancillary services, transmission, distribution or related services in support of providing service to Authority customers; contracts for differences; financial hedge contracts (including but not limited to swaps, calls, puts or swap options) or credit rating services; certain insurance and healthcare products that do not readily lend themselves to a competitive solicitation. In addition, Non-Procurement Contracts include direct and indirect placement of advertisements with radio, television, print and electronic media, periodicals, subscriptions, reference materials or professional research tools, written materials, fees or tuition associated with continuing education courses, training courses, conferences, seminars and symposiums, funding agreements, co-funding agreements, grants or memberships in various industry groups, professional societies or similar cooperative associations, or any cooperative projects and procurement activities conducted or sponsored by such organizations in which the Authority participates.

~~I.~~J. "Operation and Maintenance" ("O&M") generally refers to the work or services necessary to keep the plants, transmission lines, and other equipment and facilities to include NYPA customers, where authorized, (collectively referred to generally as an "asset") in optimal operating condition and/or to restore an asset to its productive capacity. This includes the cost of inspecting, testing, analyzing and reporting on the condition of the asset required to determine repairs or replacement, as well as costs associated with the normal operation and administration of NYPA's production/transmission facilities and energy programs.

~~J.~~K. "Procurement Contracts" are contracts for the acquisition of goods and/or services in the actual or estimated amount of $5,000 or more. Such goods and/or services are those necessary to support the Authority's White Plains office, facilities, operations and maintenance ("O&M") and capital projects (as defined in Section 2.I. and 2. A.,

respectively), including but not limited to goods such as office supplies, major electrical equipment, construction and maintenance work and services as more fully described in Section 2.F and 2.M.

~~K.~~L. "Purchase Order Release" is a single order issued for goods or services in accordance with the terms and conditions of a Value Contract.

~~L.~~M. "Relative" is any person living in the same household as the Authority employee or any person who is a direct descendant of the Authority employee's grandparents or the spouse of such descendant, as referred to in Subsection 9.E.1 of these Guidelines. The term Relative may include, but is not limited to, the relationship of spouse, child, parent, sister, brother, grandparent, grandchild, aunt, uncle, cousin, niece, nephew, stepchild, stepparent, stepsister, stepbrother, mother-in-law, father-in-law, sister-in-law, brother-in-law, daughter-in-law or son-in-law.

~~M.~~N. "Services Contracts" are Procurement Contracts for services of a consulting, professional or technical nature provided by outside consultants/contractors (individuals, partnerships, or firms who are not and do not employ officers or employees of the Authority) for a fee or other compensation. Services Contracts comprise three specific types: Personal Services, Non-Personal Services, and Construction. Personal Services include, but are not limited to: accounting, architectural, engineering, financial advisory, legal, public relations, planning, management consulting, surveying, training (when specifically developed by a consultant for the Authority), and construction management. Non-Personal services include but are not limited to skilled or unskilled temporary personnel, including clerical office staff, technicians, or engineers working under Authority's supervision, maintenance, repairs, and printing services. Construction consists of craft labor and other services utilizing laborers and/or mechanics not otherwise considered Non-Personal Services

> Note: Use of such services may be appropriate (1) when a consultant/contractor possesses special experience, background or expertise; (2) when there is insufficient Authority staff and retention of a consultant/contractor is more appropriate or economical than hiring additional permanent staff; (3) to provide independent external review or a second opinion; (4) to meet unusual schedule requirements or emergencies or (5) for a combination of the aforementioned factors.

~~N.~~O. "Single-Source" is a procurement in which the Authority, upon written findings setting forth material and substantial reasons, may award a contract (or amendment to a contract) to one offeror over another that can supply the goods or services.

~~O.~~P. "Small Business" (or Small Business Enterprise, "SBE"), pursuant to Executive Law § 310 and as used in these Guidelines, unless otherwise indicated, is a business that has a significant business presence (as defined at 5 NYCRR 140.1) in New York State, is independently owned and operated, not dominant in its field and employs not more than 300 people.

~~P.~~Q. "Software" includes on-premise applications as well as Software-as-a-Service (SaaS) which is defined as a software distribution model in which a third-party provider hosts application and makes access available to customers over the Internet. "Software" shall be considered "Equipment" where such term is used throughout these Guidelines.

~~Q.~~R. "Sole Source" is a procurement in which only one offeror is capable of supplying the required goods or services.

~~R.~~S. "Service-Disabled Veteran-Owned Business" ("SDVOB") is a business enterprise, including a sole proprietorship, partnership, limited liability company or corporation that is at least 51% owned by one or more service-disabled veterans; in which such ownership is real, substantial and continuing, and also has and exercises the authority to control independently the day-to-day business decisions of the enterprise; is a Small Business and is certified by the New York State Office of General Services, as further set forth in Article 17-B of the Executive Law.

~~S.~~T. "Value Contract" Master Service Agreement for goods and services with specific target value and term.

3. SOLICITATION REQUIREMENTS

A. Preparation of the solicitation of proposals for Procurement Contracts is the joint responsibility of the White Plains Strategic Supply Management ("SSM") Department, or the facilities' SSM Departments, and the initiating department. Except as otherwise authorized by these Guidelines, a Request for Proposals ("RFP") or Request for Quotations ("RFQ") will be made available to a minimum of three providers and/or firms (if available) for purchases valued under $50,000 and a minimum of five providers and/or firms (if available) for purchases valued at $50,000 and greater, commensurate with the magnitude and nature of the goods and/or services, and the schedule for performance.

B. Prospective bidders on Procurement Contracts may be prequalified by invitation advertised in the same manner as an RFP/RFQ (referred to as a Request for Qualifications and/or Request for Information ("RFI"). In such cases, proposals are requested only from those providers and/or firms whose prequalification submittals demonstrate sufficient ability and competence (including, but not limited to, the bidder's skill, judgment and business integrity) to supply the particular goods and/or perform the particular services required.

C. The Authority may withdraw any pending solicitation (including but not limited to RFPs and RFQs) at any time, for cause or no cause. Any person or entity submitting any responsive document to the Authority does so at its own cost or expense and will not be reimbursed by the Authority for the preparation of any responsive document, unless otherwise agreed to in writing and signed by an authorized Authority representative.

D. In order to promote the use of Minority- and Women-owned Business Enterprises ("MWBEs"), Service-Disabled Veteran-Owned Businesses ("SDVOBs") and Small Business Enterprises ("SBEs"), the Authority will solicit offers from such firms known to have experience in the type of goods and/or services to be provided, regardless of the type of

contract. For the purpose of these Guidelines, the definitions of NYS-certified MWBE or SDVOB firms and SBEs are set forth in Sections 2.G, 2.R and 2.O, respectively.

To foster increased use of MWBEs and SBEs, a single proposal may be sought, negotiated and accepted for discretionary purchases of goods and/or services not exceeding $500,000, in the aggregate including all amendments, from a NYS-certified MWBE or an SBE that offers a reasonable price for such goods and/or services. An SDVOB may be awarded on the basis of a single proposal that offers a reasonable price for such goods and/or services without a dollar cap. The award of such proposal requires the written approval of the Vice President, SSM. Any subsequent alteration to the accepted proposal, including, but not limited to, change orders, amendments, or supplemental terms shall also necessitate the written approval of the Vice President, SSM. Furthermore, the award of such Procurement Contracts will be noticed on the *Contract Reporter* website, as further set forth in Section 3.H.

E. It is the policy of New York State to promote the participation of and maximize the opportunities for New York State Business Enterprises and New York State residents in Procurement Contracts. The Authority will endeavor to promote such participation and to comply with the applicable statutory provisions. In furtherance of Public Authorities Law § 2879, the following definitions and actions apply:

1. "New York State Business Enterprise" is a business enterprise, including a sole proprietorship, partnership or corporation that offers for sale or lease or other form of exchange, goods sought by the Authority that are substantially manufactured, produced or assembled in New York State or services, excluding construction services, sought by the Authority that are substantially performed within New York State as further described in Public Authorities Law § 2879.

2. "New York State resident" is a person who maintains a fixed, permanent, and principal home in New York State to which such person, whenever temporarily located, always intends to return as further described in Public Authorities Law § 2879.

3. "Foreign Business Enterprise" is a business enterprise, including a sole proprietorship, partnership or corporation, that offers for sale, lease or other form of exchange, goods sought by the Authority that are substantially produced outside New York State, or services other than construction services, sought by the Authority that are substantially performed outside New York State as further described in Public Authorities Law § 2879. For purposes of construction services, Foreign Business Enterprise is a business enterprise, including a sole proprietorship, partnership or corporation, which has its principal place of business outside New York State.

4. "Discriminatory Jurisdiction" is any country, nation, province, state or political subdivision thereof which employs a preference or price distorting mechanism to the detriment of, or otherwise discriminates against, a New York State Business Enterprise in the procurement of goods and/or services by the same or a non-governmental entity influenced by the same.

5. Pursuant to Public Authorities Law § 2879, the Authority shall not enter into a contract with a Foreign Business Enterprise which has its principal place of business in a Discriminatory Jurisdiction contained on the list prepared by the Commissioner of the New York State Department of Economic Development ("DED"). The provisions of this section may be waived by the Authority's President and CEO if the CEO determines in writing that it is in the best interests of the Authority to do so, as further set forth in the above-referenced law.

6. Pursuant to Public Authorities Law § 2879, the Authority will, where feasible, make use of the stock item specification forms of New York State manufacturers, producers and/or assemblers, as made available by the Commissioner of General Services, for any Procurement Contract for the purchase of goods.

F. Certain goods and/or services may be procured pursuant to Procurement Contracts let by any department, agency, officer, political subdivision or instrumentality of the State (e.g., the New York State Office of General Services ("OGS")) or Federal government (e.g., General Services Administration ("GSA")) or any city or municipality where the White Plains SSM Department, or facility SSM Departments, and the initiating department determine that a reasonable potential exists for cost savings or other benefits to the Authority and have approved the specifications and proposed terms and conditions of such contract.

Certain Procurement Contracts established by the OGS or GSA require that authorized users conduct a "mini bid" (i.e., an abbreviated supplemental competitive bid procurement process) among prequalified bidders identified in such established contracts. Certain other Procurement Contracts issued by the Authority (e.g., for on-call consulting or contracting services) may also utilize a mini bid process, typically, in cases of a multiple award, where a contract is awarded to more than one bidder that meets the Authority's bid requirements, in order to satisfy multiple factors and needs as set forth in the bid document. Such mini bids shall be conducted by the Authority's SSM staff (or on behalf of the Authority by an Implementation Contractor) where applicable and practicable. Within a said multiple award group, work may be assigned to a specific firm without conducting a mini bid, under certain circumstances, including but not limited to: where such firm possesses specialized expertise and is uniquely qualified to perform such work; where time constraints, emergency or other critical conditions exist or geographic location is of primary consideration in order to meet schedule requirements, respond to emergent issues or otherwise meet the Authority's needs; or when the work scope is below a specified monetary threshold. The decision to assign work without conducting a mini bid shall typically be made jointly by SSM and the initiating departments and shall be documented for the Procurement Record.

G. Solicitations will include a scope of work that defines the goods required and/or the services to be performed; evaluation criteria (as defined in Section 4.B); milestone dates; the Authority's Supplier Diversity Program and SDVOB requirements, if applicable; all other applicable Authority requirements and any special methods or limitations that the Authority chooses to govern the work. Telephone solicitation, usually for procurements valued at less than $50,000, may be used where time constraints do not permit issuance

of an RFP, where issuance of an RFP is otherwise impracticable or for goods that are catalog items or do not require a detailed bill of materials or specification. All solicitations made by telephone shall be documented and made part of the Procurement Record.

H. For all Procurement Contracts with a value equal to or greater than $50,000 (except for those contracts noted below), the Authority will, prior to soliciting proposals, submit all required information to the Commissioner of the DED to be included on the New York State *Contract Reporter* website, (www.nyscr.ny.gov) (unless such posting would serve no useful purpose). Such information will be submitted to the DED Commissioner in accordance with the schedule set forth by the DED. The due date for bids or proposals will be a minimum of 15 business days after the date of publication of such notice on the *Contract Reporter* website, except where a shorter period is specifically authorized by law. For Procurement Contracts resulting from a Request for Proposal process, the Authority will submit the results of the bid opening, including the names of firms submitting proposals and the name/s of the awardee/s, for inclusion on the *Contract Reporter* website. For all other Procurement Contracts, the name of the awardee will be submitted.

This section 3.H does not apply to (i) Procurement Contracts awarded on an emergency basis as described below in Section 3.M, (ii) Procurement Contracts being rebid or re-solicited for substantially the same goods and/or services, within 45 business days after the original due date, and/or (iii) Procurement Contracts awarded to not-for-profit human services providers. (See Article 4-C, Economic Development Law)
Certain Procurement Contracts may require purchases: (1) on a spot market; (2) needed prior to the time limits for noticing on the Contract Reporter website or that do not lend themselves to the solicitation process. Such purchases are exempted from the noticing requirements of Article 4-C of the Economic Development Law subject to the approval of the Vice President, SSM, and/or the head of the initiating department that does not complete its procurements through the SSM Department. From time to time or where appropriate, generic notices may be published on the Contract Reporter website notifying potential bidders of such opportunities and soliciting qualification statements for consideration by the Authority.

Notwithstanding the foregoing, submittal of a notice / announcement of award for inclusion on the *Contract Reporter* website is required for Procurement Contracts with a value of $50,000 or more awarded on a sole source or single source basis, including such discretionary contracts not exceeding $500,000 awarded to Small Business Enterprises or NYS-certified MWBE firms, or for the purchase of goods and/or technology that are recycled or remanufactured, for discretionary awards on a single or sole source basis to SDVOB's, or for the purchase of food, including milk and milk products that are grown, produced or harvested in New York State, and certain other Procurement Contracts exempt from the general advertising requirement for Procurement Contract bidding opportunities, in accordance with the afore-referenced law. Such notice shall specify the name of the awardee.

I. In order to further increase participation of service-disabled veterans in New York State's contracting opportunities, the Service-Disabled Veteran-Owned Business ("SDVOB") Act

was signed into law on May 12, 2014. The SDVOB program provides for eligible Veteran business owners to become certified as a New York State Service-Disabled Veteran-Owned Business. The Division of Service-Disabled Veterans' Business Development within the New York State Office of General Services ("OGS") is responsible for certifying eligible SDVOBs, assisting agencies and authorities in complying with the law, and promoting SDVOB participation in the state's procurement activities. Under this program, contracts may be awarded on a non-competitive basis to NYS-certified SDVOBs for discretionary purchases. Alternately, contracts may be competitively bid exclusively among NYS-certified SDVOBs regardless of value, and advertised as such on the *Contract Reporter* website.

J. Proposals for certain Services Contracts may also be solicited by competitive search, as follows:

For contracts where the scope of work cannot be well defined or quantified, or where selection requires evaluation of factors such as breadth and depth of experience in a unique or highly specialized field and suitability as an Authority representative, a "competitive search" will be conducted to determine which consultants are most qualified, for reasonable compensation terms, to perform the work. Depending on market conditions, at least five potential sources should be evaluated; if there are fewer than five sources, all sources should be evaluated. The White Plains SSM Department or the appropriate facility SSM Department will work with the initiating department to gather information from potential sources, that will include a description of the consultant/firm's qualifications, résumés of key personnel, past experience and proposed billing rates.

K. A Procurement Contract may be awarded on a Sole Source, Single Source, or other non-competitive basis where:

1. Compatibility of equipment, accessories or spare or replacement parts is the paramount consideration.

2. Services are required to extend or complement a prior procurement and it is impracticable or uneconomic to have a source other than the original source continue the work.

3. A sole supplier's item is needed for trial use or testing, or a proprietary item is sought for which there is only one source.

4. Other circumstances or work requirements exist that cause only one source to be available to supply the required goods and/or services.

5. The contract is awarded to a Small Business Enterprise or to a NYS-certified MWBE firm for discretionary purchases not exceeding $500,000, pursuant to Section 3.D and as further set forth in Section 2.C

6. The contract is awarded to a NYS-certified SDVOB for a discretionary purchase.

7. The contract is for the discretionary purchase of goods and/or technology that are recycled or remanufactured, in an amount not exceeding $500,000, as further set forth in Section 2.C and subject to the approvals stated in Section 3.D.

8. The contract is for the discretionary purchase of commodities that are food, including milk and milk products, which are grown, produced or harvested in New York State, in an amount not exceeding $500,000, as further set forth in Section 2.C and subject to the approvals stated in Section 3.D.

9. Services are required on a more expedited basis than the competitive procurement process will allow. Requesting business units must demonstrate the urgency of the project and that awardee is cost-effective and qualified in the subject area. Services shall be for specific scopes of work in an amount not exceeding $500,000 and are subject to the approvals stated in Section 3.D.

10. Purchases made on a Sole Source, Single Source, or other non-competitive basis are subject to Public Authorities Law § 2879-a, 2 NYCRR Part 206, entitled "Comptroller Approval of Contracts Made by State Authorities" ("Comptroller Regulations") and the State Authority Contract Manual.

L. Pursuant to Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, the Authority may be required to submit certain contracts to the New York State Comptroller for approval that are awarded on a Sole Source, Single Source, or other non-competitive basis for the purchase of goods and/or services in an amount in excess of $1 million, and shall notify the successful bidder therefor. Such contracts or contract amendments shall not be valid and enforceable unless approved by the Comptroller or until 90 days have elapsed from such submission without action by the Comptroller, as further set forth in the referenced law and regulations.

M. Subject to the Authority's Expenditure Authorization Procedures ("EAPs"), and Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, a Procurement Contract may be awarded without following the solicitation requirements that ordinarily apply (but using such competitive selection procedures as are practicable under the circumstances) where emergency conditions exist, such as:

1. A threat to the health or safety of the public or Authority employees or workers.

2. Proper functioning of the Authority facilities or construction or operating projects requires adherence to a schedule that does not permit time for an ordinary procurement solicitation.

N. Whenever an initiating department determines that a Procurement Contract should be awarded on a Single Source, Sole Source, or an emergency basis, the department head or other authorized equivalent per the EAPs will provide a written statement explaining the compelling reasons therefor to the White Plains SSM Department or the appropriate

facility SSM Department. The award of such Procurement Contracts, regardless of value, requires the written approval of the Vice President, SSM, except as noted in Section 3.H.

O. Every potential Sole Source or Single Source contract with a value of $1 million or more must be approved by the President and CEO or the COO prior to processing by the SSM Department.

P. In furtherance of Public Authorities Law § 2800, when a procurement is made on a non-competitive basis, and the price for goods or services purchased exceeds fair market value, prior to making the purchase, the Business Unit Head of the initiating department shall provide a detailed explanation of the justification for making the purchase and a certification shall be signed by the Chief Executive Officer and Chief Financial Officer of the Authority stating that they have reviewed the terms of such purchase and determined that it complies with applicable law and procurement guidelines. The following definition shall apply: "Fair Market Value" shall mean the estimated dollar amount that a willing buyer would pay to a willing seller for property in an arms-length transaction in the appropriate marketplace and under similar circumstances. Fair market value may be determined by internal appraisals, industry-recognized sources, or other methods of valuation generally accepted in the industry in which such property is utilized, as may be approved by the Vice President, SSM or authorized designee.

Q. It is the policy of New York State to discourage improper communications intended to influence a governmental procurement. The Authority will endeavor to control such practices and will comply with the applicable statutory provisions. In furtherance of the State Finance Law §§ 139-j and 139-k, the following shall apply:

The "Restricted Period" is the period of time commencing with the earliest posting, on the Authority's website, in a newspaper of general circulation, or in the Procurement Opportunities Newsletter (i.e., New York State *Contract Reporter*) in accordance with Article 4-C of the Economic Development Law of written notice, advertisement or solicitation of a request for proposal, invitation for bids, or solicitation of proposals, or any other method provided for by law or regulation for soliciting a response from offerors (i.e., bidders/con- tractors) intending to result in a Procurement Contract with the Authority and ending with the final contract award and approval by the Authority and, where applicable, the State Comptroller. The "Restricted Period" also applies to a "mini-bid" process that may be utilized in certain established OGS, GSA or Authority multiple award contracts, as provided in Section 3.F.

The Authority shall designate a person or persons who may be contacted, with respect to each Authority procurement. The bidders/contractors or persons acting on their behalf, shall only contact the Authority's designated person or persons where a reasonable person would infer that the communication was intended to influence the procurement during the Restricted Period.

R. In furtherance of the Authority's commitment to ensure transparency and accountability of its operations, every member, officer or employee of the Authority who is contacted by a lobbyist is required to make a contemporaneous record of such contact, pursuant to

Public Authorities Law § 2987 and as further set forth in the Authority's Company Policy, Lobbying Contacts CP 9-2, regarding this matter.

S. Project Sunlight (Chapter 399, Part A, Section 4 of the Laws of 2011) requires the Authority to record in a database maintained by the New York State Office of General Services certain appearances between the Authority and individuals, firms or other entities (excluding elected officials and representatives of federal, state and local agencies and authorities) relating to the procurement of a contract, with a value of $25,000 or more, for real property, goods or services. Appearances are defined as an interaction through an in-person meeting or a video conference between covered individuals. Appearances related to emergency procurements and disposal of property through public auctions are excluded, as are appearances that take place during the formal "Restricted Period." Covered individuals at the Authority means an employee who has the power to exercise discretion in procurement matters or advises someone who exercises such discretion. A covered individual outside of the Authority means both "external" (e.g., a lobbyist) and "internal" (e.g., sales representative) representatives of an entity, individuals appearing on behalf of themselves, advocacy groups or organizations or entities representing the interests or concerns of the organization or entity or of its members. All such appearances must be promptly reported to the Authority's Ethics and Compliance Office for recording in the Project Sunlight database.

T. Prior to entering into any binding relationship with a third party (e.g., written agreement or memorandum of understanding (MOU)) in pursuit of any joint or collaborative development project, the office of SSM and the Law Department ("Law") must be notified regarding the procurement and on the issue of whether and to what extent the projects falls within the constraints of the Authority's procurement regulations and enabling legislation. SSM and Law should be brought into any such project in the development process.

Provided that the Authority has statutory authority to develop or otherwise participate in a project developed, in whole or in part, in collaboration with a third party, the following minimum criteria must be met:

(i) the Authority's participation must be in response to a solicitation issued by the State or other public entity pursuant to a competitive selection process; and

(ii) the construction of any asset to be owned by the Authority must comply with all applicable laws, including but not limited to prevailing wage requirements and goals established for the use of minority enterprises (e.g., minority- and women-owned business enterprise (MWBE), service disabled veteran owned business (SDVOB)); and

(iii) goods and/or services required to develop and implement the project must be sourced and procured in accordance with, and subject to, either (a) the Authority's Procurement Guidelines; or (b) the requirements of the third party collaborator governing the competitive procurement of goods and services, provided that SSM has been furnished with a copy of such requirements which demonstrate, in

SSM's judgement, that a competitive procurement or equivalent has been or will be undertaken.

Prior to execution any underlying agreement (i.e. joint development agreement, MOU, etc.) an internal award recommendation shall be memorialized and approved by the VP SSM and the responsible Business Unit head.

4. EVALUATION OF PROPOSALS

A. Proposals will be evaluated using a fair and equitable comparison of all aspects of the proposals against the specifics of the solicitation and against each other, including an analysis of each offer that considers: the quality of the goods and/or the competence of the bidder (including, but not limited to, the bidder's skill, judgment and business integrity), the technical merit of the proposal and the price for which the goods and/or services are to be supplied.

In the event the price submitted by the bidder recommended to be awarded a contract exceeds the cost estimated, where a cost estimate is provided on the solicitation at the time of bidding, the initiating department will prepare a written explanation to be reviewed by the White Plains SSM Department and/or the appropriate facility SSM Department and appropriate managers as stipulated in the EAPs. The following options should be considered: (1) rejecting the bids, resoliciting proposals and/or modifying the scope of work; (2) revising the cost estimate and proceeding with the contract award and (3) negotiating with the low bidder(s), as determined by the Vice President, SSM or designee, to reduce the price quoted. Factors to be considered in reaching the proper course of action include but are not limited to: the effects of a delay on both the schedule and the cost of the specific capital construction project or outage at an operating facility, the magnitude of the contract, available bidders, the ability to attract additional competition if the solicitation is reissued, and the accuracy of the original cost estimate. The recommended course of action and the reasons therefor must be fully documented in a memorandum for consideration by the appropriate level of management prior to approval and placed in the appropriate procurement file.

B. Factors to be considered in evaluating the goods and/or services to be supplied and/or the competence of the bidder are: previous experience (including applicable experience in New York State and evaluations from other clients for whom the bidder has provided goods and/or services); the abilities and experience of the personnel to be assigned to the Authority's work and the ability to provide any needed advanced techniques such as simulation and modeling; and overall, the bidder's skill, judgment and business integrity. The approach proposed in meeting the exact requirements of the scope of work will be given consideration in evaluating the technical merit of the proposal, together with a well-organized task structure, the ability to timely supply the goods and/or perform the proposed services and the ability to meet Supplier Diversity Program goals, if any. The need to purchase the goods from and/or subcontract performance of services to others will be evaluated as to their effects on cost, as well as quality, schedule and overall performance.

Another factor to be considered in evaluating proposals may involve an assessment of the bidder's diversity practices, where applicable. Pursuant to Article 15-A of the Executive Law, diversity practices are the contractor's practices and policies with respect to utilizing NYS-certified MWBEs in contracts as subcontractors and suppliers, and entering into partnerships, joint ventures or other similar arrangements with NYS-certified MWBEs. A contractor's diversity practices may be assessed when: (1) a procurement is awarded on the basis of "Best Value" as described in Section 4.D. (but *not* when a procurement is awarded based upon "lowest price"); (2) the anticipated award is $250,000 or greater; and (3) such assessment is practicable, feasible and appropriate. Such assessment shall not permit the automatic rejection of a bid or Procurement Contract proposal based on lack of adherence to diversity practices.

C. For Services Contracts (as defined in Section 2.M of these Guidelines), the technical merits of the proposals and the experience and capabilities of the bidders will be the primary factors in determining the individual or firm to be awarded the contract, provided that the price for performing such work is reasonable and competitive.

D. For Procurement Contracts for Goods (as defined in Section 2.F of these Guidelines), the award should generally be made to the lowest-priced firm submitting a proposal that meets the commercial and technical requirements of the bid documents. (See also Section 4.F regarding award to "other than low bidder".)

As a best practice and pursuant to State Finance Law § 163, the Authority may award on a "Best Value" basis for awarding contracts to the offeror that optimizes quality, cost and efficiency, among responsive and responsible offerors. Such basis shall reflect, wherever possible, objective and quantifiable analysis and may also identify a quantitative factor for offerors that are Small Businesses or NYS-certified SDVOB or MWBE firms.

E. Pursuant to § 139-k of the State Finance Law, the Authority shall not award a Procurement Contract (as defined in Subsection 3.Q.1 of these Guidelines) to a bidder/contractor who fails to provide timely, accurate and complete responses to inquiries about past determinations of non-responsibility (unless awarding the contract is necessary to protect public property or public health or safety and the bidder/contractor is the only source capable of supplying the required article of procurement within the necessary timeframe.)

A bidder's/contractor's knowing and willful violation of the Authority's policy providing for certain procurement disclosures shall result in a determination of non-responsibility of such bidder/contractor pursuant to State Finance Law §§ 139-j and 139-k only.

More than one determination of non-responsibility due to violations of State Finance Law § 139-k in a four-year period shall render a bidder/contractor ineligible to submit bids for four years from the second determination of non-responsibility.

F. An award to "other than low bidder" can be made only with the approval of appropriate management as stipulated in the EAPs, and should be based on such a proposal providing a clear advantage to the Authority over the lower-priced proposal. Factors justifying an "other than low bidder" award may include, but are not limited to: improved delivery schedules that will reduce outages; longer warranty periods; improved efficiency over the

usable life of the equipment; reduced maintenance costs; the bidders' financial resources or the ability to meet or exceed Supplier Diversity Program and SDVOB goals; and overall, the bidder's skill, judgment and business integrity.

G. The specifications set forth in any solicitation prepared under these Guidelines were based upon information available at the time of the preparation of the solicitation. Thus, the Authority may diverge from the specifications of any solicitation if, after review of the proposals responsive to such solicitation, the Authority deems it prudent in light of its experience, the circumstances of the solicitation and/or potential cost savings.

5. RECOMMENDATION OF AWARD

A. A recommendation for approval of a proposed award of a Procurement Contract is usually prepared in the form of a memorandum or e-mail by the department requiring the goods and/or services. The recommendation must include an evaluation of proposals as specified in Article 4 above, as well as proposed specific compensation terms that provide a clear breakdown of cost factors and methods of calculation, including, as applicable:

1. Lump sum and/or unit prices for equipment and construction work.

2. Hourly or daily rates for personnel.

3. Markups for payroll taxes, fringe benefits, overhead and fees, if the proposal is based on reimbursement of actual payroll costs.

4. Terms for reimbursement of direct out-of-pocket expenses, such as travel and living costs, telephone charges, services of others and computer services.

5. Provisions, if any, for bonus/penalty arrangements based on target person-hours and/or target schedule.

B. The recommendation will also review any substantive exceptions to commercial and technical requirements of a price inquiry, RFP, RFQ or bidding documents, including but not limited to payment terms, warranties and bond requirements, if any, as well as Supplier Diversity Program requirements, as applicable.

6. AWARD OF CONTRACT

A. Services Contracts (which include contracts for Construction, Personal and Non-personal services, as defined in Section 2.M.) valued or estimated to be $5,000 or greater to be performed for a period of more than 12 months are approved and reviewed annually by the Trustees. Services Contracts for a period of less than 12 months are approved by authorized designees in accordance with existing EAPs. Extending a contract for services with an initial duration of less than 12 months beyond 12 months will be approved by the Trustees at the request of the initiating department and will be reviewed by the Trustees annually. Extending a contract for services, that has previously been approved by the Trustees, for a cumulative term of more than 12 months requires further Trustees' approval.

B. Extending a contract, previously approved by the Trustees, for 12 months or less ("grace period") requires approval by the Vice President of the requesting department or other authorized equivalent or designee in accordance with existing EAPs and concurrence by the Vice President, SSM.

C. For Services Contracts valued or estimated to be $5,000 or greater to be performed for a period of more than 12 months that must be awarded prior to the next quarterly Trustees' meeting, the initial contract will be issued for the entire intended term of the contract. Based on its total term and value, such contract must be approved in writing by the appropriate management as set forth in the EAPs. Such contract is subject to the Trustees' approval, at the next quarterly Trustees' meeting. If such approval is not granted, the contract will be terminated immediately.

D. A contract or contract task valued or estimated to be $5,000 or greater is deemed to be for services in excess of 12 months where the contract does not specify a definite term and the work will not be completed within 12 months, and any "continuing services" contract with no fixed term that provides for the periodic assignment of specific tasks or particular requests for services. This includes Trustee-approved contracts for architect/ engineering services with the original engineers of operating facilities, as well as the original supplier of steam supply systems or boilers and turbine generating equipment. Each task authorized under such contracts (which may be referred to as a "Change Order," "Purchase Order" or "Task Number") is considered a separate commitment and must be separately approved in accordance with the EAPs.

E. The term of a Personal Services contract is limited to a maximum of five (5) years, including any extensions. However, at the sole discretion of the Vice President of SSM may approve a Business Unit's written justification for a contract term exceeding 5 years or reasonable extension of such a contract.

F. The term of a Purchase Order Release may extend beyond the term of the Value Contract with the approval of the Vice President of SSM. ~~For construction value contracts whose term is about to expire and the contract work will not be completed within the contract term a purchase order releases maybe issued up to the term limit of the value contract to complete the work. The term of a construction purchase order release shall be as required to complete the work assigned. The term of the value contract shall be extended accordingly. No additional contract extensions are permitted.~~

G. Multiyear contracts for Goods (which include equipment, materials and supplies, as defined in Section 2.F) valued or estimated to be $5,000 or greater are subject to the management approval thresholds established in the EAPs, and require Trustee approval only once those thresholds are met.

H. When time constraints or emergency conditions require extending an existing contract with an initial duration of less than a year beyond a year, and the cumulative monetary change order value does not exceed the appropriate limit set forth in the EAPs, the Business Unit Head, with the prior concurrence of the Vice President, SSM or equivalent(s) or designee, may authorize extending such contract, subject to the Trustees ratifying such action as soon as practicable.

I. When the total estimated contract value or the value of the extension exceeds the monetary limits set forth in the EAPs, interim approval by the President and Chief Executive Officer or Chief Operating Officer or equivalent(s) or designee is required, subject to the Trustees ratifying such action as soon as practicable.

J. When time constraints or emergency conditions require immediate commencement of services to be performed for a period of more than one year, and when the contract value exceeds the monetary approval limit for the President and Chief Executive Officer or Chief Operating Officer or equivalent(s), as set forth in the EAPs, the President and Chief Executive Officer or Chief Operating Officer or equivalent(s) or designee, with the prior concurrence of the Vice President, SSM or equivalent(s) or designee, may authorize in writing the commencement of such services. The initial compensation limitation may not exceed the authorization level for the President and Chief Executive Officer or equivalent(s) or Chief Operating Officer or equivalent(s) as set forth in the EAPs. Such contracts will be subject to the Trustees' approval, which will be solicited at their next scheduled Trustee meeting.

K. The White Plains SSM Department or the facilities' SSM Departments prepare the contract for execution by the Authority and the successful bidder. No work by the selected contractor will commence until the contract is executed by both parties, except that mutually signed letters of award or intent may initiate work prior to formal execution. Authority signatories of such letters must be authorized to approve contract awards pursuant to the EAPs.

L. Pursuant to Economic Development Law § 143, the Authority shall submit an announcement of the intended contract for inclusion in the procurement opportunities newsletter at the time it enters into a contract. Such announcement shall identify the contract, specify the date of the award of the contract and provide the name of and contact information for each recipient of the contract.

M. Pursuant to Public Authorities Law § 2879, the Authority shall notify the Commissioner of Economic Development of the award of any Procurement Contract for the purchase of goods and/or services from a Foreign Business Enterprise (as defined in Subsection 3.E.3 of these Guidelines) in an amount equal to or greater than $1 million simultaneously with notifying the successful bidder therefor. The Authority shall not enter into the Procurement Contract for said goods and/or services until at least 15 days have elapsed from the notification of the award, except for a Procurement Contract awarded on an emergency or critical basis. The notification to the Commissioner shall include the name, address, telephone and facsimile number of the Foreign Business Enterprise, the amount of the proposed Procurement Contract and the name of the individual at the Foreign Business Enterprise or acting on behalf of same who is principally responsible for the proposed Procurement Contract.

7. CONTRACT PROVISIONS

A. The following standard forms of contracts are available from the White Plains SSM Department: purchase order format (for standard procurements of goods and/or

services); furnish-and-deliver format (for major equipment purchases); long form agreements (for consulting services) and maintenance agreement formats; contract work orders (for construction work of small magnitude); construction contracts (for major construction work) and furnish, deliver and install contracts (for specialized, major procurements where single responsibility is required for procurement and installation). These contract forms are intended to govern the purchase of goods and/or performance of services.

Authority departments proposing to initiate a Procurement Contract should review these forms to suggest any modifications and additions that may be required for the particular goods and/or services. Under no circumstances should contract forms be shown to proposed bidders without the prior approval of the SSM Department, which, along with the facilities' SSM Departments, is solely responsible for requesting proposals.

B. The following types of provisions setting forth contractor responsibilities are to be contained in the standard forms of Procurement Contracts, except that any provisions listed below that are inapplicable or unnecessary because of the nature or duration of the work to be performed, the location(s) where the work is to be performed or the type of compensation being paid therefor, need not be included. Other provisions may be added as necessary and appropriate.

1. Schedule of Services or Specifications
2. Time of Completion
3. Compensation or Itemized Proposals
4. Relationship of Parties
5. Delays
6. Termination
7. Changes in the Work
8. Claims and Disputes
9. Warranty
10. Insurance
11. Records, Accounts, Inspection and Audit
12. Assignment
13. Notices
14. Indemnification
15. Governing Law
16. Proprietary Nature of Work
17. Testimony
18. MWBE requirements
19. SDVOB requirements
20. Entire Agreement

<u>Contract Attachments</u>

1. Compensation Schedule
2. Schedule of Services or Specifications
3. Appendix "A" (Miscellaneous Statutory Provisions)

4. Appendix “B” (Prompt Payment Provisions)
5. Appendix “C” (Minority- and Women-owned Business Enterprise (MWBE) Participation Goal Requirement)
6. Appendix “D” (Background Security Screening for Authority Contractors)
7. Appendix “E” (Omnibus Procurement Act of 1992 Requirements)
8. Appendix “F” (Computer Aided Design Requirements For New York Power Authority Drawings)
9. Appendix “G” (Equal Employment Opportunities Requirements)
10. Appendix “H” (Tax Law Requirements)
11. Appendix “I” (New York Power Authority (NYPA) North American Electric Reliability Corporation Critical Infrastructure Protection (NERC CIP) Cyber Access And/or Unescorted Physical Access Training Requirements)
12. Appendix “J” (Bidder/Contractor Compliance with State Finance Law §§ 139-j and 139-k Providing for Certain Procurement Disclosures)
13. Appendix “K” (Additional State and Federal Provisions Required for American Recovery and Reinvestment Act (Pub. L. No. 111-5 Stat. 2009) (“ARRA”) Funded Projects) - inactive
14. Appendix “L” (DOE Federal Contract Provisions) - inactive
15. Appendix “M” (Use of Ultra Low Sulfur Diesel Fuel and Best Available Retrofit Technology (“BART”) for Heavy Duty Vehicles)
16. Appendix “N” (The New York State Iran Divestment Act of 2012 – Iranian Energy Sector Divestment)
17. Appendix “O” (Encouraging Use of New York State Businesses in Contract Performance) – inactive
18. Appendix “P” (Non Bulk Electric System (BES)) (Information Security Requirements for Vendors and External Partners non Bulk Electric System)
19. Appendix “P” for BES (Information Security Requirements for Vendors and External Partners for Bulk Electric System)

C. If a vendor (firm, person or other entity) participates in the development or writing of the specifications for a procurement solicitation, such vendor shall not be permitted to bid on such procurement, either as a prime vendor or as a subcontractor at any level. Contracts for evaluation of offers for products or services shall not be awarded to a vendor that would then evaluate its own offers for products or services.

Furthermore, any firm, person or other entity retained by the Authority to provide conceptual studies, designs or specifications is prohibited from being awarded future phases of work, including implementation, related to the original work.

The above restrictions shall not apply where:

1. The vendor is the sole source or single source of the product or service;

2. More than one vendor has been involved in preparing the specifications for a procurement proposal;

3. There is no qualified response to the solicitation for future phases of work, including implementation, or Design-Build or Engineer, Procure Construct; or

4. The originating Authority Business Unit determines in writing that the restrictions are not in the best interests of the Authority. Such originating Business Unit shall obtain the approval of the applicable Business Unit Head or equivalent(s), Vice President, SSM or equivalent(s) or designee, Assistant General Counsel or equivalent(s) and President and Chief Executive Officer or designee or Chief Operating Officer or equivalent(s) to waive this restriction on a case-by-case basis.

8. CHANGE ORDERS

A. Change Orders to existing contracts are justified in the following cases:

1. To incorporate additional work related to the original scope, to delete work or to otherwise modify the original work scope;
2. To exercise options previously included in the original contract to perform additional work or to extend the contract term;
3. To accommodate emergency conditions, defined in Section 3.M herein, that require the immediate performance of work by a firm already under contract;
4. When rebidding would not be practical or in the best interests of the Authority's customers; and
5. To meet the Authority's Supplier Diversity and SDVOB Program goals in accordance with Executive Law Articles 15-A and 17-B, respectively.

B. All Change Orders must be approved in accordance with the Authority's EAPs, and should include specific schedules for completion of work at the earliest possible time.

C. Pursuant to Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, the Authority may be required to submit certain Change Orders to the New York State Comptroller for filing or approval where the aggregate value of the contract as amended is in excess of $1 million and the original contract was awarded on the basis of a competitive procurement, but the modification was neither contemplated nor provided for in the solicitation for such competitive procurement.

9. CONTRACTING DECISIONS INVOLVING CURRENT OR FORMER EMPLOYEES

A. Former Authority officers and employees may be eligible to be considered for direct engagement as contractors and/or consultants provided that they meet all criteria for contractors and/or consultants generally as specified in these Guidelines; their engagement is not barred by New York Public Officers Law § 73(8); they obtain an opinion by the New York State Joint Commission on Public Ethics that such engagement is permissible; and upon approval of the President and Chief Executive Officer, as well as the Chairman of the Board of Trustees.

B. Pursuant to the provisions of New York Public Officers Law § 73(8):

1. No Authority officer or employee is eligible, within a period of two years after the termination of Authority service to appear or practice before the Authority or receive compensation for any services rendered on behalf of any person, firm,

corporation or association, in relation to any case, proceeding or application or other matter before the Authority.

2. No Authority officer or employee is eligible, at any time after the termination of Authority service, to appear, practice, communicate or otherwise render services before the Authority or any other state agency or receive compensation for any such services rendered on behalf of any person, firm, corporation or other entity in relation to any case, proceeding, application or transaction that such person was directly concerned with and personally participated in during his or her period of service, or which was under his or her active consideration.

3. Pursuant to the provisions of New York Public Officers Law § 73(8-b), notwithstanding the provisions of 1. and 2. above, a former Authority officer or employee may contract individually, or as a member or employee of a firm, corporation or association, to render services to the Authority, if, prior to engaging in such service, the Chairman of the Board of Trustees certifies in writing to the New York State Joint Commission on Public Ethics that such former officer or employee has expertise, knowledge or experience with respect to a particular matter which meets the Authority's needs and is otherwise unavailable at a comparable cost. Where approval of the contract is required under § 112 of the New York State Finance Law, the Comptroller shall review and consider the reasons for such certification. The New York State Joint Commission on Public Ethics must review and approve all such certifications.

C. No Authority employee who is involved in the award of Authority grants or contracts may ask any officer, director or employee of such current or prospective contractor or grantee to reveal: (a) the political party affiliation of the individual; (b) whether the individual or entity has made campaign contributions to any political party, elected official or candidate for elective office or (c) whether the individual voted for or against any political party, elected official or candidate for elective office.

D. No Authority employee may award or decline to award any grant or contract, or recommend, promise or threaten to do so because of a current or prospective grantee's or contractor's: (a) refusal to answer any inquiry prohibited by Section 9.C above or (b) giving or withholding or neglecting to make any contribution of money, service or any other valuable thing for any political purpose.

E. No Authority employee may take part in any contracting process or decision: (i) to a Relative; or (ii) to any entity in which the Authority employee or a Relative of such Authority employee owns or controls 10% or more of the stock of such entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange); or serves as an officer, director or partner of that entity. If a contracting matter arises relating to this Section 9.E, then the employee must advise in writing his or her supervisor and the Office of Ethics and Compliance of the relationship, and must be recused from any and all discussions or decisions relating to the matter.

For purposes of this Section 9.E, the term "Relative" is defined in Definitions, Section 2.L of these Guidelines.

10. SUPPLIER DIVERSITY PROGRAM REQUIREMENTS

The Authority strives to continue to foster the development of business opportunities on Authority contracts for MWBEs. Article 15-A of the Executive Law established the NYS Office (now Division) of Minority and Women's Business Development ("DMWBD") that is responsible for developing rules and regulations for implementation of this statute, certifying MWBEs and reviewing and monitoring goal plans, compliance reports and contract provisions to be included in all non-construction contracts for more than $25,000 and construction contracts for more than $100,000. The definition of an MWBE is included in Section 2.G of these Guidelines. The Authority aims to solicit proposals from NYS-certified MWBEs that are qualified to perform the required work. In addition, specific goals may be included in certain contracts for consulting work, construction and procurement of goods and other services requiring the contractor/vendor to subcontract a portion of the work to NYS-certified MWBEs as required by law. Bidders' proposals will include a completed preliminary Utilization Plan Form for MWBEs, as well as applicable EEO and Diversity Practices Forms, where required. Such bidders' failure to meet these requirements may be grounds for rejection of the proposal, or cancellation of the contract if a contractor did not make a good faith effort to meet its goals after contract award. Final MWBE Utilization Plans for Construction contracts valued at more than $100,000 shall be provided and posted on the Authority's procurement website by the successful vendor within ten business days of contract signing.

Pursuant to § 2879 of the Public Authorities Law and as further set forth in the Authority's Supplier Diversity Program documents, the following guidelines apply:

1. Identify those areas or types of contracts for which MWBEs may best bid so as to promote and assist participation by such enterprises and facilitate a fair share of the awarding of contracts to such enterprises.

2. Provide notice, in addition to any other notice of procurement opportunities required by law, to professional and other organizations that serve MWBEs providing the types of services procured by the Authority.

3. Maintain lists of qualified NYS-certified MWBEs, including professional firms that have expressed an interest in doing business with the Authority and ensuring that such lists are updated regularly. The Authority shall also consult the lists of NYS-certified MWBEs maintained by the DED pursuant to Executive Law Article 15-A.

4. Establish appropriate goals for participation by MWBEs in Procurement Contracts awarded by the Authority and for the utilization of MWBEs as subcontractors and suppliers by entities having Procurement Contracts with the Authority. Statewide numerical participation target goals shall be established by the Authority based on the criteria set forth in Public Authorities Law § 2879.

5. Conduct procurements in a manner that will enable the Authority to achieve the maximum feasible portion of the goals established pursuant to Subdivision 4 of this Section and that eliminates barriers to participation by MWBEs in the Authority's procurements.

6. Designate one or more senior staff of the Authority to oversee the Authority's programs established to promote and assist participation by and utilization of NYS-certified MWBEs.

11. SERVICE-DISABLED VETERAN-OWNED BUSINESS ("SDVOB") PROGRAM REQUIREMENTS

The Authority also strives to foster the development of business opportunities for NYS-certified SDVOBs and to further increase participation by SDVOBs in Authority contracts, as set forth in Sections 2.R and 3.I of these Guidelines and pursuant to Article 17-B of the Executive Law. One tool is the use of SDVOB discretionary purchasing, as further described in Sections 3.D, 3.I, and 3.K.6of these Guidelines. Another tool authorized by the law is the use of set-asides, which permit the reservation in whole or in part of certain procurements by state agencies and authorities when more than one NYS-certified SDVOB is available and can provide the necessary goods or services to meet the Authority's form, function and utility. The same dollar limits apply to SDVOB contracts as those set forth for MWBEs in Article 10 of these Guidelines.

Pursuant to Article 17-B of the Executive Law, the following guidelines apply:

1. Identify contracts where SDVOBs may best perform and/or where SDVOB goals are practical, feasible and appropriate for the purpose of increasing the utilization of SDVOB participation on Authority contracts. Submit regular reports with respect to SDVOB Program activity, including but not limited to, utilization reporting and contract monitoring and compliance.
2. Achieve an overall goal of six percent for SDVOB participation on Authority contracts.

12. DISADVANTAGED BUSINESS ENTERPRISE ("DBE") PROGRAM REQUIREMENTS ON PROJECTS THAT ARE FEDERALLY FUNDED

The Authority strives to foster the development of business opportunities for NYS certified DBEs and to further increase their participation in NYPA Federally funded contracts. The Authority aims to solicit proposals from DBEs for procurements that will be partially or fully federally funded. The Authority follows the DBE guidelines as set out by The Federal Department of Transportation ("DOT"). NYS DOT is tasked with certifying eligible small businesses as DBEs in New York State.

The Authority is committed to promoting participation of DBEs in NYPA contracting opportunities in accordance with federal law and regulations and seeks to achieve the following objectives:

1. To ensure nondiscrimination in the award and administration of Federally funded contracts;
2. To create a level playing field on which DBEs can compete fairly for Federally funded contracts;
3. To ensure that the Authority's DBE program is narrowly tailored in accordance with applicable law;
4. To ensure that only firms that fully meet this Federal eligibility standards are permitted to participate as DBEs;

5. To help remove barriers to the participation of DBEs in Federally funded contracts;
6. To promote the use of DBEs in all types of federally-assisted contracts and procurement activities.
7. To assist the development of firms that can compete successfully in the marketplace outside the DBE program; and
8. To provide appropriate flexibility to recipients of Federal financial assistance in establishing and providing opportunities for DBEs.

13. PROCUREMENT RECORD AND REPORTING

A. Procurement Record

The White Plains SSM Department maintains records of Procurement Contracts. In addition to bid- and contract award-related documents for the goods provided and/or services performed, the Procurement Record includes, but is not limited to, documentation of the decisions made and the approach taken in the procurement process. Such records are transmitted to the Digital Warehouse for electronic storage and retrieval. At the facilities, such records are currently maintained and stored by the facilities' SSM Departments.

B. Procurement Report

After the end of each calendar year, the Vice President, SSM or equivalent(s) will prepare and submit an annual report to the Trustees for their approval that will include:

1. A copy of the Guidelines;
2. An explanation of the Guidelines and any amendments thereto since the last annual report;
3. A list of all Procurement Contracts entered into since the last annual report, including all contracts entered into with New York State Business Enterprises and the subject matter and value thereof and all contracts entered into with Foreign Business Enterprises and the subject matter and value thereof;
4. A list of fees, commissions or other charges paid;
5. A description of work performed, the contract number, the date of the contract and its duration, the name, address and NYS-certified MWBE designation of the awardees, the total amount of the contract, the amount spent on the contract during the reporting period and for the term of the contract to date and the status of open Procurement Contracts during the report year;
6. The type of contract (equipment, services, personal services or construction);
7. The method of awarding the contract (e.g., competitive bidding, Sole Source, Single Source or competitive search);
8. The reasons why any procurements with a value equal to or greater than $50,000 were not noticed in the Contract Reporter;
9. The number of bids received and
10. All referrals made and all penalties imposed, if any, pursuant to § 316 of the Executive Law.

C. Such annual report, as approved by the Trustees, shall be submitted to the New York State Division of the Budget within 90 days of the end of such calendar year, and copies thereof shall be distributed to the New York State Department of Audit and Control, the DED, the New York State Senate Finance Committee, and the New York State Assembly Ways and Means Committee and any other entity as may be required by law. The annual procurement report is posted on the Authority's website and copies shall be made available to the public upon reasonable written request therefor.

D. State Finance Law §§ 139-j and 139-k

1. A statement describing the basis for a determination of a bidder's/contractor's non-responsibility (per State Finance Law §§ 139-j and 139-k only) and the Authority's decision not to award a bidder/contractor the Procurement Contract must be included in the Procurement Record.

2. The Authority shall notify the New York State Office of General Services of bidders/contractors who have been determined to be non-responsible bidders (per State Finance Law §§ 139-j and 139-k only) or debarred due to violations of § 139-j of the State Finance Law.

3. All forms entitled "Record of Contact" shall be included in the respective Procurement Record.

4. A statement describing the basis for a termination of a Procurement Contract for providing an intentionally false certification must be included in the Procurement Record.

E. The Authority may be called upon periodically to submit information regarding the procurement of goods and/or services to organizations implementing the PAAA or other statutes regulating the procurement of goods and services, such as the Authorities Budget Office through the Public Authorities Reporting Information System ("PARIS").

F. The Vice President, SSM or equivalent(s) will also prepare Annual Goal Plans for the MWBE and SDVOB programs and will submit them by January 15 of each year to Empire State Development - Division of Minority and Women Business Development and the New York State Office of General Services - Division of Service-Disabled Veterans' Business Development, respectively. Quarterly Utilization / Activity Reports for each program will also be prepared and submitted to the aforementioned respective state entities by the 15th day of July, October, January and April.

14. THIRD PARTY RIGHTS: VALIDITY OF CONTRACTS

A. These Guidelines are intended for the guidance of officers and employees of the Authority only. Nothing contained herein is intended, nor should it be construed, to confer on any person, firm or corporation any right, remedy, claim or benefit under, or by reason of, any requirement or provision hereof.

B. Nothing contained in these Guidelines alters or affects the validity of, modifies the terms of or impairs any contract or agreement entered into in violation of these Guidelines.

Exhibit A-3
March 30, 2021

CANAL CORPORATION GUIDELINES FOR PROCUREMENT CONTRACTS

1. PURPOSE

These Guidelines for Procurement Contracts ("Guidelines") set forth the policy of Canal Corporation regarding the solicitation and awarding of Procurement Contracts. The provisions of Article 4-C of the Economic Development Law, §§ 2879 and 2879-a of the Public Authorities Law, Articles 15-A and 17-B of the Executive Law and §§ 139-j and 139-k of the State Finance Law were considered in developing these Guidelines. Departments and facilities may adopt further procedures to implement these Guidelines.

2. DEFINITIONS

A. "Capital projects" generally refer to the acquisition or construction of new assets, the replacement and/or betterment of existing assets, equipment, or property (including those of NYPA's customers, where authorized). Betterment refers to an extension of the useful life or improvement in the efficiency and/or capacity of the asset, equipment, or property.

B. "Contact" is any oral, written, or electronic communication with the Authority under circumstances where a reasonable person would infer that the communication was intended to influence the Authority's conduct or decision regarding the procurement.

C. "Design-Build" is a method of project delivery where there is one entity, one contract, one unified flow of work from initial concept through completion. Design-Build is also referred to as Engineer, Procure, Construct (EPC) in some instances.

D. "Discretionary Purchase" is a procurement made below statutorily established monetary threshold amounts (e.g., not exceeding $500,000 for the purchase of commodities and/or services from Small Business Enterprises or NYS-certified MWBE firms, and without a dollar cap for SDVOB firms as further set forth in Sections 3.D and 3.K.5-7) and at the discretion of the Authority, without the need for a formal competitive bid process. For the purpose of determining whether a purchase is within the discretionary thresholds, the aggregate amount of all purchases of the same commodities and/or services to be made within the 12-month period commencing on the date of purchase shall be considered. A change to or a renewal of a discretionary purchase shall not be permitted if the change or renewal would bring the reasonably expected aggregate amount of all purchases of the same commodities and/or services from the same provider within the 12-month period commencing on the date of the first purchase to an amount greater than $500,000, pursuant to State Finance Law § 163.

E. "Disadvantaged Business Enterprise" (DBE) is a for-profit small business concern (1) that is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and (2) whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it, pursuant to the definition found in 49 C.F.R Part 26.

F. "Evaluation of Proposals," as further outlined in Section 4 below, includes evaluating factors the Authority's consideration of a bidder's skill, judgment, and business integrity.

G. "Goods" include equipment, material and supplies of any kind. Procurement Contracts that include both equipment and services may be classified as Equipment," where 60% or more of the total projected contract value will be for the purchase of equipment, material or supplies.

H. "Minority- and Women-owned Business Enterprise" ("MWBE") is defined as any New York State-certified business enterprise at least 51% of which is owned by black persons, Hispanics, Native Americans, Asians, Pacific Islanders and/or women, and as further described in the Authority's Supplier Diversity Program Policy and Procedures and Executive Law Article 15-A, and pursuant to the definition found in Executive Law § 310.

I. "Non-Procurement Contracts" include contracts under $5,000, contracts for energy with or without environmental attributes included, capacity, renewable energy certificates, ancillary services, transmission, distribution or related services in support of providing service to Authority customers; contracts for differences; financial hedge contracts (including but not limited to swaps, calls, puts or swap options) or credit rating services; certain insurance and healthcare products that do not readily lend themselves to a competitive solicitation. In addition, Non-Procurement Contracts include direct and indirect placement of advertisements with radio, television, print and electronic media, periodicals, subscriptions, reference materials or professional research tools, written materials, fees or tuition associated with continuing education courses, training courses, conferences, seminars and symposiums, funding agreements, co-funding agreements, grants or memberships in various industry groups, professional societies or similar cooperative associations, or any cooperative projects and procurement activities conducted or sponsored by such organizations in which the Authority participates.

J. "Operation and Maintenance" ("O&M") generally refers to the work or services necessary to keep the plants, transmission lines, and other equipment and facilities to include NYPA customers, where authorized, (collectively referred to generally as an "asset") in optimal operating condition and/or to restore an asset to its productive capacity. This includes the cost of inspecting, testing, analyzing and reporting on the condition of the asset required to determine repairs or replacement, as well as costs associated with the normal operation and administration of NYPA's production/transmission facilities and energy programs.

K. "Procurement Contracts" are contracts for the acquisition of goods and/or services in the actual or estimated amount of $5,000 or more. Such goods and/or services are those necessary to support the Authority's White Plains office, facilities, operations and maintenance ("O&M") and capital projects (as defined in Section 2.I. and 2. A., respectively), including but not limited to goods such as office supplies, major electrical equipment, construction and maintenance work and services as more fully described in Section 2.F and 2.M.

L. "Purchase Order Release" is a single order issued for goods or services in accordance with the terms and conditions of a Value Contract.

M. "Relative" is any person living in the same household as the Authority employee or any person who is a direct descendant of the Authority employee's grandparents or the spouse of such descendant, as referred to in Subsection 9.E.1 of these Guidelines. The term Relative

may include, but is not limited to, the relationship of spouse, child, parent, sister, brother, grandparent, grandchild, aunt, uncle, cousin, niece, nephew, stepchild, stepparent, stepsister, stepbrother, mother-in-law, father-in-law, sister-in-law, brother-in-law, daughter-in-law or son-in-law.

N. "Services Contracts" are Procurement Contracts for services of a consulting, professional or technical nature provided by outside consultants/contractors (individuals, partnerships, or firms who are not and do not employ officers or employees of the Authority) for a fee or other compensation. Services Contracts comprise three specific types: Personal Services, Non-Personal Services, and Construction. Personal Services include, but are not limited to: accounting, architectural, engineering, financial advisory, legal, public relations, planning, management consulting, surveying, training (when specifically developed by a consultant for the Authority), and construction management. Non-Personal services include but are not limited to skilled or unskilled temporary personnel, including clerical office staff, technicians, or engineers working under Authority's supervision, maintenance, repairs, and printing services. Construction consists of craft labor and other services utilizing laborers and/or mechanics not otherwise considered Non-Personal Services

> Note: Use of such services may be appropriate (1) when a consultant/contractor possesses special experience, background or expertise; (2) when there is insufficient Authority staff and retention of a consultant/contractor is more appropriate or economical than hiring additional permanent staff; (3) to provide independent external review or a second opinion; (4) to meet unusual schedule requirements or emergencies or (5) for a combination of the aforementioned factors.

O. "Single-Source" is a procurement in which the Authority, upon written findings setting forth material and substantial reasons, may award a contract (or amendment to a contract) to one offeror over another that can supply the goods or services.

P. "Small Business" (or Small Business Enterprise, "SBE"), pursuant to Executive Law § 310 and as used in these Guidelines, unless otherwise indicated, is a business that has a significant business presence (as defined at 5 NYCRR 140.1) in New York State, is independently owned and operated, not dominant in its field and employs not more than 300 people.

Q. "Software" includes on-premises applications as well as Software-as-a-Service (SaaS) which is defined as a software distribution model in which a third-party provider hosts application and makes access available to customers over the Internet. "Software" shall be considered "Equipment" where such term is used throughout these Guidelines.

R. "Sole Source" is a procurement in which only one offeror is capable of supplying the required goods or services.

S. "Service-Disabled Veteran-Owned Business" ("SDVOB") is a business enterprise, including a sole proprietorship, partnership, limited liability company or corporation that is at least 51% owned by one or more service-disabled veterans; in which such ownership is real, substantial and continuing, and also has and exercises the authority to control independently the day-to-day business decisions of the enterprise; is a Small Business and is certified by the New York State Office of General Services, as further set forth in Article 17-B of the Executive Law.

T. "Value Contract" Master Service Agreement for goods and services with specific target value and term.

3. SOLICITATION REQUIREMENTS

A. Preparation of the solicitation of proposals for Procurement Contracts is the joint responsibility of the White Plains Strategic Supply Management ("SSM") Department, or the Canal Corporation SSM Department, and the initiating department. Except as otherwise authorized by these Guidelines, a Request for Proposals ("RFP") or Request for Quotations ("RFQ") will be made available to a minimum of three providers and/or firms (if available) for purchases valued under $50,000 and a minimum of five providers and/or firms (if available) for purchases valued at $50,000 and greater, commensurate with the magnitude and nature of the goods and/or services, and the schedule for performance.

B. Prospective bidders on Procurement Contracts may be prequalified by invitation advertised in the same manner as an RFP/RFQ (referred to as a Request for Qualifications and/or Request for Information ("RFI"). In such cases, proposals are requested only from those providers and/or firms whose prequalification submittals demonstrate sufficient ability and competence (including, but not limited to, the bidder's skill, judgment and business integrity) to supply the particular goods and/or perform the particular services required.

C. The Canal Corporation may withdraw any pending solicitation (including but not limited to RFPs and RFQs) at any time, for cause or no cause. Any person or entity submitting any responsive document to the Canal Corporation does so at its own cost or expense and will not be reimbursed by the Canal Corporation for the preparation of any responsive document, unless otherwise agreed to in writing and signed by an authorized Canal Corporation representative.

D. In order to promote the use of Minority- and Women-owned Business Enterprises ("MWBEs"), Service-Disabled Veteran-Owned Businesses ("SDVOBs") and Small Business Enterprises ("SBEs"), the Canal Corporation will solicit offers from such firms known to have experience in the type of goods and/or services to be provided, regardless of the type of contract. For the purpose of these Guidelines, the definitions of NYS-certified MWBE or SDVOB firms and SBEs are set forth in Sections 2.H, 2.L and 2.I, respectively. To foster increased use of MWBEs and SBEs, a single proposal may be sought, negotiated and accepted for discretionary purchases of goods and/or services not exceeding $500,000, in the aggregate including all amendments, from a NYS-certified MWBE or an SBE that offers a reasonable price for such goods and/or services. An SDVOB may be awarded on the basis of a single proposal that offers a reasonable price for such goods and/or services without a dollar cap. The award of such proposal requires the written approval of the Vice President, SSM. Any subsequent alteration to the accepted proposal, including, but not limited to, change orders, amendments, or supplemental terms shall also necessitate the written approval of the Vice President, SSM. Furthermore, the award of such Procurement Contracts will be noticed on the *Contract Reporter* website, as further set forth in Section 3.H.

E. It is the policy of New York State to promote the participation of and maximize the opportunities for New York State Business Enterprises and New York State residents in

Procurement Contracts. The Canal Corporation will endeavor to promote such participation and to comply with the applicable statutory provisions. In furtherance of Public Authorities Law § 2879, the following definitions and actions apply:

1. "New York State Business Enterprise" is a business enterprise, including a sole proprietorship, partnership or corporation that offers for sale or lease or other form of exchange, goods sought by the Canal Corporation that are substantially manufactured, produced or assembled in New York State or services, excluding construction services, sought by the Canal Corporation that are substantially performed within New York State as further described in Public Authorities Law § 2879.

2. "New York State resident" is a person who maintains a fixed, permanent and principal home in New York State to which such person, whenever temporarily located, always intends to return as further described in Public Authorities Law § 2879.

3. "Foreign Business Enterprise" is a business enterprise, including a sole proprietorship, partnership or corporation, that offers for sale, lease or other form of exchange, goods sought by the Canal Corporation that are substantially produced outside New York State, or services other than construction services, sought by the Canal Corporation that are substantially performed outside New York State as further described in Public Authorities Law § 2879. For purposes of construction services, Foreign Business Enterprise is a business enterprise, including a sole proprietorship, partnership or corporation, which has its principal place of business outside New York State.

4. "Discriminatory Jurisdiction" is any country, nation, province, state or political subdivision thereof which employs a preference or price distorting mechanism to the detriment of, or otherwise discriminates against, a New York State Business Enterprise in the procurement of goods and/or services by the same or a non-governmental entity influenced by the same.

5. Pursuant to Public Authorities Law § 2879, the Canal Corporation shall not enter into a contract with a Foreign Business Enterprise which has its principal place of business in a Discriminatory Jurisdiction contained on the list prepared by the Commissioner of the New York State Department of Economic Development ("DED"). The provisions of this section may be waived by the NYPA's President and CEO if the CEO determines in writing that it is in the best interests of the Canal Corporation to do so, as further set forth in the above-referenced law.

6. Pursuant to Public Authorities Law § 2879, the Canal Corporation will, where feasible, make use of the stock item specification forms of New York State manufacturers, producers and/or assemblers, as made available by the Commissioner of General Services, for any Procurement Contract for the purchase of goods.

F. Certain goods and/or services may be procured pursuant to Procurement Contracts let by any department, agency, officer, political subdivision or instrumentality of the State (e.g.,

the New York State Office of General Services ("OGS")) or Federal government (e.g., General Services Administration ("GSA")) or any city or municipality where the White Plains SSM Department, or Canal Corporation SSM Department, and the initiating department determine that a reasonable potential exists for cost savings or other benefits to the Canal Corporation and have approved the specifications and proposed terms and conditions of such contract.

Certain Procurement Contracts established by the OGS or GSA require that authorized users conduct a "mini-bid" (i.e., an abbreviated supplemental competitive bid procurement process) among prequalified bidders identified in such established contracts. Certain other Procurement Contracts issued by the Canal Corporation (e.g., for on-call consulting or contracting services) may also utilize a mini-bid process, typically, in cases of a multiple award, where a contract is awarded to more than one bidder that meets the Canal Corporation bid requirements, in order to satisfy multiple factors and needs as set forth in the bid document. Such mini bids shall be conducted by the Canal's Corporation SSM staff (or on behalf of the Canal Corporation by an Implementation Contractor) where applicable and practicable. Within a said multiple award group, work may be assigned to a specific firm without conducting a mini-bid, under certain circumstances, including but not limited to: where such firm possesses specialized expertise and is uniquely qualified to perform such work; where time constraints, emergency or other critical conditions exist or geographic location is of primary consideration in order to meet schedule requirements, respond to emergent issues or otherwise meet the Canal's Corporation needs; or when the work scope is below a specified monetary threshold. The decision to assign work without conducting a mini bid shall typically be made jointly by the Canal Corporation SSM Department and initiating departments and shall be documented for the Procurement Record.

G. Solicitations will include a scope of work that defines the goods required and/or the services to be performed; evaluation criteria (as defined in Section 4.B.); milestone dates; the Canal Corporation Supplier Diversity Program and SDVOB requirements, if applicable; all other applicable Canal Corporation requirements and any special methods or limitations that the Canal Corporation chooses to govern the work. Telephone solicitation, usually for procurements valued at less than $50,000, may be used where time constraints do not permit issuance of an RFP, where issuance of an RFP is otherwise impracticable or for goods that are catalog items or do not require a detailed bill of materials or specification. All solicitations made by telephone shall be documented and made part of the Procurement Record.

H. For all Procurement Contracts with a value equal to or greater than $50,000 (except for those contracts noted below), the Canal Corporation will, prior to soliciting proposals, submit all required information to the Commissioner of the DED to be included on the New York State *Contract Reporter* website, (www.nyscr.ny.gov) (unless such posting would serve no useful purpose). Such information will be submitted to the DED Commissioner in accordance with the schedule set forth by the DED. The due date for bids or proposals will be a minimum of 15 business days after the date of publication of such notice on the *Contract Reporter* website, except where a shorter period is specifically authorized by law. For Procurement Contracts resulting from a Request for Proposal process, the Canal Corporation will submit the results of the bid opening, including the

names of firms submitting proposals and the name/s of the awardee/s, for inclusion on the *Contract Reporter* website. For all other Procurement Contracts, the name of the awardee will be submitted.

This section 3.H does not apply to (i) Procurement Contracts awarded on an emergency basis as described below in Section 3.M, (ii) Procurement Contracts being rebid or re-solicited for substantially the same goods and/or services, within 45 business days after the original due date, and/or (iii) Procurement Contracts awarded to not-for-profit human services providers. (See Article 4-C, Economic Development Law)

Certain Procurement Contracts may require purchases: (1) on a spot market; (2) needed prior to the time limits for noticing on the Contract Reporter website or that do not lend themselves to the solicitation process. Such purchases are exempted from the noticing requirements of Article 4-C of the Economic Development Law subject to the approval of the NYPA Vice President of Strategic Supply Management (SSM), and/or the head of the initiating department that does not complete its procurements through NYPA SSM or the Canal Corporation SSM Department. From time to time or where appropriate, generic notices may be published on the Contract Reporter website notifying potential bidders of such opportunities and soliciting qualification statements for consideration by the Canal Corporation.

Notwithstanding the foregoing, submittal of a notice / announcement of award for inclusion on the *Contract Reporter* website is required for Procurement Contracts with a value of $50,000 or more awarded on a sole source or single source basis, including such discretionary contracts not exceeding $500,000 awarded to Small Business Enterprises (SBEs) or MWBE firms, or for the purchase of goods and/or technology that are recycled or remanufactured, for discretionary awards on a single or sole source basis to SDVOB's, or for the purchase of food, including milk and milk products that are grown, produced or harvested in New York State, and certain other Procurement Contracts exempt from the general advertising requirement for Procurement Contract bidding opportunities, in accordance with the afore-referenced law. Such notice shall specify the name of the awardee.

I. In order to further increase participation of service-disabled veterans in New York State's contracting opportunities, the Service-Disabled Veteran-Owned Business ("SDVOB") Act was signed into law on May 12, 2014. The SDVOB program provides for eligible Veteran business owners to become certified as a New York State Service-Disabled Veteran-Owned Business. The Division of Service-Disabled Veterans' Business Development within the New York State Office of General Services ("OGS") is responsible for certifying eligible SDVOBs, assisting agencies and authorities in complying with the law, and promoting SDVOB participation in the state's procurement activities. Under this program, contracts may be awarded on a non-competitive basis to NYS-certified SDVOBs for discretionary purchases. Alternately, contracts may be competitively bid exclusively among NYS-certified SDVOBs regardless of value and advertised as such on the *Contract Reporter* website.

J. Proposals for certain Services Contracts may also be solicited by competitive search, as follows:

For contracts where the scope of work cannot be well defined or quantified, or where selection requires evaluation of factors such as breadth and depth of experience in a unique or highly specialized field and suitability as a Canal Corporation representative, a "competitive search" will be conducted to determine which consultants are most qualified, for reasonable compensation terms, to perform the work. Depending on market conditions, at least five potential sources should be evaluated; if there are fewer than five sources, all sources should be evaluated. The NYPA SSM Department or the Canal Corporation SSM Department staff will work with the initiating department to gather information from potential sources, that will include a description of the consultant/firm's qualifications, résumés of key personnel, past experience and proposed billing rates.

K. A Procurement Contract may be awarded on a Sole Source, Single Source, or other non-competitive basis where:

1. Compatibility of equipment, accessories or spare or replacement parts is the paramount consideration.
2. Services are required to extend or complement a prior procurement and it is impracticable or uneconomic to have a source other than the original source continue the work.
3. A sole supplier's item is needed for trial use or testing, or a proprietary item is sought for which there is only one source.
4. Other circumstances or work requirements exist that cause only one source to be available to supply the required goods and/or services.
5. The contract is awarded to a Small Business Enterprise or to a NYS-certified MWBE firm for discretionary purchases not exceeding $500,000, pursuant to Section 3.D and as further set forth in Section 2.C.
6. The contract is awarded to a NYS-certified SDVOB for a discretionary purchase
7. The contract is for the discretionary purchase of goods and/or technology that are recycled or remanufactured, in an amount not exceeding $500,000, as further set forth in Section 2.C and subject to the approvals stated in Section 3.D.
8. The contract is for the discretionary purchase of commodities that are food, including milk and milk products, which are grown, produced or harvested in New York State, in an amount not exceeding $500,000, as further set forth in Section 2.C and subject to the approvals stated in Section 3.D.
9. Services are required on a more expedited basis than the competitive procurement process will allow. Requesting business units must demonstrate the urgency of the project and that awardee is cost-effective and qualified in the subject area. Services shall be for specific scopes of work in an amount not exceeding $500,000 and are subject to the approvals stated in Section 3.D.
10. Purchases made on a Sole Source, Single Source, or other non-competitive basis are subject to Public Authorities Law § 2879-a, 2 NYCRR Part 206, entitled "Comptroller Approval of Contracts Made by State Authorities" ("Comptroller Regulations") and the State Authority Contract Manual.

L. Pursuant to Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, the Canal Corporation may be required to submit certain contracts to the New York State Comptroller for approval that are awarded on a Sole

Source, Single Source, or other non-competitive basis for the purchase of goods and/or services in an amount in excess of $1 million, and shall notify the successful bidder therefor. Such contracts or contract amendments shall not be valid and enforceable unless approved by the Comptroller or until 90 days have elapsed from such submission without action by the Comptroller, as further set forth in the referenced law and regulations.

M. Subject to the Canal Corporation Expenditure Authorization Procedures ("EAPs"), and Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, a Procurement Contract may be awarded without following the solicitation requirements that ordinarily apply (but using such competitive selection procedures as are practicable under the circumstances) where emergency conditions exist, such as:

1. A threat to the health or safety of the public or Canal Corporation employees or workers.
2. Proper functioning of the Canal Corporation facilities or construction or operating projects requires adherence to a schedule that does not permit time for an ordinary procurement solicitation.

N. Whenever an initiating department determines that a Procurement Contract should be awarded on a Single Source, Sole Source, or an emergency basis, the department head or other authorized equivalent per the EAPs will provide a written statement explaining the compelling reasons therefor to the NYPA Vice President, SSM. The award of such Procurement Contracts, regardless of value, requires the written approval of the NYPA Vice President, SSM, except as noted in Section 3.H.

O. Every potential Sole Source or Single Source contract with a value of $1 million or more must be approved by the NYPA President and CEO or the COO prior to processing by the NYPA SSM Department or Canal Corporation SSM Department.

P. In furtherance of Public Authorities Law § 2800, when a procurement is made on a non-competitive basis, and the price for goods or services purchased exceeds fair market value, prior to making the purchase, the Business Unit Head of the initiating department shall provide a detailed explanation of the justification for making the purchase and a certification shall be signed by the NYPA Chief Executive Officer and Chief Financial Officer stating that they have reviewed the terms of such purchase and determined that it complies with applicable law and procurement guidelines. The following definition shall apply: "Fair Market Value" shall mean the estimated dollar amount that a willing buyer would pay to a willing seller for property in an arms-length transaction in the appropriate marketplace and under similar circumstances. Fair market value may be determined by internal appraisals, industry-recognized sources, or other methods of valuation generally accepted in the industry in which such property is utilized, as may be approved by the NYPA Vice President, SSM or authorized designee.

Q. It is the policy of New York State to discourage improper communications intended to influence a governmental procurement. The Canal Corporation will endeavor to control such practices and will comply with the applicable statutory provisions. In furtherance of the State Finance Law §§ 139-j and 139-k, the following shall apply:

The "Restricted Period" is the period of time commencing with the earliest posting, on the Canal Corporation website, in a newspaper of general circulation, or in the Procurement Opportunities Newsletter (i.e., New York State *Contract Reporter*) in accordance with Article 4-C of the Economic Development Law of written notice, advertisement or solicitation of a request for proposal, invitation for bids, or solicitation of proposals, or any other method provided for by law or regulation for soliciting a response from offerors (i.e., bidders/con- tractors) intending to result in a Procurement Contract with the Canal Corporation and ending with the final contract award and approval by the Canal Corporation and, where applicable, the State Comptroller. The "Restricted Period" also applies to a "mini-bid" process that may be utilized in certain established OGS, GSA or Canal Corporation multiple award contracts, as provided in Section 3.F.

The Canal Corporation shall designate a person or persons who may be contacted, with respect to each Canal Corporation procurement. The bidders/contractors or persons acting on their behalf, shall only contact the Canal Corporation's designated person or persons where a reasonable person would infer that the communication was intended to influence the procurement during the Restricted Period.

R. In furtherance of the Canal Corporation commitment to ensure transparency and accountability of its operations, every member, officer or employee of the Canal Corporation who is contacted by a lobbyist is required to make a contemporaneous record of such contact, pursuant to Public Authorities Law § 2987.

S. Project Sunlight (Chapter 399, Part A, Section 4 of the Laws of 2011) requires the Canal Corporation to record in a database maintained by the New York State Office of General Services certain appearances between the Canal Corporation and individuals, firms or other entities (excluding elected officials and representatives of federal, state and local agencies and authorities) relating to the procurement of a contract, with a value of $25,000 or more, for real property, goods or services. Appearances are defined as an interaction through an in-person meeting or a video conference between covered individuals. Appearances related to emergency procurements and disposal of property through public auctions are excluded, as are appearances that take place during the formal "Restricted Period." Covered individuals at the Canal Corporation means an employee who has the power to exercise discretion in procurement matters or advises someone who exercises such discretion. A covered individual outside of the Canal Corporation means both "external" (e.g., a lobbyist) and "internal" (e.g., sales representative) representatives of an entity, individuals appearing on behalf of themselves, advocacy groups or organizations or entities representing the interests or concerns of the organization or entity or of its members. All such appearances must be promptly reported to the Canal Corporation Ethics and Compliance Office for recording in the Project Sunlight database.

T. Prior to entering into any binding relationship with a third party (e.g., written agreement or memorandum of understanding (MOU)) in pursuit of any joint or collaborative development project, the office of SSM and the Law Department ("Law") must be notified regarding the procurement and on the issue of whether and to what extent the projects falls within the constraints of the Authority's procurement

regulations and enabling legislation. SSM and Law should be brought into any such project in the development process.

Provided that the Authority has statutory authority to develop or otherwise participate in a project developed, in whole or in part, in collaboration with a third party, the following minimum criteria must be met:

(i) the Authority's participation must be in response to a solicitation issued by the State or other public entity pursuant to a competitive selection process; and

(ii) the construction of any asset to be owned by the Authority must comply with all applicable laws, including but not limited to prevailing wage requirements and goals established for the use of minority enterprises (e.g., minority- and women-owned business enterprise (MWBE), service disabled veteran owned business (SDVOB)); and

(iii) goods and/or services required to develop and implement the project must be sourced and procured in accordance with, and subject to, either (a) the Authority's Procurement Guidelines; or (b) the requirements of the third party collaborator governing the competitive procurement of goods and services, provided that SSM has been furnished with a copy of such requirements which demonstrate, in SSM's judgement, that a competitive procurement or equivalent has been or will be undertaken.

Prior to execution any underlying agreement (i.e. joint development agreement, MOU, etc.) an internal award recommendation shall be memorialized and approved by the VP SSM and the responsible Business Unit head.

4. EVALUATION OF PROPOSALS

A. Proposals will be evaluated using a fair and equitable comparison of all aspects of the proposals against the specifics of the solicitation and against each other, including an analysis of each offer that considers: the quality of the goods and/or the competence of the bidder (including, but not limited to, the bidder's skill, judgment and business integrity), the technical merit of the proposal and the price for which the goods and/or services are to be supplied.

In the event the price submitted by the bidder recommended to be awarded a contract exceeds the cost estimated, where a cost estimate is provided on the solicitation at the time of bidding, the initiating department will prepare a written explanation to be reviewed by the Canal Corporation SSM Department and appropriate managers as stipulated in the EAPs. The following options should be considered: (1) rejecting the bids, resoliciting proposals and/or modifying the scope of work; (2) revising the cost estimate and proceeding with the contract award and (3) negotiating with the low bidder(s), as determined by the NYPA Vice President, SSM or designee, to reduce the price quoted. Factors to be considered in reaching the proper course of action include but are not limited to: the effects of a delay on both the schedule and the cost of the specific capital construction project or outage at an operating facility, the magnitude of the contract, available bidders, the ability to attract additional competition if the solicitation is reissued,

and the accuracy of the original cost estimate. The recommended course of action and the reasons therefor must be fully documented in a memorandum for consideration by the appropriate level of management prior to approval and placed in the appropriate procurement file.

B. Factors to be considered in evaluating the goods and/or services to be supplied and/or the competence of the bidder are: previous experience (including applicable experience in New York State and evaluations from other clients for whom the bidder has provided goods and/or services); the abilities and experience of the personnel to be assigned to the Canal Corporation work and the ability to provide any needed advanced techniques such as simulation and modeling; and overall, the bidder's skill, judgment and business integrity. The approach proposed in meeting the exact requirements of the scope of work will be given consideration in evaluating the technical merit of the proposal, together with a well-organized task structure, the ability to timely supply the goods and/or perform the proposed services and the ability to meet Supplier Diversity Program goals, if any. The need to purchase the goods from and/or subcontract performance of services to others will be evaluated as to their effects on cost, as well as quality, schedule and overall performance.

Another factor to be considered in evaluating proposals may involve an assessment of the bidder's diversity practices, where applicable. Pursuant to Article 15-A of the Executive Law, diversity practices are the contractor's practices and policies with respect to utilizing NYS-certified MWBEs in contracts as subcontractors and suppliers, and entering into partnerships, joint ventures or other similar arrangements with NYS-certified MWBEs. A contractor's diversity practices may be assessed when: (1) a procurement is awarded on the basis of "Best Value" as described in Section 4.D. (but *not* when a procurement is awarded based upon "lowest price"); (2) the anticipated award is $250,000 or greater; and (3) such assessment is practicable, feasible and appropriate. Such assessment shall not permit the automatic rejection of a bid or Procurement Contract proposal based on lack of adherence to diversity practices.

C. For Services Contracts (as defined in Section 2.M of these Guidelines), the technical merits of the proposals and the experience and capabilities of the bidders will be the primary factors in determining the individual or firm to be awarded the contract, provided that the price for performing such work is reasonable and competitive.

D. For Procurement Contracts for Goods (as defined in Section 2.F of these Guidelines), the award should generally be made to the lowest-priced firm submitting a proposal that meets the commercial and technical requirements of the bid documents. (See also Section 4.F regarding award to "other than low bidder".)

As a best practice and pursuant to State Finance Law § 163, the Canal Corporation may award on a "Best Value" basis for awarding contracts to the offeror that optimizes quality, cost and efficiency, among responsive and responsible offerors. Such basis shall reflect, wherever possible, objective and quantifiable analysis and may also identify a quantitative factor for offerors that are Small Businesses or NYS-certified SDVOB or MWBE firms.

E. Pursuant to § 139-k of the State Finance Law, the Canal Corporation shall not award a Procurement Contract (as defined in Subsection 3.Q.1 of these Guidelines) to a bidder/contractor who fails to provide timely, accurate and complete responses to inquiries about past determinations of non-responsibility (unless awarding the contract is necessary to protect public property or public health or safety and the bidder/contractor is the only source capable of supplying the required article of procurement within the necessary timeframe.)

A bidder's/contractor's knowing and willful violation of the Canal Corporation policy providing for certain procurement disclosures shall result in a determination of non-responsibility of such bidder/contractor pursuant to State Finance Law §§ 139-j and 139-k only.

More than one determination of non-responsibility due to violations of State Finance Law § 139-k in a four-year period shall render a bidder/contractor ineligible to submit bids for four years from the second determination of non-responsibility.

F. An award to "other than low bidder" can be made only with the approval of appropriate management as stipulated in the EAPs, and should be based on such a proposal providing a clear advantage to the Canal Corporation over the lower-priced proposal. Factors justifying an "other than low bidder" award may include, but are not limited to: improved delivery schedules that will reduce outages; longer warranty periods; improved efficiency over the usable life of the equipment; reduced maintenance costs; the bidders' financial resources or the ability to meet or exceed Supplier Diversity Program and SDVOB goals; and overall, the bidder's skill, judgment and business integrity.

G. The specifications set forth in any solicitation prepared under these Guidelines were based upon information available at the time of the preparation of the solicitation. Thus, the Canal Corporation may diverge from the specifications of any solicitation if, after review of the proposals responsive to such solicitation, the Canal Corporation deems it prudent in light of its experience, the circumstances of the solicitation and/or potential cost savings.

5. RECOMMENDATION OF AWARD

A. A recommendation for approval of a proposed award of a Procurement Contract is usually prepared in the form of a memorandum or e-mail by the department requiring the goods and/or services. The recommendation must include an evaluation of proposals as specified in Article 4 above, as well as proposed specific compensation terms that provide a clear breakdown of cost factors and methods of calculation, including, as applicable:

1. Lump sum and/or unit prices for equipment and construction work.
2. Hourly or daily rates for personnel.
3. Markups for payroll taxes, fringe benefits, overhead and fees, if the proposal is based on reimbursement of actual payroll costs.
4. Terms for reimbursement of direct out-of-pocket expenses, such as travel and living costs, telephone charges, services of others and computer services.
5. Provisions, if any, for bonus/penalty arrangements based on target person-hours and/or target schedule.

B. The recommendation will also review any substantive exceptions to commercial and technical requirements of a price inquiry, RFP, RFQ or bidding documents, including but not limited to payment terms, warranties and bond requirements, if any, as well as Supplier Diversity Program requirements, as applicable.

6. AWARD OF CONTRACT

A. Services Contracts (which include contracts for Construction, Personal and Non-personal services, as defined in Section 2.M.) valued or estimated to be $5,000 or greater to be performed for a period of more than 12 months are approved and reviewed annually by the Canal Corporation Board of Directors. Services Contracts for a period of less than 12 months are approved by authorized designees in accordance with existing EAPs. Extending a contract for services with an initial duration of less than 12 months beyond 12 months will be approved by the Canal Corporation Board of Directors at the request of the initiating department and will be reviewed by the Canal Corporation Board of Directors annually. Extending a contract for services, that has previously been approved by the Canal Corporation Board of Directors, for a cumulative term of more than 12 months requires further Canal Corporation Board of Director approval.

B. Extending a contract, previously approved by the Canal Corporation Board of Directors, for 12 months or less ("grace period") requires approval by the NYPA Vice President, SSM of the requesting department or other authorized equivalent or designee in accordance with existing EAPs and concurrence by the NYPA Vice President, SSM.

C. For Services Contracts valued or estimated to be $5,000 or greater to be performed for a period of more than 12 months that must be awarded prior to the next quarterly Canal Corporation Board of Directors meeting, the initial contract will be issued for the entire intended term of the contract. Based on its total term and value, such contract must be approved in writing by the appropriate management as set forth in the EAPs. Such contract is subject to the Canal Corporation Board of Directors' approval, at the next quarterly Canal Corporation Board of Directors' meeting. If such approval is not granted, the contract will be terminated immediately.

D. A contract or contract task valued or estimated to be $5,000 or greater is deemed to be for services in excess of 12 months where the contract does not specify a definite term and the work will not be completed within 12 months, and any "continuing services" contract with no fixed term that provides for the periodic assignment of specific tasks or particular requests for services. This includes Canal Corporation Board of Directors-approved contracts for architect/ engineering services with the original engineers of operating facilities, as well as the original supplier of steam supply systems or boilers and turbine generating equipment. Each task authorized under such contracts (which may be referred to as a "Change Order," "Purchase Order" or "Task Number") is considered a separate commitment and must be separately approved in accordance with the EAPs.

E. The term of a Personal Services contract is limited to a maximum of five (5) years, including any extensions. However, at the sole discretion of the Vice President of SSM may approve a Business Unit's written justification for a contract term exceeding 5 years or reasonable extension of such a contract.

F. The term of a Purchase Order Release may extend beyond the term of the Value Contract with the approval of the Vice President of SSM.

G. Multiyear contracts for Goods (which include equipment, materials and supplies, as defined in Section 2F) valued or estimated to be $5,000 or greater are subject to the management approval thresholds established in the EAPs, and require Trustee approval only once those thresholds are exceeded.

H. When time constraints or emergency conditions require extending an existing contract with an initial duration of less than a year beyond a year, and the cumulative monetary change order value does not exceed the appropriate limit set forth in the EAPs, the Department Head, with the prior concurrence of the NYPA Vice President, SSM or equivalent(s) or designee, may authorize extending such contract, subject to the Canal Corporation Board of Directors ratifying such action as soon as practicable.

I. When the total estimated contract value or the value of the extension exceeds the monetary limits set forth in the EAPs, interim approval by the NYPA President and Chief Executive Officer or Chief Operating Officer or equivalent(s) or designee is required, subject to the Canal Corporation Board of Directors ratifying such action as soon as practicable.

J. When time constraints or emergency conditions require immediate commencement of services to be performed for a period of more than one year, and when the contract value exceeds the monetary approval limit for the President and Chief Executive Officer or Chief Operating Officer or equivalent(s), as set forth in the EAPs, the President and Chief Executive Officer or Chief Operating Officer or equivalent(s) or designee, with the prior concurrence of the NYPA Vice President, SSM or equivalent(s) or designee, may authorize in writing the commencement of such services. The initial compensation limitation may not exceed the authorization level for the NYPA President and Chief Executive Officer or equivalent(s) or Chief Operating Officer or equivalent(s) as set forth in the EAPs. Such contracts will be subject to the Canal Corporation Board of Directors approval, which will be solicited at their next scheduled Canal Corporation Board of Directors meeting.

K. The NYPA SSM or the Canal Corporation SSM Department prepares the contract for execution by the Canal Corporation and the successful bidder. No work by the selected contractor will commence until the contract is executed by both parties, except that mutually signed letters of award or intent may initiate work prior to formal execution. Canal Corporation signatories of such letters must be authorized to approve contract awards pursuant to the EAPs.

L. Pursuant to Economic Development Law § 143, the Authority shall submit an announcement of the intended contract for inclusion in the procurement opportunities newsletter at the time it enters into a contract. Such announcement shall identify the contract, specify the date of the award of the contract and provide the name of and contact information for each recipient of the contract.

M. Pursuant to Public Authorities Law § 2879, the Canal Corporation shall notify the Commissioner of Economic Development of the award of any Procurement Contract for the purchase of goods and/or services from a Foreign Business Enterprise (as defined in

Subsection 3.E.3 of these Guidelines) in an amount equal to or greater than $1 million simultaneously with notifying the successful bidder therefor. The Canal Corporation shall not enter into the Procurement Contract for said goods and/or services until at least 15 days have elapsed from the notification of the award, except for a Procurement Contract awarded on an emergency or critical basis. The notification to the Commissioner shall include the name, address, telephone and facsimile number of the Foreign Business Enterprise, the amount of the proposed Procurement Contract and the name of the individual at the Foreign Business Enterprise or acting on behalf of same who is principally responsible for the proposed Procurement Contract.

7. CONTRACT PROVISIONS

A. The following standard forms of contracts are available from the NYPA SSM Department or Canal Corporation SSM Department: purchase order format (for standard procurements of goods and/or services); furnish-and-deliver format (for major equipment purchases); long form agreements (for consulting services) and maintenance agreement formats; contract work orders (for construction work of small magnitude); construction contracts (for major construction work) and furnish, deliver and install contracts (for specialized, major procurements where single responsibility is required for procurement and installation). These contract forms are intended to govern the purchase of goods and/or performance of services.

Canal Corporation departments proposing to initiate a Procurement Contract should review these forms to suggest any modifications and additions that may be required for the particular goods and/or services. Under no circumstances should contract forms be shown to proposed bidders without the prior approval of the NYPA SSM Department and the Canal Corporation SSM Department, which are responsible for requesting proposals.

B. The following types of provisions setting forth contractor responsibilities are to be contained in the standard forms of Procurement Contracts, except that any provisions listed below that are inapplicable or unnecessary because of the nature or duration of the work to be performed, the location(s) where the work is to be performed or the type of compensation being paid therefor, need not be included. Other provisions may be added as necessary and appropriate.

1. Schedule of Services or Specifications
2. Time of Completion
3. Compensation or Itemized Proposals
4. Relationship of Parties
5. Delays
6. Termination
7. Changes in the Work
8. Claims and Disputes
9. Warranty
10. Insurance
11. Records, Accounts, Inspection and Audit
12. Assignment
13. Notices
14. Indemnification

15. Governing Law
16. Proprietary Nature of Work
17. Testimony
18. MWBE requirements
19. SDVOB requirements
20. Entire Agreement

Contract Attachments

1. Compensation Schedule
2. Schedule of Services or Specifications
3. Appendix "A" (Miscellaneous Statutory Provisions)
4. Appendix "B" (Prompt Payment Provisions)
5. Appendix "C" (Minority- and Women-owned Business Enterprise (MWBE) Participation Goal Requirement)
6. Appendix "D" (Background Security Screening for Authority Contractors)
7. Appendix "E" (Omnibus Procurement Act of 1992 Requirements)
8. Appendix "F" (Computer Aided Design Requirements For New York Power Authority Drawings)
9. Appendix "G" (Equal Employment Opportunities Requirements)
10. Appendix "H" (Tax Law Requirements)
11. Appendix "I" (New York Power Authority (NYPA) North American Electric Reliability Corporation Critical Infrastructure Protection (NERC CIP) Cyber Access And/or Unescorted Physical Access Training Requirements)
12. Appendix "J" (Bidder/Contractor Compliance with State Finance Law §§ 139-j and 139-k Providing for Certain Procurement Disclosures)
13. Appendix "K" (Additional State and Federal Provisions Required for American Recovery and Reinvestment Act (Pub. L. No. 111-5 Stat. 2009) ("ARRA") Funded Projects) - inactive
14. Appendix "L" (DOE Federal Contract Provisions) - inactive
15. Appendix "M" (Use of Ultra Low Sulfur Diesel Fuel and Best Available Retrofit Technology ("BART") for Heavy Duty Vehicles)
16. Appendix "N" (The New York State Iran Divestment Act of 2012 – Iranian Energy Sector Divestment)
17. Appendix "O" (Encouraging Use of New York State Businesses in Contract Performance) – inactive
18. Appendix "P" (Information Security Requirements for Vendors and External Partners)

C. If a vendor (firm, person or other entity) participates in the development or writing of the specifications for a procurement solicitation, such vendor shall not be permitted to bid on such procurement, either as a prime vendor or as a subcontractor at any level. Contracts for evaluation of offers for products or services shall not be awarded to a vendor that would then evaluate its own offers for products or services.

Furthermore, any firm, person or other entity retained by the Canal Corporation to provide conceptual studies, designs or specifications is prohibited from being awarded future phases of work, including implementation, related to the original work.

The above restrictions shall not apply where:

1. The vendor is the sole source or single source of the product or service;
2. More than one vendor has been involved in preparing the specifications for a procurement proposal;
3. There is no qualified response to the solicitation for future phases of work, including implementation, or Design-Build or Engineer, Procure, Construct; or
4. The originating Canal Corporation Department determines in writing that the restrictions are not in the best interests of the Canal Corporation. Such originating Department shall obtain the approval of the applicable Department Head or equivalent(s), NYPA Vice President, SSM or equivalent(s) or designee, NYPA Assistant General Counsel or equivalent(s) and NYPA President and Chief Executive Officer or designee or Chief Operating Officer or equivalent(s) to waive this restriction on a case-by-case basis.

8. CHANGE ORDERS

A. Change Orders to existing contracts are justified in the following cases:

1. To incorporate additional work related to the original scope, to delete work or to otherwise modify the original work scope;
2. To exercise options previously included in the original contract to perform additional work or to extend the contract term;
3. To accommodate emergency conditions, defined in Section 3.M herein, that require the immediate performance of work by a firm already under contract;
4. When rebidding would not be practical or in the best interests of the Canal Corporation customers; and
5. To meet the Canal Corporation Supplier Diversity and SDVOB Program goals in accordance with Executive Law Articles 15-A and 17-B, respectively.

B. All Change Orders must be approved in accordance with the Canal Corporation EAPs, and should include specific schedules for completion of work at the earliest possible time.

C. Pursuant to Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, the Canal Corporation may be required to submit certain Change Orders to the New York State Comptroller for filing or approval where the aggregate value of the contract as amended is in excess of $1 million and the original contract was awarded on the basis of a competitive procurement, but the modification was neither contemplated nor provided for in the solicitation for such competitive procurement.

9. CONTRACTING DECISIONS INVOLVING CURRENT OR FORMER EMPLOYEES

A. Former Canal Corporation officers and employees may be eligible to be considered for direct engagement as contractors and/or consultants provided that they meet all criteria for contractors and/or consultants generally as specified in these Guidelines; their engagement is not barred by New York Public Officers Law § 73(8); they obtain an opinion by the New York State Joint Commission on Public Ethics that such engagement is permissible; and upon approval of the NYPA President and Chief Executive Officer, as well as the Chairman of the Canal Corporation Board.

B. Pursuant to the provisions of New York Public Officers Law § 73(8):

1. No Canal Corporation officer or employee is eligible, within a period of two years after the termination of Canal Corporation service to appear or practice before the Canal Corporation or receive compensation for any services rendered on behalf of any person, firm, corporation or association, in relation to any case, proceeding or application or other matter before the Canal Corporation.

2. No Canal Corporation officer or employee is eligible, at any time after the termination of Canal Corporation service, to appear, practice, communicate or otherwise render services before the Canal Corporation or any other state agency or receive compensation for any such services rendered on behalf of any person, firm, corporation or other entity in relation to any case, proceeding, application or transaction that such person was directly concerned with and personally participated in during his or her period of service, or which was under his or her active consideration.

3. Pursuant to the provisions of New York Public Officers Law § 73(8-b), notwithstanding the provisions of 1. and 2. above, a former Canal Corporation officer or employee may contract individually, or as a member or employee of a firm, corporation or association, to render services to the Canal Corporation, if, prior to engaging in such service, the Chairman of the Board of Directors certifies in writing to the New York State Joint Commission on Public Ethics that such former officer or employee has expertise, knowledge or experience with respect to a particular matter which meets the Canal Corporation needs and is otherwise unavailable at a comparable cost. Where approval of the contract is required under § 112 of the New York State Finance Law, the Comptroller shall review and consider the reasons for such certification. The New York State Joint Commission on Public Ethics must review and approve all such certifications.

C. No Canal Corporation employee who is involved in the award of Canal Corporation grants or contracts may ask any officer, director or employee of such current or prospective contractor or grantee to reveal: (a) the political party affiliation of the individual; (b) whether the individual or entity has made campaign contributions to any political party, elected official or candidate for elective office or (c) whether the individual voted for or against any political party, elected official or candidate for elective office.

D. No Canal Corporation employee may award or decline to award any grant or contract, or recommend, promise or threaten to do so because of a current or prospective grantee's or contractor's: (a) refusal to answer any inquiry prohibited by Section 9.C above or (b) giving or withholding or neglecting to make any contribution of money, service or any other valuable thing for any political purpose.

E. No Canal Corporation employee may take part in any contracting process or decision: (i) to a Relative; or (ii) to any entity in which the Canal Corporation employee or a Relative of such Canal Corporation employee owns or controls 10% or more of the stock of such entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange); or serves as an officer, director or partner of that entity. If a contracting matter arises relating to this Section 9.E, then the employee must advise in writing his or her supervisor and the Office of Ethics and Compliance of

the relationship, and must be recused from any and all discussions or decisions relating to the matter.

1. For purposes of this Section 9.E, the term "Relative" is defined in Definitions, Section 2.L of these Guidelines.

10. SUPPLIER DIVERSITY PROGRAM REQUIREMENTS

The Canal Corporation strives to continue to foster the development of business opportunities on Canal Corporation contracts for MWBEs. Article 15-A of the Executive Law established the NYS Office (now Division) of Minority and Women's Business Development ("DMWBD") that is responsible for developing rules and regulations for implementation of this statute, certifying MWBEs and reviewing and monitoring goal plans, compliance reports and contract provisions to be included in all non-construction contracts for more than $25,000 and construction contracts for more than $100,000. The definition of an MWBE is included in Section 2.G of these Guidelines. The Canal Corporation aims to solicit proposals from NYS-certified MWBEs that are qualified to perform the required work. In addition, specific goals may be included in certain contracts for consulting work, construction and procurement of goods and other services requiring the contractor/vendor to subcontract a portion of the work to NYS-certified MWBEs as required by law. Bidders' proposals will include a completed preliminary Utilization Plan Form for MWBEs, as well as applicable EEO and Diversity Practices Forms, where required. Such bidders' failure to meet these requirements may be grounds for rejection of the proposal, or cancellation of the contract if a contractor did not make a good faith effort to meet its goals after contract award. Final MWBE Utilization Plans for Construction contracts valued at more than $100,000 shall be provided and posted on the procurement website by the successful vendor within ten business days of contract signing.

Pursuant to § 2879 of the Public Authorities Law and as further set forth in the Canal's Corporation Supplier Diversity Program documents, the following guidelines apply:

1. Identify those areas or types of contracts for which MWBEs may best bid so as to promote and assist participation by such enterprises and facilitate a fair share of the awarding of contracts to such enterprises.
2. Provide notice, in addition to any other notice of procurement opportunities required by law, to professional and other organizations that serve MWBEs providing the types of services procured by the Canal Corporation.
3. Maintain lists of qualified NYS-certified MWBEs, including professional firms that have expressed an interest in doing business with the Canal Corporation and ensuring that such lists are updated regularly. The Canal Corporation shall also consult the lists of NYS-certified MWBEs maintained by the DED pursuant to Executive Law Article 15-A.
4. Establish appropriate goals for participation by MWBEs in Procurement Contracts awarded by the Canal Corporation and for the utilization of MWBEs as subcontractors and suppliers by entities having Procurement Contracts with the Canal Corporation. Statewide numerical participation target goals shall be established by the Canal Corporation based on the criteria set forth in Public Authorities Law § 2879.

5. Conduct procurements in a manner that will enable the Canal Corporation to achieve the maximum feasible portion of the goals established pursuant to Subdivision 4 of this Section and that eliminates barriers to participation by MWBEs in the Canal's Corporation procurements.

6. Designate one or more senior staff of the Canal Corporation to oversee the Canal's Corporation programs established to promote and assist participation by and utilization of NYS-certified MWBEs.

11. SERVICE-DISABLED VETERAN-OWNED BUSINESS ("SDVOB") PROGRAM REQUIREMENTS

The Canal Corporation also strives to foster the development of business opportunities for NYS-certified SDVOBs and to further increase participation by SDVOBs in Canal Corporation contracts, as set forth in Sections 2.R and 3.I of these Guidelines and pursuant to Article 17-B of the Executive Law. One tool is the use of SDVOB discretionary purchasing, as further described in Sections 3.D, I and K of these Guidelines. Another tool authorized by the law is the use of set-asides, which permit the reservation in whole or in part of certain procurements by state agencies and authorities when more than one NYS-certified SDVOB is available and can provide the necessary goods or services to meet the Canal Corporation form, function and utility. The same dollar limits apply to SDVOB contracts as those set forth for MWBEs in Article 10 of these Guidelines.

Pursuant to Article 17-B of the Executive Law, the following guidelines apply:

1. Identify contracts where SDVOBs may best perform and/or where SDVOB goals are practical, feasible and appropriate for the purpose of increasing the utilization of SDVOB participation on Canal Corporation contracts.

2. Submit regular reports with respect to SDVOB Program activity, including but not limited to, utilization reporting and contract monitoring and compliance.

3. Achieve an overall goal of six percent for SDVOB participation on Canal Corporation contracts.

12. DISADVANTAGED BUSINESS ENTERPRISE ("DBE") PROGRAM REQUIREMENTS ON PROJECTS THAT ARE FEDERALLY FUNDED

The Canal Corporation ("Canals") strives to foster the development of business opportunities for NYS certified DBEs and to further increase their participation in Canals Federally funded contracts. The Canals aims to solicit proposals from DBEs for procurements that will be partially or fully federally funded. The Canals follows the DBE guidelines as set out by The Federal Department of Transportation ("DOT"). NYS DOT is tasked with certifying eligible small businesses as DBEs in New York State.

The Canals is committed to promoting participation of DBEs in Canals contracting opportunities in accordance with federal law and regulations and seeks to achieve the following objectives:

1. To ensure nondiscrimination in the award and administration of Federally funded contracts in the canals and waterways;
2. To create a level playing field on which DBEs can compete fairly for Federally funded contracts;

3. To ensure that the Canals' DBE program is narrowly tailored in accordance with applicable law;
4. To ensure that only firms that fully meet this Federal eligibility standards are permitted to participate as DBEs;
5. To help remove barriers to the participation of DBEs in Federally funded contracts;
6. To promote the use of DBEs in all types of federally-assisted contracts and procurement activities.
7. To assist the development of firms that can compete successfully in the marketplace outside the DBE program; and
8. To provide appropriate flexibility to recipients of Federal financial assistance in establishing and providing opportunities for DBEs.

13. PROCUREMENT RECORD AND REPORTING

A. Procurement Record

The NYPA SSM Department or the Canal Corporation SSM Department maintains records of Procurement Contracts. In addition to bid- and contract award-related documents for the goods provided and/or services performed, the Procurement Record includes, but is not limited to, documentation of the decisions made and the approach taken in the procurement process. Such records may be transmitted to a digital warehouse for electronic storage and retrieval.

B. Procurement Report

After the end of each calendar year, the NYPA Vice President, SSM or equivalent(s) will prepare and submit an annual report to the Canal Corporation Board of Directors for their approval that will include:

1. A copy of the Guidelines;
2. An explanation of the Guidelines and any amendments thereto since the last annual report;
3. A list of all Procurement Contracts entered into since the last annual report, including all contracts entered into with New York State Business Enterprises and the subject matter and value thereof and all contracts entered into with Foreign Business Enterprises and the subject matter and value thereof;
4. A list of fees, commissions or other charges paid;
5. A description of work performed, the contract number, the date of the contract and its duration, the name, address and NYS-certified MWBE designation of the awardees, the total amount of the contract, the amount spent on the contract during the reporting period and for the term of the contract to date and the status of open Procurement Contracts during the report year;
6. The type of contract (equipment, services, personal services or construction);
7. The method of awarding the contract (e.g., competitive bidding, Sole Source, Single Source or competitive search);
8. The reasons why any procurements with a value equal to or greater than $50,000 were not noticed in the Contract Reporter;
9. The number of bids received and

10. All referrals made and all penalties imposed, if any, pursuant to § 316 of the Executive Law.

C. Such annual report, as approved by the Canal Corporation Board of Directors, shall be submitted to the New York State Division of the Budget within 90 days of the end of such calendar year, and copies thereof shall be distributed to the New York State Department of Audit and Control, the DED, the New York State Senate Finance Committee, and the New York State Assembly Ways and Means Committee and any other entity as may be required by law. The annual procurement report is posted on the Canal Corporation website and copies shall be made available to the public upon reasonable written request therefor.

D. State Finance Law §§ 139-j and 139-k

1. A statement describing the basis for a determination of a bidder's/contractor's non-responsibility (per State Finance Law §§ 139-j and 139-k only) and the Canal Corporation decision not to award a bidder/contractor the Procurement Contract must be included in the Procurement Record.
2. The Canal Corporation shall notify the New York State Office of General Services of bidders/contractors who have been determined to be non-responsible bidders (per State Finance Law §§ 139-j and 139-k only) or debarred due to violations of § 139-j of the State Finance Law.
3. All forms entitled "Record of Contact" shall be included in the respective Procurement Record.
4. A statement describing the basis for a termination of a Procurement Contract for providing an intentionally false certification must be included in the Procurement Record.

E. The Canal Corporation may be called upon periodically to submit information regarding the procurement of goods and/or services to organizations implementing the PAAA or other statutes regulating the procurement of goods and services, such as Canal Corporation's Budget Office through the Public Authorities Reporting Information System ("PARIS").

F. The NYPA Vice President, SSM or equivalent(s) will also prepare Annual Goal Plans for the MWBE and SDVOB programs and will submit them by January 15 of each year to Empire State Development - Division of Minority and Women Business Development and the New York State Office of General Services - Division of Service-Disabled Veterans' Business Development, respectively. Quarterly Utilization / Activity Reports for each program will also be prepared and submitted to the aforementioned respective state entities by the 15th day of July, October, January and April.

14. THIRD PARTY RIGHTS: VALIDITY OF CONTRACTS

A. These Guidelines are intended for the guidance of officers and employees of the Canal Corporation only. Nothing contained herein is intended, nor should it be construed, to confer on any person, firm or corporation any right, remedy, claim or benefit under, or by reason of, any requirement or provision hereof.

B. Nothing contained in these Guidelines alters or affects the validity of, modifies the terms of or impairs any contract or agreement entered into in violation of these Guidelines.

CANAL CORPORATION GUIDELINES FOR PROCUREMENT CONTRACTS

1. PURPOSE

These Guidelines for Procurement Contracts ("Guidelines") set forth the policy of Canal Corporation regarding the solicitation and awarding of Procurement Contracts. The provisions of Article 4-C of the Economic Development Law, §§ 2879 and 2879-a of the Public Authorities Law, Articles 15-A and 17-B of the Executive Law and §§ 139-j and 139-k of the State Finance Law were considered in developing these Guidelines. Departments and facilities may adopt further procedures to implement these Guidelines.

2. DEFINITIONS

A. "Capital projects" generally refer to the acquisition or construction of new assets, the replacement and/or betterment of existing assets, equipment, or property (including those of NYPA's customers, where authorized). Betterment refers to an extension of the useful life or improvement in the efficiency and/or capacity of the asset, equipment, or property.

B. "Contact" is any oral, written, or electronic communication with the Authority under circumstances where a reasonable person would infer that the communication was intended to influence the Authority's conduct or decision regarding the procurement.

C. "Design-Build" is a method of project delivery where there is one entity, one contract, one unified flow of work from initial concept through completion. Design-Build is also referred to as Engineer, Procure, Construct (EPC) in some instances.

~~C.~~D. "Discretionary Purchase" is a procurement made below statutorily established monetary threshold amounts (e.g., not exceeding $500,000 for the purchase of commodities and/or services from Small Business Enterprises or NYS-certified MWBE firms, and without a dollar cap for SDVOB firms as further set forth in Sections 3.D and 3.K.5-7) and at the discretion of the Authority, without the need for a formal competitive bid process. For the purpose of determining whether a purchase is within the discretionary thresholds, the aggregate amount of all purchases of the same commodities and/or services to be made within the 12-month period commencing on the date of purchase shall be considered. A change to or a renewal of a discretionary purchase shall not be permitted if the change or renewal would bring the reasonably expected aggregate amount of all purchases of the same commodities and/or services from the same provider within the 12-month period commencing on the date of the first purchase to an amount greater than $500,000, pursuant to State Finance Law § 163.

~~D.~~E. "Disadvantaged Business Enterprise" (DBE) is a for-profit small business concern (1) that is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and (2) whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it, pursuant to the definition found in 49 C.F.R Part 26.

~~E.~~F. "Evaluation of Proposals," as further outlined in Section 4 below, includes evaluating factors the Authority's consideration of a bidder's skill, judgment, and business integrity.

~~F.~~G. "Goods" include equipment, material and supplies of any kind. Procurement Contracts that include both equipment and services may be classified as Equipment," where 60% or more of the total projected contract value will be for the purchase of equipment, material or supplies.

~~G.~~H. "Minority- and Women-owned Business Enterprise" ("MWBE") is defined as any New York State-certified business enterprise at least 51% of which is owned by black persons, Hispanics, Native Americans, Asians, Pacific Islanders and/or women, and as further described in the Authority's Supplier Diversity Program Policy and Procedures and Executive Law Article 15-A, and pursuant to the definition found in Executive Law § 310.

~~H.~~I. "Non-Procurement Contracts" include contracts under $5,000, contracts for energy with or without environmental attributes included, capacity, renewable energy certificates, ancillary services, transmission, distribution or related services in support of providing service to Authority customers; contracts for differences; financial hedge contracts (including but not limited to swaps, calls, puts or swap options) or credit rating services; certain insurance and healthcare products that do not readily lend themselves to a competitive solicitation. In addition, Non-Procurement Contracts include direct and indirect placement of advertisements with radio, television, print and electronic media, periodicals, subscriptions, reference materials or professional research tools, written materials, fees or tuition associated with continuing education courses, training courses, conferences, seminars and symposiums, funding agreements, co-funding agreements, grants or memberships in various industry groups, professional societies or similar cooperative associations, or any cooperative projects and procurement activities conducted or sponsored by such organizations in which the Authority participates.

~~I.~~J. "Operation and Maintenance" ("O&M") generally refers to the work or services necessary to keep the plants, transmission lines, and other equipment and facilities to include NYPA customers, where authorized, (collectively referred to generally as an "asset") in optimal operating condition and/or to restore an asset to its productive capacity. This includes the cost of inspecting, testing, analyzing and reporting on the condition of the asset required to determine repairs or replacement, as well as costs associated with the normal operation and administration of NYPA's production/transmission facilities and energy programs.

~~J.~~K. "Procurement Contracts" are contracts for the acquisition of goods and/or services in the actual or estimated amount of $5,000 or more. Such goods and/or services are those necessary to support the Authority's White Plains office, facilities, operations and maintenance ("O&M") and capital projects (as defined in Section 2.I. and 2. A., respectively), including but not limited to goods such as office supplies, major electrical equipment, construction and maintenance work and services as more fully described in Section 2.F and 2.M.

~~K.~~L. "Purchase Order Release" is a single order issued for goods or services in accordance with the terms and conditions of a Value Contract.

~~L.~~M. "Relative" is any person living in the same household as the Authority employee or any person who is a direct descendant of the Authority employee's grandparents or the spouse of such descendant, as referred to in Subsection 9.E.1 of these Guidelines. The term Relative may include, but is not limited to, the relationship of spouse, child, parent, sister, brother, grandparent, grandchild, aunt, uncle, cousin, niece, nephew, stepchild, stepparent, stepsister,

stepbrother, mother-in-law, father-in-law, sister-in-law, brother-in-law, daughter-in-law or son-in-law.

~~M.~~N. "Services Contracts" are Procurement Contracts for services of a consulting, professional or technical nature provided by outside consultants/contractors (individuals, partnerships, or firms who are not and do not employ officers or employees of the Authority) for a fee or other compensation. Services Contracts comprise three specific types: Personal Services, Non-Personal Services, and Construction. Personal Services include, but are not limited to: accounting, architectural, engineering, financial advisory, legal, public relations, planning, management consulting, surveying, training (when specifically developed by a consultant for the Authority), and construction management. Non-Personal services include but are not limited to skilled or unskilled temporary personnel, including clerical office staff, technicians, or engineers working under Authority's supervision, maintenance, repairs, and printing services. Construction consists of craft labor and other services utilizing laborers and/or mechanics not otherwise considered Non-Personal Services

> Note: Use of such services may be appropriate (1) when a consultant/contractor possesses special experience, background or expertise; (2) when there is insufficient Authority staff and retention of a consultant/contractor is more appropriate or economical than hiring additional permanent staff; (3) to provide independent external review or a second opinion; (4) to meet unusual schedule requirements or emergencies or (5) for a combination of the aforementioned factors.

~~N.~~O. "Single-Source" is a procurement in which the Authority, upon written findings setting forth material and substantial reasons, may award a contract (or amendment to a contract) to one offeror over another that can supply the goods or services.

~~O.~~P. "Small Business" (or Small Business Enterprise, "SBE"), pursuant to Executive Law § 310 and as used in these Guidelines, unless otherwise indicated, is a business that has a significant business presence (as defined at 5 NYCRR 140.1) in New York State, is independently owned and operated, not dominant in its field and employs not more than 300 people.

~~P.~~Q. "Software" includes on-premises applications as well as Software-as-a-Service (SaaS) which is defined as a software distribution model in which a third-party provider hosts application and makes access available to customers over the Internet. "Software" shall be considered "Equipment" where such term is used throughout these Guidelines.

~~Q.~~R. "Sole Source" is a procurement in which only one offeror is capable of supplying the required goods or services.

~~R.~~S. "Service-Disabled Veteran-Owned Business" ("SDVOB") is a business enterprise, including a sole proprietorship, partnership, limited liability company or corporation that is at least 51% owned by one or more service-disabled veterans; in which such ownership is real, substantial and continuing, and also has and exercises the authority to control independently the day-to-day business decisions of the enterprise; is a Small Business and is certified by the New York State Office of General Services, as further set forth in Article 17-B of the Executive Law.

~~S.~~T. "Value Contract" Master Service Agreement for goods and services with specific target value and term.

3. SOLICITATION REQUIREMENTS

A. Preparation of the solicitation of proposals for Procurement Contracts is the joint responsibility of the White Plains Strategic Supply Management ("SSM") Department, or the Canal Corporation SSM Department, and the initiating department. Except as otherwise authorized by these Guidelines, a Request for Proposals ("RFP") or Request for Quotations ("RFQ") will be made available to a minimum of three providers and/or firms (if available) for purchases valued under $50,000 and a minimum of five providers and/or firms (if available) for purchases valued at $50,000 and greater, commensurate with the magnitude and nature of the goods and/or services, and the schedule for performance.

B. Prospective bidders on Procurement Contracts may be prequalified by invitation advertised in the same manner as an RFP/RFQ (referred to as a Request for Qualifications and/or Request for Information ("RFI"). In such cases, proposals are requested only from those providers and/or firms whose prequalification submittals demonstrate sufficient ability and competence (including, but not limited to, the bidder's skill, judgment and business integrity) to supply the particular goods and/or perform the particular services required.

C. The Canal Corporation may withdraw any pending solicitation (including but not limited to RFPs and RFQs) at any time, for cause or no cause. Any person or entity submitting any responsive document to the Canal Corporation does so at its own cost or expense and will not be reimbursed by the Canal Corporation for the preparation of any responsive document, unless otherwise agreed to in writing and signed by an authorized Canal Corporation representative.

D. In order to promote the use of Minority- and Women-owned Business Enterprises ("MWBEs"), Service-Disabled Veteran-Owned Businesses ("SDVOBs") and Small Business Enterprises ("SBEs"), the Canal Corporation will solicit offers from such firms known to have experience in the type of goods and/or services to be provided, regardless of the type of contract. For the purpose of these Guidelines, the definitions of NYS-certified MWBE or SDVOB firms and SBEs are set forth in Sections 2.H, 2.L and 2.I, respectively. To foster increased use of MWBEs and SBEs, a single proposal may be sought, negotiated and accepted for discretionary purchases of goods and/or services not exceeding $500,000, in the aggregate including all amendments, from a NYS-certified MWBE or an SBE that offers a reasonable price for such goods and/or services. An SDVOB may be awarded on the basis of a single proposal that offers a reasonable price for such goods and/or services without a dollar cap. The award of such proposal requires the written approval of the Vice President, SSM. Any subsequent alteration to the accepted proposal, including, but not limited to, change orders, amendments, or supplemental terms shall also necessitate the written approval of the Vice President, SSM. Furthermore, the award of such Procurement Contracts will be noticed on the *Contract Reporter* website, as further set forth in Section 3.H.

E. It is the policy of New York State to promote the participation of and maximize the opportunities for New York State Business Enterprises and New York State residents in Procurement Contracts. The Canal Corporation will endeavor to promote such

participation and to comply with the applicable statutory provisions. In furtherance of Public Authorities Law § 2879, the following definitions and actions apply:

1. "New York State Business Enterprise" is a business enterprise, including a sole proprietorship, partnership or corporation that offers for sale or lease or other form of exchange, goods sought by the Canal Corporation that are substantially manufactured, produced or assembled in New York State or services, excluding construction services, sought by the Canal Corporation that are substantially performed within New York State as further described in Public Authorities Law § 2879.

2. "New York State resident" is a person who maintains a fixed, permanent and principal home in New York State to which such person, whenever temporarily located, always intends to return as further described in Public Authorities Law § 2879.

3. "Foreign Business Enterprise" is a business enterprise, including a sole proprietorship, partnership or corporation, that offers for sale, lease or other form of exchange, goods sought by the Canal Corporation that are substantially produced outside New York State, or services other than construction services, sought by the Canal Corporation that are substantially performed outside New York State as further described in Public Authorities Law § 2879. For purposes of construction services, Foreign Business Enterprise is a business enterprise, including a sole proprietorship, partnership or corporation, which has its principal place of business outside New York State.

4. "Discriminatory Jurisdiction" is any country, nation, province, state or political subdivision thereof which employs a preference or price distorting mechanism to the detriment of, or otherwise discriminates against, a New York State Business Enterprise in the procurement of goods and/or services by the same or a non-governmental entity influenced by the same.

5. Pursuant to Public Authorities Law § 2879, the Canal Corporation shall not enter into a contract with a Foreign Business Enterprise which has its principal place of business in a Discriminatory Jurisdiction contained on the list prepared by the Commissioner of the New York State Department of Economic Development ("DED"). The provisions of this section may be waived by the NYPA's President and CEO if the CEO determines in writing that it is in the best interests of the Canal Corporation to do so, as further set forth in the above-referenced law.

6. Pursuant to Public Authorities Law § 2879, the Canal Corporation will, where feasible, make use of the stock item specification forms of New York State manufacturers, producers and/or assemblers, as made available by the Commissioner of General Services, for any Procurement Contract for the purchase of goods.

F. Certain goods and/or services may be procured pursuant to Procurement Contracts let by any department, agency, officer, political subdivision or instrumentality of the State (e.g., the New York State Office of General Services ("OGS")) or Federal government (e.g.,

General Services Administration ("GSA")) or any city or municipality where the White Plains SSM Department, or Canal Corporation SSM Department, and the initiating department determine that a reasonable potential exists for cost savings or other benefits to the Canal Corporation and have approved the specifications and proposed terms and conditions of such contract.

Certain Procurement Contracts established by the OGS or GSA require that authorized users conduct a "mini-bid" (i.e., an abbreviated supplemental competitive bid procurement process) among prequalified bidders identified in such established contracts. Certain other Procurement Contracts issued by the Canal Corporation (e.g., for on-call consulting or contracting services) may also utilize a mini-bid process, typically, in cases of a multiple award, where a contract is awarded to more than one bidder that meets the Canal Corporation bid requirements, in order to satisfy multiple factors and needs as set forth in the bid document. Such mini bids shall be conducted by the Canal's Corporation SSM staff (or on behalf of the Canal Corporation by an Implementation Contractor) where applicable and practicable. Within a said multiple award group, work may be assigned to a specific firm without conducting a mini-bid, under certain circumstances, including but not limited to: where such firm possesses specialized expertise and is uniquely qualified to perform such work; where time constraints, emergency or other critical conditions exist or geographic location is of primary consideration in order to meet schedule requirements, respond to emergent issues or otherwise meet the Canal's Corporation needs; or when the work scope is below a specified monetary threshold. The decision to assign work without conducting a mini bid shall typically be made jointly by the Canal Corporation SSM Department and initiating departments and shall be documented for the Procurement Record.

G. Solicitations will include a scope of work that defines the goods required and/or the services to be performed; evaluation criteria (as defined in Section 4.B.); milestone dates; the Canal Corporation Supplier Diversity Program and SDVOB requirements, if applicable; all other applicable Canal Corporation requirements and any special methods or limitations that the Canal Corporation chooses to govern the work. Telephone solicitation, usually for procurements valued at less than $50,000, may be used where time constraints do not permit issuance of an RFP, where issuance of an RFP is otherwise impracticable or for goods that are catalog items or do not require a detailed bill of materials or specification. All solicitations made by telephone shall be documented and made part of the Procurement Record.

H. For all Procurement Contracts with a value equal to or greater than $50,000 (except for those contracts noted below), the Canal Corporation will, prior to soliciting proposals, submit all required information to the Commissioner of the DED to be included on the New York State *Contract Reporter* website, (www.nyscr.ny.gov) (unless such posting would serve no useful purpose). Such information will be submitted to the DED Commissioner in accordance with the schedule set forth by the DED. The due date for bids or proposals will be a minimum of 15 business days after the date of publication of such notice on the *Contract Reporter* website, except where a shorter period is specifically authorized by law. For Procurement Contracts resulting from a Request for Proposal process, the Canal Corporation will submit the results of the bid opening, including the names of firms submitting proposals and the name/s of the awardee/s, for inclusion on

the *Contract Reporter* website. For all other Procurement Contracts, the name of the awardee will be submitted.

This section 3.H does not apply to (i) Procurement Contracts awarded on an emergency basis as described below in Section 3.M, (ii) Procurement Contracts being rebid or re-solicited for substantially the same goods and/or services, within 45 business days after the original due date, and/or (iii) Procurement Contracts awarded to not-for-profit human services providers. (See Article 4-C, Economic Development Law)

Certain Procurement Contracts may require purchases: (1) on a spot market; (2) needed prior to the time limits for noticing on the Contract Reporter website or that do not lend themselves to the solicitation process. Such purchases are exempted from the noticing requirements of Article 4-C of the Economic Development Law subject to the approval of the NYPA Vice President of Strategic Supply Management (SSM), and/or the head of the initiating department that does not complete its procurements through NYPA SSM or the Canal Corporation SSM Department. From time to time or where appropriate, generic notices may be published on the Contract Reporter website notifying potential bidders of such opportunities and soliciting qualification statements for consideration by the Canal Corporation.

Notwithstanding the foregoing, submittal of a notice / announcement of award for inclusion on the *Contract Reporter* website is required for Procurement Contracts with a value of $50,000 or more awarded on a sole source or single source basis, including such discretionary contracts not exceeding $500,000 awarded to Small Business Enterprises (SBEs) or MWBE firms, or for the purchase of goods and/or technology that are recycled or remanufactured, for discretionary awards on a single or sole source basis to SDVOB's, or for the purchase of food, including milk and milk products that are grown, produced or harvested in New York State, and certain other Procurement Contracts exempt from the general advertising requirement for Procurement Contract bidding opportunities, in accordance with the afore-referenced law. Such notice shall specify the name of the awardee.

I. In order to further increase participation of service-disabled veterans in New York State's contracting opportunities, the Service-Disabled Veteran-Owned Business ("SDVOB") Act was signed into law on May 12, 2014. The SDVOB program provides for eligible Veteran business owners to become certified as a New York State Service-Disabled Veteran-Owned Business. The Division of Service-Disabled Veterans' Business Development within the New York State Office of General Services ("OGS") is responsible for certifying eligible SDVOBs, assisting agencies and authorities in complying with the law, and promoting SDVOB participation in the state's procurement activities. Under this program, contracts may be awarded on a non-competitive basis to NYS-certified SDVOBs for discretionary purchases. Alternately, contracts may be competitively bid exclusively among NYS-certified SDVOBs regardless of value and advertised as such on the *Contract Reporter* website.

J. Proposals for certain Services Contracts may also be solicited by competitive search, as follows:

For contracts where the scope of work cannot be well defined or quantified, or where selection requires evaluation of factors such as breadth and depth of experience in a unique or highly specialized field and suitability as a Canal Corporation representative, a "competitive search" will be conducted to determine which consultants are most qualified, for reasonable compensation terms, to perform the work. Depending on market conditions, at least five potential sources should be evaluated; if there are fewer than five sources, all sources should be evaluated. The NYPA SSM Department or the Canal Corporation SSM Department staff will work with the initiating department to gather information from potential sources, that will include a description of the consultant/firm's qualifications, résumés of key personnel, past experience and proposed billing rates.

K. A Procurement Contract may be awarded on a Sole Source, Single Source, or other non-competitive basis where:

1. Compatibility of equipment, accessories or spare or replacement parts is the paramount consideration.
2. Services are required to extend or complement a prior procurement and it is impracticable or uneconomic to have a source other than the original source continue the work.
3. A sole supplier's item is needed for trial use or testing, or a proprietary item is sought for which there is only one source.
4. Other circumstances or work requirements exist that cause only one source to be available to supply the required goods and/or services.
5. The contract is awarded to a Small Business Enterprise or to a NYS-certified MWBE firm for discretionary purchases not exceeding $500,000, pursuant to Section 3.D and as further set forth in Section 2.C.
6. The contract is awarded to a NYS-certified SDVOB for a discretionary purchase
7. The contract is for the discretionary purchase of goods and/or technology that are recycled or remanufactured, in an amount not exceeding $500,000, as further set forth in Section 2.C and subject to the approvals stated in Section 3.D.
8. The contract is for the discretionary purchase of commodities that are food, including milk and milk products, which are grown, produced or harvested in New York State, in an amount not exceeding $500,000, as further set forth in Section 2.C and subject to the approvals stated in Section 3.D.
9. Services are required on a more expedited basis than the competitive procurement process will allow. Requesting business units must demonstrate the urgency of the project and that awardee is cost-effective and qualified in the subject area. Services shall be for specific scopes of work in an amount not exceeding $500,000 and are subject to the approvals stated in Section 3.D.
10. Purchases made on a Sole Source, Single Source, or other non-competitive basis are subject to Public Authorities Law § 2879-a, 2 NYCRR Part 206, entitled "Comptroller Approval of Contracts Made by State Authorities" ("Comptroller Regulations") and the State Authority Contract Manual.

L. Pursuant to Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, the Canal Corporation may be required to submit certain contracts to the New York State Comptroller for approval that are awarded on a Sole

Source, Single Source, or other non-competitive basis for the purchase of goods and/or services in an amount in excess of $1 million, and shall notify the successful bidder therefor. Such contracts or contract amendments shall not be valid and enforceable unless approved by the Comptroller or until 90 days have elapsed from such submission without action by the Comptroller, as further set forth in the referenced law and regulations.

M. Subject to the Canal Corporation Expenditure Authorization Procedures ("EAPs"), and Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, a Procurement Contract may be awarded without following the solicitation requirements that ordinarily apply (but using such competitive selection procedures as are practicable under the circumstances) where emergency conditions exist, such as:

1. A threat to the health or safety of the public or Canal Corporation employees or workers.
2. Proper functioning of the Canal Corporation facilities or construction or operating projects requires adherence to a schedule that does not permit time for an ordinary procurement solicitation.

N. Whenever an initiating department determines that a Procurement Contract should be awarded on a Single Source, Sole Source, or an emergency basis, the department head or other authorized equivalent per the EAPs will provide a written statement explaining the compelling reasons therefor to the NYPA Vice President, SSM. The award of such Procurement Contracts, regardless of value, requires the written approval of the NYPA Vice President, SSM, except as noted in Section 3.H.

O. Every potential Sole Source or Single Source contract with a value of $1 million or more must be approved by the NYPA President and CEO or the COO prior to processing by the NYPA SSM Department or Canal Corporation SSM Department.

P. In furtherance of Public Authorities Law § 2800, when a procurement is made on a non-competitive basis, and the price for goods or services purchased exceeds fair market value, prior to making the purchase, the Business Unit Head of the initiating department shall provide a detailed explanation of the justification for making the purchase and a certification shall be signed by the NYPA Chief Executive Officer and Chief Financial Officer stating that they have reviewed the terms of such purchase and determined that it complies with applicable law and procurement guidelines. The following definition shall apply: "Fair Market Value" shall mean the estimated dollar amount that a willing buyer would pay to a willing seller for property in an arms-length transaction in the appropriate marketplace and under similar circumstances. Fair market value may be determined by internal appraisals, industry-recognized sources, or other methods of valuation generally accepted in the industry in which such property is utilized, as may be approved by the NYPA Vice President, SSM or authorized designee.

Q. It is the policy of New York State to discourage improper communications intended to influence a governmental procurement. The Canal Corporation will endeavor to control such practices and will comply with the applicable statutory provisions. In furtherance of the State Finance Law §§ 139-j and 139-k, the following shall apply:

The "Restricted Period" is the period of time commencing with the earliest posting, on the Canal Corporation website, in a newspaper of general circulation, or in the Procurement Opportunities Newsletter (i.e., New York State *Contract Reporter*) in accordance with Article 4-C of the Economic Development Law of written notice, advertisement or solicitation of a request for proposal, invitation for bids, or solicitation of proposals, or any other method provided for by law or regulation for soliciting a response from offerors (i.e., bidders/con- tractors) intending to result in a Procurement Contract with the Canal Corporation and ending with the final contract award and approval by the Canal Corporation and, where applicable, the State Comptroller. The "Restricted Period" also applies to a "mini-bid" process that may be utilized in certain established OGS, GSA or Canal Corporation multiple award contracts, as provided in Section 3.F.

The Canal Corporation shall designate a person or persons who may be contacted, with respect to each Canal Corporation procurement. The bidders/contractors or persons acting on their behalf, shall only contact the Canal Corporation's designated person or persons where a reasonable person would infer that the communication was intended to influence the procurement during the Restricted Period.

R. In furtherance of the Canal Corporation commitment to ensure transparency and accountability of its operations, every member, officer or employee of the Canal Corporation who is contacted by a lobbyist is required to make a contemporaneous record of such contact, pursuant to Public Authorities Law § 2987.

S. Project Sunlight (Chapter 399, Part A, Section 4 of the Laws of 2011) requires the Canal Corporation to record in a database maintained by the New York State Office of General Services certain appearances between the Canal Corporation and individuals, firms or other entities (excluding elected officials and representatives of federal, state and local agencies and authorities) relating to the procurement of a contract, with a value of $25,000 or more, for real property, goods or services. Appearances are defined as an interaction through an in-person meeting or a video conference between covered individuals. Appearances related to emergency procurements and disposal of property through public auctions are excluded, as are appearances that take place during the formal "Restricted Period." Covered individuals at the Canal Corporation means an employee who has the power to exercise discretion in procurement matters or advises someone who exercises such discretion. A covered individual outside of the Canal Corporation means both "external" (e.g., a lobbyist) and "internal" (e.g., sales representative) representatives of an entity, individuals appearing on behalf of themselves, advocacy groups or organizations or entities representing the interests or concerns of the organization or entity or of its members. All such appearances must be promptly reported to the Canal Corporation Ethics and Compliance Office for recording in the Project Sunlight database.

T. Prior to entering into any binding relationship with a third party (e.g., written agreement or memorandum of understanding (MOU)) in pursuit of any joint or collaborative development project, the office of SSM and the Law Department ("Law") must be notified regarding the procurement and on the issue of whether and to what extent the projects falls within the constraints of the Authority's procurement

regulations and enabling legislation. SSM and Law should be brought into any such project in the development process.

Provided that the Authority has statutory authority to develop or otherwise participate in a project developed, in whole or in part, in collaboration with a third party, the following minimum criteria must be met:

(i) the Authority's participation must be in response to a solicitation issued by the State or other public entity pursuant to a competitive selection process; and

(ii) the construction of any asset to be owned by the Authority must comply with all applicable laws, including but not limited to prevailing wage requirements and goals established for the use of minority enterprises (e.g., minority- and women-owned business enterprise (MWBE), service disabled veteran owned business (SDVOB)); and

(iii) goods and/or services required to develop and implement the project must be sourced and procured in accordance with, and subject to, either (a) the Authority's Procurement Guidelines; or (b) the requirements of the third party collaborator governing the competitive procurement of goods and services, provided that SSM has been furnished with a copy of such requirements which demonstrate, in SSM's judgement, that a competitive procurement or equivalent has been or will be undertaken.

Prior to execution any underlying agreement (i.e. joint development agreement, MOU, etc.) an internal award recommendation shall be memorialized and approved by the VP SSM and the responsible Business Unit head.

4. EVALUATION OF PROPOSALS

A. Proposals will be evaluated using a fair and equitable comparison of all aspects of the proposals against the specifics of the solicitation and against each other, including an analysis of each offer that considers: the quality of the goods and/or the competence of the bidder (including, but not limited to, the bidder's skill, judgment and business integrity), the technical merit of the proposal and the price for which the goods and/or services are to be supplied.

In the event the price submitted by the bidder recommended to be awarded a contract exceeds the cost estimated, where a cost estimate is provided on the solicitation at the time of bidding, the initiating department will prepare a written explanation to be reviewed by the Canal Corporation SSM Department and appropriate managers as stipulated in the EAPs. The following options should be considered: (1) rejecting the bids, resoliciting proposals and/or modifying the scope of work; (2) revising the cost estimate and proceeding with the contract award and (3) negotiating with the low bidder(s), as determined by the NYPA Vice President, SSM or designee, to reduce the price quoted. Factors to be considered in reaching the proper course of action include but are not limited to: the effects of a delay on both the schedule and the cost of the specific capital construction project or outage at an operating facility, the magnitude of the contract, available bidders, the ability to attract additional competition if the solicitation is reissued,

and the accuracy of the original cost estimate. The recommended course of action and the reasons therefor must be fully documented in a memorandum for consideration by the appropriate level of management prior to approval and placed in the appropriate procurement file.

B. Factors to be considered in evaluating the goods and/or services to be supplied and/or the competence of the bidder are: previous experience (including applicable experience in New York State and evaluations from other clients for whom the bidder has provided goods and/or services); the abilities and experience of the personnel to be assigned to the Canal Corporation work and the ability to provide any needed advanced techniques such as simulation and modeling; and overall, the bidder's skill, judgment and business integrity. The approach proposed in meeting the exact requirements of the scope of work will be given consideration in evaluating the technical merit of the proposal, together with a well-organized task structure, the ability to timely supply the goods and/or perform the proposed services and the ability to meet Supplier Diversity Program goals, if any. The need to purchase the goods from and/or subcontract performance of services to others will be evaluated as to their effects on cost, as well as quality, schedule and overall performance.

Another factor to be considered in evaluating proposals may involve an assessment of the bidder's diversity practices, where applicable. Pursuant to Article 15-A of the Executive Law, diversity practices are the contractor's practices and policies with respect to utilizing NYS-certified MWBEs in contracts as subcontractors and suppliers, and entering into partnerships, joint ventures or other similar arrangements with NYS-certified MWBEs. A contractor's diversity practices may be assessed when: (1) a procurement is awarded on the basis of "Best Value" as described in Section 4.D. (but *not* when a procurement is awarded based upon "lowest price"); (2) the anticipated award is $250,000 or greater; and (3) such assessment is practicable, feasible and appropriate. Such assessment shall not permit the automatic rejection of a bid or Procurement Contract proposal based on lack of adherence to diversity practices.

C. For Services Contracts (as defined in Section 2.M of these Guidelines), the technical merits of the proposals and the experience and capabilities of the bidders will be the primary factors in determining the individual or firm to be awarded the contract, provided that the price for performing such work is reasonable and competitive.

D. For Procurement Contracts for Goods (as defined in Section 2.F of these Guidelines), the award should generally be made to the lowest-priced firm submitting a proposal that meets the commercial and technical requirements of the bid documents. (See also Section 4.F regarding award to "other than low bidder".)

As a best practice and pursuant to State Finance Law § 163, the Canal Corporation may award on a "Best Value" basis for awarding contracts to the offeror that optimizes quality, cost and efficiency, among responsive and responsible offerors. Such basis shall reflect, wherever possible, objective and quantifiable analysis and may also identify a quantitative factor for offerors that are Small Businesses or NYS-certified SDVOB or MWBE firms.

E. Pursuant to § 139-k of the State Finance Law, the Canal Corporation shall not award a Procurement Contract (as defined in Subsection 3.Q.1 of these Guidelines) to a bidder/contractor who fails to provide timely, accurate and complete responses to inquiries about past determinations of non-responsibility (unless awarding the contract is necessary to protect public property or public health or safety and the bidder/contractor is the only source capable of supplying the required article of procurement within the necessary timeframe.)

A bidder's/contractor's knowing and willful violation of the Canal Corporation policy providing for certain procurement disclosures shall result in a determination of non-responsibility of such bidder/contractor pursuant to State Finance Law §§ 139-j and 139-k only.

More than one determination of non-responsibility due to violations of State Finance Law § 139-k in a four-year period shall render a bidder/contractor ineligible to submit bids for four years from the second determination of non-responsibility.

F. An award to "other than low bidder" can be made only with the approval of appropriate management as stipulated in the EAPs, and should be based on such a proposal providing a clear advantage to the Canal Corporation over the lower-priced proposal. Factors justifying an "other than low bidder" award may include, but are not limited to: improved delivery schedules that will reduce outages; longer warranty periods; improved efficiency over the usable life of the equipment; reduced maintenance costs; the bidders' financial resources or the ability to meet or exceed Supplier Diversity Program and SDVOB goals; and overall, the bidder's skill, judgment and business integrity.

G. The specifications set forth in any solicitation prepared under these Guidelines were based upon information available at the time of the preparation of the solicitation. Thus, the Canal Corporation may diverge from the specifications of any solicitation if, after review of the proposals responsive to such solicitation, the Canal Corporation deems it prudent in light of its experience, the circumstances of the solicitation and/or potential cost savings.

5. RECOMMENDATION OF AWARD

A. A recommendation for approval of a proposed award of a Procurement Contract is usually prepared in the form of a memorandum or e-mail by the department requiring the goods and/or services. The recommendation must include an evaluation of proposals as specified in Article 4 above, as well as proposed specific compensation terms that provide a clear breakdown of cost factors and methods of calculation, including, as applicable:

1. Lump sum and/or unit prices for equipment and construction work.
2. Hourly or daily rates for personnel.
3. Markups for payroll taxes, fringe benefits, overhead and fees, if the proposal is based on reimbursement of actual payroll costs.
4. Terms for reimbursement of direct out-of-pocket expenses, such as travel and living costs, telephone charges, services of others and computer services.
5. Provisions, if any, for bonus/penalty arrangements based on target person-hours and/or target schedule.

B. The recommendation will also review any substantive exceptions to commercial and technical requirements of a price inquiry, RFP, RFQ or bidding documents, including but not limited to payment terms, warranties and bond requirements, if any, as well as Supplier Diversity Program requirements, as applicable.

6. AWARD OF CONTRACT

A. Services Contracts (which include contracts for Construction, Personal and Non-personal services, as defined in Section 2.M.) valued or estimated to be $5,000 or greater to be performed for a period of more than 12 months are approved and reviewed annually by the Canal Corporation Board of Directors. Services Contracts for a period of less than 12 months are approved by authorized designees in accordance with existing EAPs. Extending a contract for services with an initial duration of less than 12 months beyond 12 months will be approved by the Canal Corporation Board of Directors at the request of the initiating department and will be reviewed by the Canal Corporation Board of Directors annually. Extending a contract for services, that has previously been approved by the Canal Corporation Board of Directors, for a cumulative term of more than 12 months requires further Canal Corporation Board of Director approval.

B. Extending a contract, previously approved by the Canal Corporation Board of Directors, for 12 months or less ("grace period") requires approval by the NYPA Vice President, SSM of the requesting department or other authorized equivalent or designee in accordance with existing EAPs and concurrence by the NYPA Vice President, SSM.

C. For Services Contracts valued or estimated to be $5,000 or greater to be performed for a period of more than 12 months that must be awarded prior to the next quarterly Canal Corporation Board of Directors meeting, the initial contract will be issued for the entire intended term of the contract. Based on its total term and value, such contract must be approved in writing by the appropriate management as set forth in the EAPs. Such contract is subject to the Canal Corporation Board of Directors' approval, at the next quarterly Canal Corporation Board of Directors' meeting. If such approval is not granted, the contract will be terminated immediately.

D. A contract or contract task valued or estimated to be $5,000 or greater is deemed to be for services in excess of 12 months where the contract does not specify a definite term and the work will not be completed within 12 months, and any "continuing services" contract with no fixed term that provides for the periodic assignment of specific tasks or particular requests for services. This includes Canal Corporation Board of Directors-approved contracts for architect/ engineering services with the original engineers of operating facilities, as well as the original supplier of steam supply systems or boilers and turbine generating equipment. Each task authorized under such contracts (which may be referred to as a "Change Order," "Purchase Order" or "Task Number") is considered a separate commitment and must be separately approved in accordance with the EAPs.

E. The term of a Personal Services contract is limited to a maximum of five (5) years, including any extensions. However, at the sole discretion of the Vice President of SSM may approve a Business Unit's written justification for a contract term exceeding 5 years or reasonable extension of such a contract.

F. The term of a Purchase Order Release may extend beyond the term of the Value Contract with the approval of the Vice President of SSM. ~~For construction value contracts purchase order releases maybe issued up to the term limit of the value contract. The term of a construction purchase order release shall be as required to complete the work assigned. The term of the value contract shall be extended accordingly.~~

G. Multiyear contracts for Goods (which include equipment, materials and supplies, as defined in Section 2F) valued or estimated to be $5,000 or greater are subject to the management approval thresholds established in the EAPs, and require Trustee approval only once those thresholds are exceeded.

H. When time constraints or emergency conditions require extending an existing contract with an initial duration of less than a year beyond a year, and the cumulative monetary change order value does not exceed the appropriate limit set forth in the EAPs, the Department Head, with the prior concurrence of the NYPA Vice President, SSM or equivalent(s) or designee, may authorize extending such contract, subject to the Canal Corporation Board of Directors ratifying such action as soon as practicable.

I. When the total estimated contract value or the value of the extension exceeds the monetary limits set forth in the EAPs, interim approval by the NYPA President and Chief Executive Officer or Chief Operating Officer or equivalent(s) or designee is required, subject to the Canal Corporation Board of Directors ratifying such action as soon as practicable.

J. When time constraints or emergency conditions require immediate commencement of services to be performed for a period of more than one year, and when the contract value exceeds the monetary approval limit for the President and Chief Executive Officer or Chief Operating Officer or equivalent(s), as set forth in the EAPs, the President and Chief Executive Officer or Chief Operating Officer or equivalent(s) or designee, with the prior concurrence of the NYPA Vice President, SSM or equivalent(s) or designee, may authorize in writing the commencement of such services. The initial compensation limitation may not exceed the authorization level for the NYPA President and Chief Executive Officer or equivalent(s) or Chief Operating Officer or equivalent(s) as set forth in the EAPs. Such contracts will be subject to the Canal Corporation Board of Directors approval, which will be solicited at their next scheduled Canal Corporation Board of Directors meeting.

K. The NYPA SSM or the Canal Corporation SSM Department prepares the contract for execution by the Canal Corporation and the successful bidder. No work by the selected contractor will commence until the contract is executed by both parties, except that mutually signed letters of award or intent may initiate work prior to formal execution. Canal Corporation signatories of such letters must be authorized to approve contract awards pursuant to the EAPs.

L. Pursuant to Economic Development Law § 143, the Authority shall submit an announcement of the intended contract for inclusion in the procurement opportunities newsletter at the time it enters into a contract. Such announcement shall identify the contract, specify the date of the award of the contract and provide the name of and contact information for each recipient of the contract.

M. Pursuant to Public Authorities Law § 2879, the Canal Corporation shall notify the Commissioner of Economic Development of the award of any Procurement Contract for the purchase of goods and/or services from a Foreign Business Enterprise (as defined in Subsection 3.E.3 of these Guidelines) in an amount equal to or greater than $1 million simultaneously with notifying the successful bidder therefor. The Canal Corporation shall not enter into the Procurement Contract for said goods and/or services until at least 15 days have elapsed from the notification of the award, except for a Procurement Contract awarded on an emergency or critical basis. The notification to the Commissioner shall include the name, address, telephone and facsimile number of the Foreign Business Enterprise, the amount of the proposed Procurement Contract and the name of the individual at the Foreign Business Enterprise or acting on behalf of same who is principally responsible for the proposed Procurement Contract.

7. CONTRACT PROVISIONS

A. The following standard forms of contracts are available from the NYPA SSM Department or Canal Corporation SSM Department: purchase order format (for standard procurements of goods and/or services); furnish-and-deliver format (for major equipment purchases); long form agreements (for consulting services) and maintenance agreement formats; contract work orders (for construction work of small magnitude); construction contracts (for major construction work) and furnish, deliver and install contracts (for specialized, major procurements where single responsibility is required for procurement and installation). These contract forms are intended to govern the purchase of goods and/or performance of services.

Canal Corporation departments proposing to initiate a Procurement Contract should review these forms to suggest any modifications and additions that may be required for the particular goods and/or services. Under no circumstances should contract forms be shown to proposed bidders without the prior approval of the NYPA SSM Department and the Canal Corporation SSM Department, which are responsible for requesting proposals.

B. The following types of provisions setting forth contractor responsibilities are to be contained in the standard forms of Procurement Contracts, except that any provisions listed below that are inapplicable or unnecessary because of the nature or duration of the work to be performed, the location(s) where the work is to be performed or the type of compensation being paid therefor, need not be included. Other provisions may be added as necessary and appropriate.

1. Schedule of Services or Specifications
2. Time of Completion
3. Compensation or Itemized Proposals
4. Relationship of Parties
5. Delays
6. Termination
7. Changes in the Work
8. Claims and Disputes
9. Warranty
10. Insurance
11. Records, Accounts, Inspection and Audit

12. Assignment
13. Notices
14. Indemnification
15. Governing Law
16. Proprietary Nature of Work
17. Testimony
18. MWBE requirements
19. SDVOB requirements
20. Entire Agreement

Contract Attachments

1. Compensation Schedule
2. Schedule of Services or Specifications
3. Appendix "A" (Miscellaneous Statutory Provisions)
4. Appendix "B" (Prompt Payment Provisions)
5. Appendix "C" (Minority- and Women-owned Business Enterprise (MWBE) Participation Goal Requirement)
6. Appendix "D" (Background Security Screening for Authority Contractors)
7. Appendix "E" (Omnibus Procurement Act of 1992 Requirements)
8. Appendix "F" (Computer Aided Design Requirements For New York Power Authority Drawings)
9. Appendix "G" (Equal Employment Opportunities Requirements)
10. Appendix "H" (Tax Law Requirements)
11. Appendix "I" (New York Power Authority (NYPA) North American Electric Reliability Corporation Critical Infrastructure Protection (NERC CIP) Cyber Access And/or Unescorted Physical Access Training Requirements)
12. Appendix "J" (Bidder/Contractor Compliance with State Finance Law §§ 139-j and 139-k Providing for Certain Procurement Disclosures)
13. Appendix "K" (Additional State and Federal Provisions Required for American Recovery and Reinvestment Act (Pub. L. No. 111-5 Stat. 2009) ("ARRA") Funded Projects) - inactive
14. Appendix "L" (DOE Federal Contract Provisions) - inactive
15. Appendix "M" (Use of Ultra Low Sulfur Diesel Fuel and Best Available Retrofit Technology ("BART") for Heavy Duty Vehicles)
16. Appendix "N" (The New York State Iran Divestment Act of 2012 – Iranian Energy Sector Divestment)
17. Appendix "O" (Encouraging Use of New York State Businesses in Contract Performance) – inactive
18. Appendix "P" (Information Security Requirements for Vendors and External Partners)

C. If a vendor (firm, person or other entity) participates in the development or writing of the specifications for a procurement solicitation, such vendor shall not be permitted to bid on such procurement, either as a prime vendor or as a subcontractor at any level. Contracts for evaluation of offers for products or services shall not be awarded to a vendor that would then evaluate its own offers for products or services.

Furthermore, any firm, person or other entity retained by the Canal Corporation to provide conceptual studies, designs or specifications is prohibited from being awarded future phases of work, including implementation, related to the original work.

The above restrictions shall not apply where:

1. The vendor is the sole source or single source of the product or service;
2. More than one vendor has been involved in preparing the specifications for a procurement proposal;
3. There is no qualified response to the solicitation for future phases of work, including implementation, or Design-Build or Engineer, Procure, Construct; or
4. The originating Canal Corporation Department determines in writing that the restrictions are not in the best interests of the Canal Corporation. Such originating Department shall obtain the approval of the applicable Department Head or equivalent(s), NYPA Vice President, SSM or equivalent(s) or designee, NYPA Assistant General Counsel or equivalent(s) and NYPA President and Chief Executive Officer or designee or Chief Operating Officer or equivalent(s) to waive this restriction on a case-by-case basis.

8. CHANGE ORDERS

A. Change Orders to existing contracts are justified in the following cases:

1. To incorporate additional work related to the original scope, to delete work or to otherwise modify the original work scope;
2. To exercise options previously included in the original contract to perform additional work or to extend the contract term;
3. To accommodate emergency conditions, defined in Section 3.M herein, that require the immediate performance of work by a firm already under contract;
4. When rebidding would not be practical or in the best interests of the Canal Corporation customers; and
5. To meet the Canal Corporation Supplier Diversity and SDVOB Program goals in accordance with Executive Law Articles 15-A and 17-B, respectively.

B. All Change Orders must be approved in accordance with the Canal Corporation EAPs, and should include specific schedules for completion of work at the earliest possible time.

C. Pursuant to Public Authorities Law § 2879-a, the Comptroller Regulations and the State Authority Contract Manual, the Canal Corporation may be required to submit certain Change Orders to the New York State Comptroller for filing or approval where the aggregate value of the contract as amended is in excess of $1 million and the original contract was awarded on the basis of a competitive procurement, but the modification was neither contemplated nor provided for in the solicitation for such competitive procurement.

9. CONTRACTING DECISIONS INVOLVING CURRENT OR FORMER EMPLOYEES

A. Former Canal Corporation officers and employees may be eligible to be considered for direct engagement as contractors and/or consultants provided that they meet all criteria for contractors and/or consultants generally as specified in these Guidelines; their

engagement is not barred by New York Public Officers Law § 73(8); they obtain an opinion by the New York State Joint Commission on Public Ethics that such engagement is permissible; and upon approval of the NYPA President and Chief Executive Officer, as well as the Chairman of the Canal Corporation Board.

B. Pursuant to the provisions of New York Public Officers Law § 73(8):

1. No Canal Corporation officer or employee is eligible, within a period of two years after the termination of Canal Corporation service to appear or practice before the Canal Corporation or receive compensation for any services rendered on behalf of any person, firm, corporation or association, in relation to any case, proceeding or application or other matter before the Canal Corporation.

2. No Canal Corporation officer or employee is eligible, at any time after the termination of Canal Corporation service, to appear, practice, communicate or otherwise render services before the Canal Corporation or any other state agency or receive compensation for any such services rendered on behalf of any person, firm, corporation or other entity in relation to any case, proceeding, application or transaction that such person was directly concerned with and personally participated in during his or her period of service, or which was under his or her active consideration.

3. Pursuant to the provisions of New York Public Officers Law § 73(8-b), notwithstanding the provisions of 1. and 2. above, a former Canal Corporation officer or employee may contract individually, or as a member or employee of a firm, corporation or association, to render services to the Canal Corporation, if, prior to engaging in such service, the Chairman of the Board of Directors certifies in writing to the New York State Joint Commission on Public Ethics that such former officer or employee has expertise, knowledge or experience with respect to a particular matter which meets the Canal Corporation needs and is otherwise unavailable at a comparable cost. Where approval of the contract is required under § 112 of the New York State Finance Law, the Comptroller shall review and consider the reasons for such certification. The New York State Joint Commission on Public Ethics must review and approve all such certifications.

C. No Canal Corporation employee who is involved in the award of Canal Corporation grants or contracts may ask any officer, director or employee of such current or prospective contractor or grantee to reveal: (a) the political party affiliation of the individual; (b) whether the individual or entity has made campaign contributions to any political party, elected official or candidate for elective office or (c) whether the individual voted for or against any political party, elected official or candidate for elective office.

D. No Canal Corporation employee may award or decline to award any grant or contract, or recommend, promise or threaten to do so because of a current or prospective grantee's or contractor's: (a) refusal to answer any inquiry prohibited by Section 9.C above or (b) giving or withholding or neglecting to make any contribution of money, service or any other valuable thing for any political purpose.

E. No Canal Corporation employee may take part in any contracting process or decision: (i) to a Relative; or (ii) to any entity in which the Canal Corporation employee or a Relative

of such Canal Corporation employee owns or controls 10% or more of the stock of such entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange); or serves as an officer, director or partner of that entity. If a contracting matter arises relating to this Section 9.E, then the employee must advise in writing his or her supervisor and the Office of Ethics and Compliance of the relationship, and must be recused from any and all discussions or decisions relating to the matter.

1. For purposes of this Section 9.E, the term "Relative" is defined in Definitions, Section 2.L of these Guidelines.

10. SUPPLIER DIVERSITY PROGRAM REQUIREMENTS

The Canal Corporation strives to continue to foster the development of business opportunities on Canal Corporation contracts for MWBEs. Article 15-A of the Executive Law established the NYS Office (now Division) of Minority and Women's Business Development ("DMWBD") that is responsible for developing rules and regulations for implementation of this statute, certifying MWBEs and reviewing and monitoring goal plans, compliance reports and contract provisions to be included in all non-construction contracts for more than $25,000 and construction contracts for more than $100,000. The definition of an MWBE is included in Section 2.G of these Guidelines. The Canal Corporation aims to solicit proposals from NYS-certified MWBEs that are qualified to perform the required work. In addition, specific goals may be included in certain contracts for consulting work, construction and procurement of goods and other services requiring the contractor/vendor to subcontract a portion of the work to NYS-certified MWBEs as required by law. Bidders' proposals will include a completed preliminary Utilization Plan Form for MWBEs, as well as applicable EEO and Diversity Practices Forms, where required. Such bidders' failure to meet these requirements may be grounds for rejection of the proposal, or cancellation of the contract if a contractor did not make a good faith effort to meet its goals after contract award. Final MWBE Utilization Plans for Construction contracts valued at more than $100,000 shall be provided and posted on the procurement website by the successful vendor within ten business days of contract signing.

Pursuant to § 2879 of the Public Authorities Law and as further set forth in the Canal's Corporation Supplier Diversity Program documents, the following guidelines apply:

1. Identify those areas or types of contracts for which MWBEs may best bid so as to promote and assist participation by such enterprises and facilitate a fair share of the awarding of contracts to such enterprises.
2. Provide notice, in addition to any other notice of procurement opportunities required by law, to professional and other organizations that serve MWBEs providing the types of services procured by the Canal Corporation.
3. Maintain lists of qualified NYS-certified MWBEs, including professional firms that have expressed an interest in doing business with the Canal Corporation and ensuring that such lists are updated regularly. The Canal Corporation shall also consult the lists of NYS-certified MWBEs maintained by the DED pursuant to Executive Law Article 15-A.
4. Establish appropriate goals for participation by MWBEs in Procurement Contracts awarded by the Canal Corporation and for the utilization of MWBEs as subcontractors and suppliers by entities having Procurement Contracts with the

Canal Corporation. Statewide numerical participation target goals shall be established by the Canal Corporation based on the criteria set forth in Public Authorities Law § 2879.

5. Conduct procurements in a manner that will enable the Canal Corporation to achieve the maximum feasible portion of the goals established pursuant to Subdivision 4 of this Section and that eliminates barriers to participation by MWBEs in the Canal's Corporation procurements.

6. Designate one or more senior staff of the Canal Corporation to oversee the Canal's Corporation programs established to promote and assist participation by and utilization of NYS-certified MWBEs.

11. SERVICE-DISABLED VETERAN-OWNED BUSINESS ("SDVOB") PROGRAM REQUIREMENTS

The Canal Corporation also strives to foster the development of business opportunities for NYS-certified SDVOBs and to further increase participation by SDVOBs in Canal Corporation contracts, as set forth in Sections 2.R and 3.I of these Guidelines and pursuant to Article 17-B of the Executive Law. One tool is the use of SDVOB discretionary purchasing, as further described in Sections 3.D, I and K of these Guidelines. Another tool authorized by the law is the use of set-asides, which permit the reservation in whole or in part of certain procurements by state agencies and authorities when more than one NYS-certified SDVOB is available and can provide the necessary goods or services to meet the Canal Corporation form, function and utility. The same dollar limits apply to SDVOB contracts as those set forth for MWBEs in Article 10 of these Guidelines.

Pursuant to Article 17-B of the Executive Law, the following guidelines apply:

1. Identify contracts where SDVOBs may best perform and/or where SDVOB goals are practical, feasible and appropriate for the purpose of increasing the utilization of SDVOB participation on Canal Corporation contracts.

2. Submit regular reports with respect to SDVOB Program activity, including but not limited to, utilization reporting and contract monitoring and compliance.

3. Achieve an overall goal of six percent for SDVOB participation on Canal Corporation contracts.

12. DISADVANTAGED BUSINESS ENTERPRISE ("DBE") PROGRAM REQUIREMENTS ON PROJECTS THAT ARE FEDERALLY FUNDED

The Canal Corporation ("Canals") strives to foster the development of business opportunities for NYS certified DBEs and to further increase their participation in Canals Federally funded contracts. The Canals aims to solicit proposals from DBEs for procurements that will be partially or fully federally funded. The Canals follows the DBE guidelines as set out by The Federal Department of Transportation ("DOT"). NYS DOT is tasked with certifying eligible small businesses as DBEs in New York State.

The Canals is committed to promoting participation of DBEs in Canals contracting opportunities in accordance with federal law and regulations and seeks to achieve the following objectives:

1. To ensure nondiscrimination in the award and administration of Federally funded contracts in the canals and waterways;
2. To create a level playing field on which DBEs can compete fairly for Federally funded contracts;
3. To ensure that the Canals' DBE program is narrowly tailored in accordance with applicable law;
4. To ensure that only firms that fully meet this Federal eligibility standards are permitted to participate as DBEs;
5. To help remove barriers to the participation of DBEs in Federally funded contracts;
6. To promote the use of DBEs in all types of federally-assisted contracts and procurement activities.
7. To assist the development of firms that can compete successfully in the marketplace outside the DBE program; and
8. To provide appropriate flexibility to recipients of Federal financial assistance in establishing and providing opportunities for DBEs.

13. PROCUREMENT RECORD AND REPORTING

A. Procurement Record

The NYPA SSM Department or the Canal Corporation SSM Department maintains records of Procurement Contracts. In addition to bid- and contract award-related documents for the goods provided and/or services performed, the Procurement Record includes, but is not limited to, documentation of the decisions made and the approach taken in the procurement process. Such records may be transmitted to a digital warehouse for electronic storage and retrieval.

B. Procurement Report

After the end of each calendar year, the NYPA Vice President, SSM or equivalent(s) will prepare and submit an annual report to the Canal Corporation Board of Directors for their approval that will include:

1. A copy of the Guidelines;
2. An explanation of the Guidelines and any amendments thereto since the last annual report;
3. A list of all Procurement Contracts entered into since the last annual report, including all contracts entered into with New York State Business Enterprises and the subject matter and value thereof and all contracts entered into with Foreign Business Enterprises and the subject matter and value thereof;
4. A list of fees, commissions or other charges paid;
5. A description of work performed, the contract number, the date of the contract and its duration, the name, address and NYS-certified MWBE designation of the awardees, the total amount of the contract, the amount spent on the contract during the reporting period and for the term of the contract to date and the status of open Procurement Contracts during the report year;
6. The type of contract (equipment, services, personal services or construction);

7. The method of awarding the contract (e.g., competitive bidding, Sole Source, Single Source or competitive search);
8. The reasons why any procurements with a value equal to or greater than $50,000 were not noticed in the Contract Reporter;
9. The number of bids received and
10. All referrals made and all penalties imposed, if any, pursuant to § 316 of the Executive Law.

C. Such annual report, as approved by the Canal Corporation Board of Directors, shall be submitted to the New York State Division of the Budget within 90 days of the end of such calendar year, and copies thereof shall be distributed to the New York State Department of Audit and Control, the DED, the New York State Senate Finance Committee, and the New York State Assembly Ways and Means Committee and any other entity as may be required by law. The annual procurement report is posted on the Canal Corporation website and copies shall be made available to the public upon reasonable written request therefor.

D. State Finance Law §§ 139-j and 139-k

1. A statement describing the basis for a determination of a bidder's/contractor's non-responsibility (per State Finance Law §§ 139-j and 139-k only) and the Canal Corporation decision not to award a bidder/contractor the Procurement Contract must be included in the Procurement Record.
2. The Canal Corporation shall notify the New York State Office of General Services of bidders/contractors who have been determined to be non-responsible bidders (per State Finance Law §§ 139-j and 139-k only) or debarred due to violations of § 139-j of the State Finance Law.
3. All forms entitled "Record of Contact" shall be included in the respective Procurement Record.
4. A statement describing the basis for a termination of a Procurement Contract for providing an intentionally false certification must be included in the Procurement Record.

E. The Canal Corporation may be called upon periodically to submit information regarding the procurement of goods and/or services to organizations implementing the PAAA or other statutes regulating the procurement of goods and services, such as Canal Corporation's Budget Office through the Public Authorities Reporting Information System ("PARIS").

F. The NYPA Vice President, SSM or equivalent(s) will also prepare Annual Goal Plans for the MWBE and SDVOB programs and will submit them by January 15 of each year to Empire State Development - Division of Minority and Women Business Development and the New York State Office of General Services - Division of Service-Disabled Veterans' Business Development, respectively. Quarterly Utilization / Activity Reports for each program will also be prepared and submitted to the aforementioned respective state entities by the 15th day of July, October, January and April.

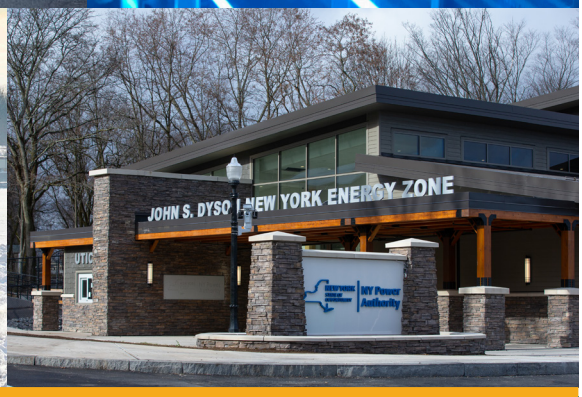
14. THIRD PARTY RIGHTS: VALIDITY OF CONTRACTS

A. These Guidelines are intended for the guidance of officers and employees of the Canal Corporation only. Nothing contained herein is intended, nor should it be construed, to confer on any person, firm or corporation any right, remedy, claim or benefit under, or by reason of, any requirement or provision hereof.

B. Nothing contained in these Guidelines alters or affects the validity of, modifies the terms of or impairs any contract or agreement entered into in violation of these Guidelines.

Exhibit A-4
March 30, 2021

2020 Annual Report of Procurement Contracts



NEW YORK STATE OF OPPORTUNITY.

NY Power Authority | Canal Corporation

Cover – Highlights of 2020 contracts, clockwise from left:

- At the end of a New York rainbow is the Moses Adirondack SmartPath Reliability Project
- Critical employees were sequestered onsite during the COVID-19 pandemic to ensure continuous operations
- HVAC UV Lighting upgrade to combat pandemic was completed at the State University of NY Stony Brook campus
- The brand new John S. Dyson New York Energy Zone at the Utica Discovery Center, named after former NYPA Chairman
- Niagara's newest asset, the Breaker II icebreaker tugboat, on the Niagara River

2020 ANNUAL REPORT OF PROCUREMENT CONTRACTS

FIELD EXPLANATION GUIDE

ARRANGEMENT: Listed in ascending order by Contract Number or Identifier.

SCOPE: All procurement contracts (for goods or services) with a value of $5,000 or greater that were open, completed or awarded in 2020, including contracts that were extended into 2021 or beyond. Also included are non-contract procurements by purchase order or credit card where the spend with the vendor was $5,000 or greater

FIELD NAMES

TYPE: COMMITMENT TYPE, Indicating the major category of goods or kind of services provided.

MOA: METHOD OF AWARD, Indicating the basis of vendor selection.

RNA: REASON NOT ADVERTISED, Indicating the reason a notice was not published in the Contract Reporter.

OPA: OMNIBUS PROCUREMENT ACT, Indicating where the goods were substantially manufactured or assembled or where the services were substantially performed; New York or Foreign to New York.

SDIV: SUPPLIER DIVERSITY INDICATOR

BIDS: NUMBER OF BIDS, Indicating the number of bids received for contracts awarded after January 1, 2007. Such information is not included for contracts awarded prior to that date.

FREIGHT: Contract value adjusted to include actual freight charges.

TOTAL CONTRACT AMOUNT: Total value of the commitment as of December 31, 2020, reported from the SAP system. NOTE: Additional funding may be authorized via issuance of a Change Order in accordance with the Authority's Expenditure Authorization Procedures.

TOTAL AMOUNT EXPENDED TO DATE: Total amount expended through December 31, 2020 as reported from SAP system.

SAP system.

DATE OF CONTRACT: Date on which the original commitment was effective (which may differ from Issue Date of formal contract or "Create Date" in SAP system).

O/C: OPEN / COMPLETED, Status of the contract as of December 31, 2020. Completion date indicates that goods have been received or services were completed in full.
THIS DOES NOT NECESSARILY reflect that the final payment has been made.

PROJECTED COMPLETION DATE: Open commitments, date of which goods are scheduled to be received or the date on which the scope of the contract is scheduled to be physically completed.

DATE CONTRACT COMPLETED: Completed commitments, the date of actual physical completion, when goods were delivered or services completed in full; this DOES NOT NECESSARILY reflect that the final payment has been made.

ANNUAL REPORT OF PROCUREMENT CONTRACTS

TABLE FOR PROCUREMENT CONTRACT SUMMARY SCREENS

COMMITMENT TYPE

A = ARCHITECTURAL & ENGINEERING SERVICES

C = CONSTRUCTION

E = EQUIPMENT/COMMODITIES

H = IT HARDWARE

I = IT SOFTWARE

L = LEGAL SERVICES

M = MAINTENANCE / OUTAGE

P = PERSONAL SERVICES

R = IT CONSULTING / DEVELOPMENT

S = OTHER (NON-PERSONAL) SERVICES

T = TELECOMM

W = CONTINGENT WORKFORCE

METHOD OF AWARD

B = COMPETITIVE BID

C = COMPETITIVE SEARCH

M = MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISE / SMALL BUSINESS ENTERPRISE VALUE < $500,000 / SERVICE-DISABLED VETERAN-OWNED BUSINESS

1 = SOLE SOURCE

2 = SINGLE SOURCE

A = NON-CONTRACT PURCHASE ORDERS AND CREDIT CARD PURCHASE IF AGGREGATED > $5,000

REASON NOT ADVERTISED

1 = EMERGENCY OR CRITICAL BASIS

2 = RE-BID/RE-SOLICITED FOR THE SAME GOODS/SERVICE WITHIN 45 BUSINESS DAYS AFTER ORIGINAL BIDS WERE DUE

3 = NOT-FOR-PROFIT PROVIDER OF HUMAN SERVICES

4 = CHARITABLE NON-PROFIT AGENCY WHICH DISTRIBUTES PRODUCTS PRODUCED BY THE BLIND OR SEVERELY HANDICAPPED OR IN CONNECTION WITH SPECIAL EMPLOYMENT PROGRAMS OF THE OFFICE OF MENTAL HEALTH

5 = ORIGINAL AWARD LESS THAN $50,000

6 = ORIGINAL ESTIMATE LESS THAN $50,000

7 = AWARDED UNDER STATE (OGS) OR FEDERAL (GSA) CONTRACT (PIGGYBACK)

8 = NOTICED IN CONTRACT REPORTER

9 = NOT APPLICABLE - NON-PROCUREMENT, MEMBERSHIP, LAND PURCHASES, USE OF PIPELINE, ETC.

OPA : OMNIBUS PROCUREMENT ACT

ENTERED INTO THE SAP SYSTEM (CONTRACT DATA SCREEN): “NYSBE or FBE”

N = GOODS WERE SUBSTANTIALLY PRODUCED OR SERVICES SUBSTANTIALLY PERFORMED IN NEW YORK STATE EXCEPT FOR CONSTRUCTION CONTRACTS

F = GOODS WERE SUBSTANTIALLY PRODUCED OR SERVICES SUBSTANTIALLY PERFORMED OUTSIDE NEW YORK STATE (FOREIGN)

MWBE: MINORITY- AND WOMEN-OWNED BUSINESS ENTERPRISE

01 = NEW YORK STATE SMALL BUSINESS ENTERPRISE (SBE)

02 = NEW YORK STATE-CERTIFIED SERVICE-DISABLED VETERAN-OWNED BUSINESS (SDVOB)

03 = NEW YORK STATE-CERTIFIED WOMEN-OWNED BUSINESS ENTERPRISE (WBE)

04 = NEW YORK STATE-CERTIFIED MINORITY-OWNED BUSINESS ENTERPRISE (MBE)

07 = NEW YORK STATE CERTIFIED MINORITY WOMEN OWNED BUSINESS ENTERPRISE (MWBE)

08 = DISADVANTAGED BUSINESS ENTERPRISE (DBE)

09 = DISADVANTAGED BUSINESS ENTERPRISE & CERTIFIED WOMEN OWNED BUSINESS (DBA WBE)

10=DISADVANTAGED BUSINESS ENTERPRISE & CERTIFIED MINORITY OWNED BUSINESS (DBA MBE)

N = NON NEW YORK STATE CERTIFIED MINORITY OR WOMEN OWNED BUSINESS ENTERPRISE

FREIGHT

* Contract value adjusted to include actual freight charges.

POWER AUTHORITY OF THE STATE OF NEW YORK
ANNUAL REPORT OF PROCUREMENT CONTRACTS
REQUIRED BY N.Y. PUBLIC AUTHORITIES LAW, SECTION 2879

CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	FRT	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O\C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
4400000105	COUNTY WASTE & RECYCLING SERVICE IN 1927 ROUTE 9 PO BOX 431 CLIFTON PARK, NY 12065 US	RUBBISH REMOVAL	E	B	7	N	N	1		7,600	6,365	1,461	1,235	1/3/2017	C		11/30/2020
4400000107	COUNTY WASTE & RECYCLING SERVICE IN 1927 ROUTE 9 PO BOX 431 CLIFTON PARK, NY 12065 US	RUBBISH REMOVAL	E	B	7	N	N	1		10,000	6,081	0	3,919	1/1/2017	C		11/30/2020
4400000140	HANSON AGGREGATES NEW YORK LLC 4800 JAMESVILLE RD PO BOX 513 JAMESVILLE, NY 13078 US	FINE AND COARSE AGGREGATES	E	B	7	N	N	1		70,000	70,000	10,678	0	1/26/2017	C		1/10/2020
4400001114	BARRETT PAVING MATERIALS INC 4530 WETZEL RD LIVERPOOL, NY 13090-2517 US	STONE	E	B	7	N	N	1		7,000	7,000	0	0	11/21/2017	O	4/14/2021	
4400001156	CRANE-HOGAN STRUCTURAL SYSTEMS INC 3001 BROCKPORT RD SPENCERPORT, NY 14559 US	LOCK O-7 REHABILITATION	C	B		N	02	6		25,288,446	24,539,715	2,143,728	748,731	7/25/2017	O	6/25/2021	
4400001244	TIME WARNER CABLE INC 20 CENTURY HILL DR LATHAM, NY 12110-2116 US	TIME WARNER ETHERNET	S	B	7	N	N	1		1,038,986	379,885	26,910	659,101	8/18/2017	O	7/30/2023	
4400001284	DELL MARKETING LP C/O DELL USA LP ONE DELL WAY MS RR3-58 ROUND ROCK, TX 78664-7000 US	MICROSOFT LICENSES	E	B	7	F	N	1		561,670	560,339	0	1,331	8/28/2017	C		8/31/2020
4400001863	HANSON AGGREGATES NEW YORK LLC 4800 JAMESVILLE RD PO BOX 513 JAMESVILLE, NY 13078 US	AGGREGATES	E	B	6	N	N	1		30,000	28,328	3,958	1,672	1/1/2018	O	4/14/2021	
4400001875	STONE INDUSTRIES LLC STONE PORTABLE TOILET RENTALS 4305 ROUTE 50 SARATOGA SPRINGS, NY 12866-2914 US	TOILET RENTAL	E	B	5	N	N	1		16,280	15,340	0	940	1/1/2018	C		4/30/2020
4400002049	STONE INDUSTRIES LLC STONE PORTABLE TOILET RENTALS 4305 ROUTE 50 SARATOGA SPRINGS, NY 12866-2914 US	TOILET RENTAL	E	B	5	N	N	1		31,658	31,625	0	33	1/1/2018	C		4/30/2020
4400002104	COUNTY WASTE & RECYCLING SERVICE IN 1927 ROUTE 9 PO BOX 431 CLIFTON PARK, NY 12065 US	RUBBISH REMOVAL	E	B	7	N	N	1		10,000	9,882	0	118	2/22/2018	C		12/31/2020
4400002106	WASTE MANAGEMENT LLC 1661 MOUNT READ BLVD ROCHESTER, NY 14606 US	RUBBISH REMOVAL	E	B	7	N	N	1		25,000	24,070	1,395	930	2/22/2018	C		1/8/2020
4400002371	WASTE MANAGEMENT LLC 1661 MOUNT READ BLVD ROCHESTER, NY 14606 US	RUBBISH REMOVAL	E	B	7	N	N	1		10,000	620	620	9,380	4/19/2018	C		1/8/2020

POWER AUTHORITY OF THE STATE OF NEW YORK
ANNUAL REPORT OF PROCUREMENT CONTRACTS
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CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	FRT	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O \ C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
4400002465	NOCO ENERGY CORP 2440 SHERIDAN DR - STE 202 TONAWANDA, NY 14150-9493 US	FUEL	E	B	7	N	N	1		30,000	21,891	6,164	8,109	5/3/2018	C		8/20/2020
4400002530	ELDERLEE INC 729 CROSS RD OAKS CORNERS, NY 14518 US	NYS TRAILWAY MARKERS AND SIGNS	E	B	7	N	N	3		40,000	16,391	0	23,609	5/17/2018	O	4/26/2021	
4400002570	LAFARGE NORTH AMERICA INC 1717 NEW RD NIAGARA FALLS, NY 14304-1547 US	FINE AND COARSE AGGREGATES	E	B	7	N	N	1		15,000	4,437	1,374	10,563	5/25/2018	O	4/14/2021	
4400002621	BARRE STONE PRODUCTS INC 14120 W LEE RD ALBION, NY 14411 US	FINE AND COARSE AGGREGATES	E	C	5	N	N	1		50,872	19,664	9,535	31,208	6/10/2018	O	4/14/2021	
4400002644	DELL MARKETING LP 850 ASBURY DR BUFFALO GROVE, IL 60089-4557 US	SOFTWARE LICENSE - MICROSOFT	E	B	7	N	N	1		67,244	44,048	0	23,196	7/1/2018	O	6/30/2021	
4400002715	FERRELLGAS LP 5859 STATE RTE 31 VERONA, NY 13478-3713 US	LP GAS	E	B	7	N	N	1		10,000	889	228	9,111	7/1/2018	O	6/30/2022	
4400002868	COLD SPRING CONSTRUCTION CO 43 JACKSON ST - PO BOX 358 AKRON, NY 14001-1349 US	EAST GUARD LOCK REHABILITATION	C	B		N	N	5		6,255,116	6,170,878	13,530	84,238	8/29/2018	C		11/27/2020
4400002889	MAIN BROTHERS OIL CO INC MAIN - CARE ENERGY 1 BOOTH LANE PO BOX 11029 ALBANY, NY 12211 US	FUEL	E	B	7	N	01	1		43,731	41,826	15,950	1,905	8/31/2018	C		8/30/2020
4400002890	MAIN BROTHERS OIL CO INC MAIN - CARE ENERGY 1 BOOTH LANE PO BOX 11029 ALBANY, NY 12211 US	FUEL	E	B	7	N	01	1		10,000	2,639	695	7,361	8/31/2018	C		8/30/2020
4400002891	MAIN BROTHERS OIL CO INC MAIN - CARE ENERGY 1 BOOTH LANE PO BOX 11029 ALBANY, NY 12211 US	FUEL	E	B	7	N	01	1		10,000	8,467	2,917	1,533	8/31/2018	O	9/1/2022	
4400002892	MIRABITO FUEL GROUP 10 CARBON ST ONEONTA, NY 13820 US	FUEL	E	B	7	N	N	1		10,000	753	53	9,247	8/31/2018	O	9/1/2022	
4400002893	MIRABITO FUEL GROUP PO BOX 5306 BINGHAMTON, NY 13902-5306 US	FUEL	E	B	7	N	N	1		10,000	0	0	10,000	8/31/2018	C		8/30/2020
4400002894	MIRABITO FUEL GROUP PO BOX 5306 BINGHAMTON, NY 13902-5306 US	FUEL	E	B	7	N	N	1		10,000	0	0	10,000	8/31/2018	C		8/30/2020
4400002900	MIRABITO FUEL GROUP PO BOX 5306 BINGHAMTON, NY 13902-5306 US	FUEL	E	B	7	N	N	1		10,000	7,364	0	2,636	8/31/2018	O	8/30/2022	
4400002901	MIRABITO FUEL GROUP PO BOX 5306 BINGHAMTON, NY 13902-5306 US	FUEL	E	B	7	N	N	1		10,000	0	0	10,000	8/31/2018	O	8/30/2022	

CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	FRT	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O \ C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
4400002905	MIRABITO FUEL GROUP PO BOX 5306 BINGHAMTON, NY 13902-5306 US	FUEL	E	B	7	N	N	1		10,000	0	0	10,000	8/31/2018	O	8/30/2022	
4400002906	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 1870 WINTON RD S - STE 200 ROCHESTER, NY 14618-3960 US	FUEL	E	B	7	N	N	1		10,000	9,523	1,006	477	8/31/2018	O	8/30/2022	
4400002907	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 1870 WINTON RD S - STE 200 ROCHESTER, NY 14618-3960 US	FUEL	E	B	7	N	N	1		10,000	9,596	0	404	8/31/2018	O	8/30/2022	
4400002908	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 1870 WINTON RD S - STE 200 ROCHESTER, NY 14618-3960 US	FUEL	E	B	7	N	N	1		40,000	11,901	0	28,099	8/31/2018	O	8/30/2022	
4400002909	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 1870 WINTON RD S - STE 200 ROCHESTER, NY 14618-3960 US	FUEL	E	B	7	N	N	1		50,000	43,422	15,656	6,578	8/31/2018	O	8/30/2022	
4400002929	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		20,000	4,957	4,445	15,043	8/31/2018	O	9/1/2022	
4400002930	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		20,000	6,298	0	13,702	8/31/2018	O	9/1/2022	
4400002931	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		20,000	0	0	20,000	8/31/2018	O	9/1/2022	
4400002968	DONJON MARINE CO INC 100 CENTRAL AVE HILLSIDE, NJ 07205-2306 US	REEFING	S	B		N	N	2		3,385,713	3,385,713	89,958	0	8/22/2018	C		5/4/2020
4400002975	MAIN BROTHERS OIL CO INC MAIN - CARE ENERGY 1 BOOTH LANE PO BOX 11029 ALBANY, NY 12211 US	FUEL	E	B	7	N	01	1		45,000	0	0	45,000	8/31/2018	O	9/1/2022	
4400002978	MAIN BROTHERS OIL CO INC MAIN - CARE ENERGY 1 BOOTH LANE PO BOX 11029 ALBANY, NY 12211 US	FUEL	E	B	7	N	01	1		25,000	25,000	1,232	0	8/31/2018	C		8/27/2020
4400002997	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		25,000	0	0	25,000	8/31/2018	C		8/27/2020
4400002998	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		45,000	44,909	2,778	91	8/30/2018	O	8/26/2021	
4400003002	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		145,000	135,402	29,324	9,598	8/30/2018	O	4/20/2021	

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4400003003	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		30,000	30,000	0	0	8/30/2018	C		8/27/2020
4400003004	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		30,000	0	0	30,000	8/30/2018	O	8/26/2021	
4400003005	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		30,000	0	0	30,000	8/30/2018	O	8/26/2021	
4400003006	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 760 BROOKS AVE ROCHESTER, NY 14619 US	FUEL	E	B	7	N	N	1		75,000	74,834	0	166	8/30/2018	C		8/27/2020
4400003007	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		30,000	28,524	423	1,476	8/30/2018	O	8/26/2021	
4400003008	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		50,000	0	0	50,000	8/30/2018	C		8/27/2020
4400003010	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		20,000	0	0	20,000	8/30/2018	C		8/27/2020
4400003012	MIRABITO FUEL GROUP 10 CARBON ST ONEONTA, NY 13820 US	FUEL	E	B	7	N	N	1		25,000	0	0	25,000	8/30/2018	C		8/27/2020
4400003013	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 760 BROOKS AVE ROCHESTER, NY 14619 US	FUEL	E	B	7	N	N	1		25,000	24,141	0	859	8/30/2018	C		8/27/2020
4400003014	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 760 BROOKS AVE ROCHESTER, NY 14619 US	FUEL	E	B	7	N	N	1		20,000	20,000	0	0	8/30/2018	C		8/27/2020
4400003015	KURK FUEL OIL CO DBA FOR GOETZ ENERGY CORP PO BOX A BUFFALO, NY 14217-0305 US	FUEL	E	B	7	N	01	1		15,000	14,572	5,259	428	8/30/2018	O	8/26/2021	
4400003016	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 760 BROOKS AVE ROCHESTER, NY 14619 US	FUEL	E	B	7	N	N	1		20,000	14,062	3,480	5,938	8/30/2018	C		8/27/2020
4400003017	KURK FUEL OIL CO DBA FOR GOETZ ENERGY CORP PO BOX A BUFFALO, NY 14217-0305 US	FUEL	E	B	7	N	01	1		20,000	15,199	3,031	4,801	8/30/2018	O	8/26/2021	

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4400003131	SPRAGUE RESOURCES LP SPRAGUE OPERATING RESOURCES LLC 185 INTERNATIONAL DR PORTSMOUTH, NH 03801-6836 US	FUEL	E	B	7	N	N	1		65,000	63,635	18,266	1,365	8/31/2018	O	8/26/2021	
4400003132	SPRAGUE RESOURCES LP SPRAGUE OPERATING RESOURCES LLC 185 INTERNATIONAL DR PORTSMOUTH, NH 03801-6836 US	FUEL	E	B	7	N	N	1		30,000	27,904	13,706	2,096	8/31/2018	O	8/26/2021	
4400003300	PARKS & TRAILS NEW YORK 33 ELK ST ALBANY, NY 12207-1065 US	SUPPORT - PARKS AND TRAILS	S	2	8	N	N	1		357,145	205,371	118,297	151,774	1/1/2019	O	12/31/2021	
4400003325	DONJON SHIPBUILDING & REPAIR LLC 220 EAST BAYFRONT PKWY ERIE, PA 16507-2402 US	BARGE	E	B		N	N	4		5,064,790	1,755,614	565,775	3,309,176	11/7/2018	O	9/30/2022	
4400003332	SISCO MARINE LLC MARINE INLAND FABRICATIONS 1725 BUCHANAN ST PANAMA CITY, FL 32409-1482 US	PUSH BOATS	E	B		N	N	4		3,541,032	1,601,427	330,400	1,939,605	11/7/2018	O	12/31/2022	
4400003420	MORTON SALT INC 444 W LAKE ST STE 3000 CHICAGO, IL 60606-0090 US	SALT	E	B	7	N	N	1		7,443	7,362	1,452	81	12/3/2018	O	8/31/2021	
4400003477	GLOBAL MONTELLO GROUP CORP 800 SOUTH ST WALTHAM, MA 02454 US	FUEL	E	B	7	N	N	1		105,000	30,868	12,870	74,132	12/19/2018	O	12/18/2021	
4400003478	GLOBAL MONTELLO GROUP CORP 800 SOUTH ST WALTHAM, MA 02454 US	FUEL	E	B	7	N	N	1		80,000	15,934	8,510	64,066	12/19/2018	O	12/18/2021	
4400003479	GLOBAL MONTELLO GROUP CORP 800 SOUTH ST WALTHAM, MA 02454 US	FUEL	E	B	7	N	N	1		70,000	46,719	20,250	23,281	12/19/2018	O	12/18/2021	
4400003480	MIRABITO FUEL GROUP PO BOX 5306 BINGHAMTON, NY 13902-5306 US	FUEL	E	B	7	N	N	1		160,000	31,535	0	128,465	12/19/2018	O	12/18/2021	
4400003502	PECKHAM MATERIALS CORP PECKHAM INDUSTRIES INC (PARENT) UNION ST ATHENS, NY 12015 US	SAND, STONE AND GRAVEL	E	B	7	N	N	1		40,000	9,988	8,176	30,012	1/1/2019	O	4/14/2021	
4400003516	MIRABITO FUEL GROUP PO BOX 5306 BINGHAMTON, NY 13902-5306 US	FUEL	E	B	7	N	N	1		50,000	33,641	13,588	16,359	12/19/2018	O	12/18/2022	
4400003582	NOCO ENERGY CORP 2440 SHERIDAN DR - STE 202 TONAWANDA, NY 14150-9493 US	FUEL	E	B	7	N	N	1		90,000	18,734	7,855	71,266	12/19/2018	O	12/18/2021	

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4400003583	SUNOCO LLC 3801 WEST CHESTER PIKE NEWTOWN SQUARE, PA 19073-2320 US	FUEL	E	B	7	N	N	1		45,000	39,300	34,616	5,700	12/19/2018	O	12/18/2021	
4400003584	SUNOCO LLC 3801 WEST CHESTER PIKE NEWTOWN SQUARE, PA 19073-2320 US	FUEL	E	B	7	N	N	1		190,000	39,287	21,423	150,713	12/19/2018	O	12/21/2021	
4400003585	SUNOCO LLC 3801 WEST CHESTER PIKE NEWTOWN SQUARE, PA 19073-2320 US	FUEL	E	B	7	N	N	1		65,000	11,203	6,230	53,797	12/19/2018	O	12/18/2021	
4400003661	ATLANTIC SALT INC 134 MIDDLE ST STE 210 LOWELL, MA 01852-1883 US	SALT	E	B	5	N	N	1		10,000	7,794	2,277	2,206	1/23/2019	C		8/30/2020
4400003700	JAMES H MALOY INC 421 ALBANY SHAKER RD - PO BOX 11016 LOUDONVILLE, NY 12211-1815 US	TRAILWAY PROJECT	C	B		N	01	5		9,241,400	6,761,739	3,965,584	2,479,661	2/4/2019	O	5/31/2021	
4400003727	NYS DEPARTMENT OF TRANSPORTATION 50 WOLF RD ALBANY, NY 12232-2645 US	BRIDGE REHABILITATIONS	C	B		N	N	3		9,873,467	4,174,301	3,894,187	5,699,166	3/26/2019	O	7/31/2021	
4400003794	B T & T INC 12172 STATE ROUTE 176 CATO, NY 13033-8726 US	SANDBLASTING	S	C	6	N	N	3		5,200	5,200	0	0	3/1/2019	C		1/6/2020
4400003821	SENTEC PROMOTIONS INC SUSIE SPECIALTIES 3960 HARLEM RD - STE 8 AMHERST, NY 14226-4706 US	MARKETING MATERIALS	E	M	5	N	03	1		20,000	19,877	0	123	3/12/2019	C		3/11/2020
4400003865	TWINSTATE TECHNOLOGIES DBA FOR TWINSTATE/VOICE DATA VID IN 291 RAND HILL RD MORRISONVILLE, NY 12962-3216 US	MAINTENANCE - SOPHOS	S	B	7	N	03	3		8,405	8,405	0	0	3/31/2019	C		3/30/2020
4400003867	HAUN WELDING SUPPLY INC 728 BROAD ST UTICA, NY 13501 US	WELDING PARTS AND SUPPLIES	E	2	6	N	N	1		9,400	4,500	910	4,900	3/1/2019	O	11/30/2021	
4400003880	CARAHSOFT TECHNOLOGY CORPORATION SUITE 100 1860 MICHAEL FARADAY DRIV RESTON, VA 20190 US	MAINTENANCE - ACCELA	S	B	7	N	N	1		13,564	13,564	0	0	3/28/2019	C		3/27/2020
4400003960	JAMES H MALOY INC 421 ALBANY SHAKER RD - PO BOX 11016 LOUDONVILLE, NY 12211-1815 US	TRAILWAY PROJECT	C	B		N	01	2		3,542,000	1,592,891	1,306,948	1,949,109	4/25/2019	O	6/30/2021	

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4400003971	UNITED RENTALS (NORTH AMERICA) INC UNITED RENTALS 7178 SCHUYLER RD EAST SYRACUSE, NY 13057-9743 US	TOILET RENTAL	E	B	7	N	N	1		8,000	7,210	0	790	4/19/2019	C		4/18/2020
4400003984	TIOGA CONSTRUCTION CO INC 333 GROS BLVD HERKIMER, NY 13350-1497 US	TRAILWAY PROJECT	C	B		N	N	3		2,071,245	1,872,624	1,363,137	198,621	4/26/2019	O	6/30/2021	
4400004035	ELLICOTT DREDGES LLC ELLICOTT DREDGE ENTERPRISES LLC, EL 1611 BUSH ST BALTIMORE, MD 21230 US	DREDGE PIPE AND COUPLERS	E	1	5	N	N	1	*	7,456	7,557	0	0	5/8/2019	C		5/7/2020
4400004037	MOLEY MAGNETICS INC 5202 COMMERCE DR LOCKPORT, NY 14094 US	ELECTICAL EQUIPMENT	E	1	6	N	N	1		5,260	5,259	0	1	5/9/2019	C		5/8/2020
4400004066	MIDWAY INDUSTRIAL SUPPLY INC PO BOX 303 - 51 WURZ AVE UTICA, NY 13503-0303 US	PAINT	E	C	6	N	N	3		6,902	6,902	0	0	5/21/2019	C		5/20/2020
4400004077	THE CARLYLE JOHNSON MACHINE COMPANY LLC 291 BOSTON TPKE BOLTON, CT 06043-7252 US	MECHANICAL CLUTCH	E	1	9	F	N	1		14,919	14,919	14,919	0	5/23/2019	C		5/22/2020
4400004101	COUNTY WASTE & RECYCLING SERVICE IN 1927 ROUTE 9 PO BOX 431 CLIFTON PARK, NY 12065 US	RUBBISH REMOVAL	S	B	7	N	N	1		10,998	10,631	3,398	367	6/4/2019	C		6/3/2020
4400004131	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 1870 WINTON RD S - STE 200 ROCHESTER, NY 14618-3960 US	FUEL	E	B	7	N	N	1		25,000	22,908	0	2,092	6/14/2019	C		11/27/2020
4400004134	MICROSOFT CORP 3000 BAYPORT DR - STE 480 TAMPA, FL 33607 US	SUPPORT - MICROSOFT	S	B	7	N	N	1		33,935	33,935	0	0	6/28/2019	C		6/27/2020
4400004151	PENN POWER SYSTEMS 8330 STATE RD PHILADELPHIA, PA 19136-2915 US	ENGINE REPAIR	S	2	5	F	N	1		6,038	6,038	0	0	9/5/2019	C		12/8/2020
4400004175	D & D POWER LLC 16 HEMLOCK ST LATHAM, NY 12110-2217 US	POLE INSTALLATION	S	C	9	N	N	3		7,965	7,965	0	0	6/24/2019	C		6/23/2020
4400004182	CUSHING STONE CO INC 725 STATE HIGHWAY 5S AMSTERDAM, NY 12010-7669 US	SAND, STONE AND GRAVEL	E	B	7	N	N	15		25,000	16,157	8,776	8,843	6/28/2019	O	6/27/2021	
4400004196	ALBANY COUNTY SHERIFF'S OFFICE COUNTY COURT HOUSE ALBANY, NY 12207 US	MARINE PATROL	S	C	9	N	N	12		6,000	4,127	4,127	1,873	7/3/2019	C		3/31/2020

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4400004197	COUNTY OF SCHENECTADY 620 STATE ST SCHENECTADY, NY 12305 US	MARINE PATROL	S	C	9	N	N	12		40,000	0	0	40,000	7/3/2019	C		3/31/2020
4400004199	SENECA COUNTY SHERIFF 6150 STATE RTE 96 ROMULUS, NY 14541-9552 US	MARINE PATROL	S	C	9	N	N	12		40,000	21,727	21,727	18,273	7/3/2019	C		3/31/2020
4400004202	STARBOARD CONSULTING LLC 2170 W STATE ROAD 434 - STE 124 LONGWOOD, FL 32779-4976 US	LICENSE - ESA MAXIMO USER	S	M	8	N	03	1		116,399	116,399	0	0	6/25/2019	C		6/24/2020
4400004231	ERIE COUNTY SHERIFF'S OFFICE 10 DELAWARE AVE BUFFALO, NY 14202 US	MARINE PATROL	S	C	9	N	N	11		40,000	0	0	40,000	7/11/2019	C		3/31/2020
4400004232	COUNTY OF MONROE 130 S PLYMOUTH AVE ROCHESTER, NY 14614 US	MARINE PATROL	S	C	9	N	N	11		37,760	34,404	34,404	3,356	7/11/2019	C		3/31/2020
4400004234	NIAGARA COUNTY SHERIFF'S OFFICE 5526 NIAGARA ST EXT LOCKPORT, NY 14095 US	MARINE PATROL	S	C	9	N	N	11		40,000	28,219	28,219	11,781	7/12/2019	C		3/31/2020
4400004236	COUNTY OF ONEIDA 6065 JUDD RD ORISKANY, NY 13424 US	MARINE PATROL	S	C	9	N	N	11		40,000	0	0	40,000	7/12/2019	C		3/31/2020
4400004237	DONJON MARINE CO INC 100 CENTRAL AVE HILLSIDE, NJ 07205-2306 US	REEFING	S	B		N	N	1		2,934,020	2,931,020	131,960	3,000	7/12/2019	O	7/14/2021	
4400004240	ONONDAGA COUNTY SHERIFF'S OFFICE 407 SOUTH STATE ST SYRACUSE, NY 13202 US	MARINE PATROL	S	C	9	N	N	11		40,000	40,000	40,000	0	7/12/2019	C		12/17/2020
4400004241	ORLEANS COUNTY SHERIFF'S OFFICE 13925 STATE ROUTE 31 ALBION, NY 14411 US	MARINE PATROL	S	C	9	N	N	11		32,025	10,837	10,837	21,188	7/12/2019	C		3/31/2020
4400004242	OSWEGO COUNTY SHERIFF'S OFFICE 39 CHURCHILL ROAD OSWEGO, NY 13126 US	MARINE PATROL	S	C	9	N	N	11		40,000	0	0	40,000	7/12/2019	C		3/31/2020
4400004248	CARVER CONSTRUCTION INC 494 WESTERN TPKE STE 1 ALTAMONT, NY 12009-2095 US	TRAILWAY PROJECT	C	B		N	N	5		4,719,450	2,862,803	2,539,808	1,856,647	8/12/2019	O	6/30/2021	
4400004255	WASTE MANAGEMENT LLC 1661 MOUNT READ BLVD ROCHESTER, NY 14606 US	RUBBISH REMOVAL	S	B	7	N	N	1		10,000	3,672	2,386	6,328	7/19/2019	C		7/18/2020
4400004269	QUALITY CONTROLS 15 INDUSTRIAL PARK WALDWICK, NJ 07463 US	VALVES	E	C	8	F	N	5		151,770	151,770	151,770	0	7/26/2019	C		1/13/2020
4400004275	JASPER ENGINE EXCHANGE INC 815 WERNSING ROAD JASPER, IN 47546 US	FUEL	E	C	6	F	N	3		5,509	5,509	350	0	7/29/2019	C		12/17/2020

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4400004279	WASTE MANAGEMENT LLC 1661 MOUNT READ BLVD ROCHESTER, NY 14606 US	RUBBISH REMOVAL	S	B	7	N	N	1		10,000	4,794	3,440	5,206	7/30/2019	C		7/29/2020
4400004291	BARRE STONE PRODUCTS INC 14120 W LEE RD ALBION, NY 14411 US	STONE	E	B	7	N	N	1		44,900	39,045	45	5,855	8/5/2019	O	8/4/2021	
4400004311	AUTOMOTIVE RENTALS INC 40001 LEADENHALL RD MOUNT LAUREL, NJ 08054-4611 US	FLEET MAINTENANCE	S	B	7	F	N	1		500,000	499,617	347,403	383	8/14/2019	C		8/13/2020
4400004314	LUPINI CONSTRUCTION INC 6081 TRENTON RD UTICA, NY 13502-6227 US	EMERGENCY REPAIR	C	M	5	N	03	1		12,000	9,300	0	2,700	8/15/2019	C		8/14/2020
4400004318	RAVI ENGINEERING & LAND SURVEYING PC 2110 S CLINTON AVE STE 1 ROCHESTER, NY 14618 US	SURVEY AND MAPPING SERVICES	P	C	8	N	04	6		14,686	13,741	13,741	945	8/16/2019	C		8/15/2020
4400004333	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	SOFTWARE LICENSE IMPLEMENTATION AND MAINTENANCE	I	B		F	N	2		69,024	69,024	0	0	8/1/2019	C		7/31/2020
4400004343	CCI COMPANIES PO BOX 186 CANASTOTA, NY 13032-0186 US	TRAILWAY PROJECT	C	B		N	N	2		9,321,831	4,601,994	4,601,994	4,719,837	8/30/2019	O	11/30/2021	
4400004345	NAYLOR PIPE COMPANY 1230 E 92ND ST CHICAGO, IL 60619-7997 US	COUPLINGS	E	C	6	N	N	3		13,459	13,459	679	0	8/27/2019	C		8/26/2020
4400004350	THE WESSON GROUP LLC 55 EAST MAIN STREET SUITE 210 JOHNSTOWN, NY 12095-2641 US	DAM REHABILITATION	C	B		N	N	3		8,043,862	7,963,835	5,813,370	80,027	8/29/2019	O	3/31/2021	
4400004355	LAKE CHAMPLAIN MARITIME MUSEUM 4472 BASIN HARBOR RD VERGENNES, VT 05491 US	CONSULTATION SERVICES	P	1	8	N	N	1		115,000	101,426	101,426	13,574	9/1/2019	O	12/31/2021	
4400004356	NEW HAMPSHIRE HYDRAULICS INC 3 COLUMBIA CIRCLE MERRIMACK, NH 03054 US	GATE CYLINDER REPAIR	S	C	6	F	N	3		6,100	6,100	0	0	8/29/2019	C		8/28/2020
4400004360	ELLICOTT DREDGES LLC ELLICOTT DREDGE ENTERPRISES LLC, EL 1425 WICOMICO ST BALTIMORE, MD 21230 US	DREDGE PARTS	E	2	9	F	N	1		31,223	29,223	0	2,000	9/3/2019	C		9/2/2020
4400004363	CLEMENTE LATHAM CONCRETE PO BOX 15097 ALBANY, NY 12212 US	CONCRETE AND FIBER	E	C	6	N	N	3		6,616	4,565	3,285	2,051	9/4/2019	C		12/20/2020
4400004389	BARRETT PAVING MATERIALS INC 4530 WETZEL RD LIVERPOOL, NY 13090-2517 US	STONE	E	B	7	N	N	1		25,000	2,520	0	22,480	9/12/2019	O	9/11/2021	

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4400004434	CANADIAN PACIFIC RAILWAY DBA FOR DELAWARE & HUDSON RAILWAY C 120 S 6TH ST MINNEAPOLIS, MN 55402-1803 US	FLAGGING SERVICES	S	1	8	F	N	1		62,392	50,649	50,649	11,743	9/30/2019	C		12/31/2020
4400004435	LYRIS INC 401 CONGRESS AVE - STE 2650 AUSTIN, TX 78701-3708 US	MAINTENANCE - LYRIS SOFTWARE	S	1	8	F	N	1		150,690	100,460	50,230	50,230	10/1/2019	O	9/30/2022	
4400004437	COMPULINK TECHNOLOGIES INC 260 W 39TH ST - STE 302 NEW YORK, NY 10018-4434 US	WORKSTATION	H	B	7	F	04	3		12,644	12,644	12,644	0	10/1/2019	C		1/7/2020
4400004438	VERSATILE LLC 527 STATE ROUTE 31 PORT BYRON, NY 13140-9775 US	FIELD OFFICE RENTAL	E	2	5	N	N	1		6,474	6,038	6,038	436	10/1/2019	C		9/30/2020
4400004442	STEEL SALES INC PO BOX 539 8085 STATE HIGHWAY 12 SHERBURNE, NY 13460 US	STEEL	E	C	5	N	03	3		6,760	6,760	0	0	10/2/2019	C		5/28/2020
4400004446	FIRE SAFETY SYSTEMS INC 525 AERO DR STE 2 BUFFALO, NY 14225-1443 US	PUBLIC ANNOUNCEMENT SYSTEM	E	M	8	F	02	1		53,787	19,947	19,947	33,840	10/3/2019	O	6/30/2021	
4400004452	ARDEM INC 124 HILLSBOROUGH RD HILLSBOROUGH, NJ 08844-2707 US	DOCUMENT SCANNING DIGITAL SERVICES	S	B		F	04	4		69,080	61,490	61,490	7,590	10/7/2019	C		12/31/2020
4400004459	UNDERWATER CONSULTANTS INTERNATIONA 6428 BARTZ RD LOCKPORT, NY 14094-9507 US	EMERGENCY DIVING ASSISTANCE	S	2	5	N	N	1		12,240	12,240	0	0	10/9/2019	C		10/8/2020
4400004463	WASTE MANAGEMENT LLC 2003 BLEEKER ST UTICA, NY 13501 US	RUBBISH REMOVAL	S	B	7	N	N	1		18,000	11,729	10,161	6,271	10/9/2019	C		10/8/2020
4400004465	DRONEDEPLOY INC DBA INFATICS 1045 BRYANT ST STE 300 SAN FRANCISCO, CA 94103-4459 US	DRONEDEPLOY ENTERPRISE GOLD SUBSCRIPTION	I	2	5	F	N	1		44,500	12,500	0	32,000	10/7/2019	O	10/6/2021	
4400004474	HANES SUPPLY INC 55 JAMES E CASEY DR BUFFALO, NY 14206-2361 US	CRANE BASKET	E	C	6	N	N	3		7,150	7,150	7,150	0	10/11/2019	C		5/29/2020
4400004482	HANSON AGGREGATES NEW YORK LLC 4800 JAMESVILLE RD PO BOX 513 JAMESVILLE, NY 13078 US	AGGREGATES	E	B	7	N	N	1		75,000	26,979	26,979	48,021	10/15/2019	O	8/31/2022	
4400004498	CARDIAC LIFE PRODUCTS INC PO BOX 25755 ROCHESTER, NY 14625-0755 US	AED SERVICE AND INSPECTION	S	B	7	N	03	2		11,849	11,849	0	0	10/21/2019	C		5/28/2020
4400004504	ENTERPRISE HOLDINGS INC DBA ENTPERPRISE RENT A TRUCK 1320 BROOKS AVE ROCHESTER, NY 14624-3116 US	CAR RENTAL	E	B	7	N	N	1		200,000	123,418	123,418	76,582	10/23/2019	O	9/15/2021	

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4400004509	ROCHESTER INDUSTRIAL SUPPLY CO INC 65 SAGINAW DR ROCHESTER, NY 14623-3131 US	PAINTING	E	C	6	N	N	3		7,610	7,099	7,099	511	10/27/2019	C		5/29/2020
4400004533	CARAHSOFT TECHNOLOGY CORP 11493 SUNSET HILLS RD STE 100 RESTON, VA 20190-5328 US	MAINTENANCE - ACCELA	S	B	7	N	N	1		34,130	34,130	0	0	11/8/2019	C		11/7/2020
4400004543	XYLEM DEWATERING SOLUTIONS INC 84 FLOODGATE RD BRIDGEPORT, NJ 08014-1001 US	HOSES	E	B	5	N	N	3		8,289	0	0	8,289	11/6/2019	C		11/5/2020
4400004562	TOTAL ADMINISTRATIVE SERVICES CORP TASC 2302 INTERNATIONAL LANE MADISON, WI 53704-3136 US	COBRA ADMINISTRATION SERVICES	P	B	8	F	N	5		5,000	0	0	5,000	1/1/2020	O	12/31/2024	
4400004565	COLONY HARDWARE CORP COOK IRON STORE PO BOX 21216 NEW YORK, NY 10087-1216 US	LIFT SYSTEM	E	C	5	N	N	3		8,703	8,703	8,703	0	11/14/2019	C		11/13/2020
4400004574	SEAWAY DIVING & SALVAGE CO INC 10 GUIDEBOARD RD WATERFORD, NY 12188-1913 US	DIVING SERVICES	S	B	5	N	N	2		7,090	6,960	0	130	11/15/2019	C		5/28/2020
4400004576	SEAWAY DIVING & SALVAGE CO INC 10 GUIDEBOARD RD WATERFORD, NY 12188-1913 US	DIVING SERVICES	S	B	5	N	N	2		8,152	7,080	0	1,072	11/15/2019	C		5/28/2020
4400004588	O'CONNELL ELECTRIC CO 830 PHILLIPS RD VICTOR, NY 14564-9417 US	REWIRING, DRAINAGE IMPROVEMENTS	C	B		N	N	1		2,692,599	2,627,193	2,627,193	65,406	11/20/2019	O	6/30/2021	
4400004589	GODWIN PUMPS OF AMERICA 8039 OAK ORCHARD RD BATAVIA, NY 14020 US	PUMP RENTAL	E	C	6	N	N	3		8,390	8,024	8,024	366	11/20/2019	C		12/20/2020
4400004590	SEAWAY DIVING & SALVAGE CO INC 10 GUIDEBOARD RD WATERFORD, NY 12188-1913 US	DIVING SERVICES	S	B	5	N	N	3		21,215	21,215	17,600	0	11/20/2019	C		11/19/2020
4400004592	WILLIAMS SCOTSMAN INC 145 CANADA DR EAST SYRACUSE, NY 13057-9744 US	TRAILERS	E	B	8	N	N	1		241,352	131,335	131,335	110,017	11/21/2019	O	12/31/2021	
4400004598	RACO INTERNATIONAL LP 3350 INDUSTRIAL BLVD BETHEL PARK, PA 15102-2544 US	EQUIPMENT	E	2	8	F	N	1		40,803	40,775	40,775	28	11/21/2019	C		1/20/2020
4400004614	84 LUMBER 1505 SCOTTSVILLE RD ROCHESTER, NY 14623-1934 US	QUOIN/MITER TIMBERS	E	B	5	N	N	3		12,390	12,390	12,390	0	11/29/2019	C		5/28/2020

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4400004625	ENVIRONMENTAL SYSTEMS RESEARCH INSTITUTE INC 380 NEW YORK ST REDLANDS, CA 92373-8100 US	SOFTWARE MAINTENANCE RENEWAL	S	B	7	F	N	1		15,545	15,545	0	0	11/18/2019	C		11/17/2020
4400004628	PITTSBURGH FOUNDRY & MACHINE CO 20 36TH ST PITTSBURGH, PA 15201 US	STEEL CASTINGS	E	B		F	N	1		413,347	410,707	410,707	2,640	12/6/2019	O	8/31/2021	
4400004652	BENTLEY SYSTEMS INC 685 STOCKTON DR EXTON, PA 19341-1151 US	MAINTENANCE - BENTLEY	S	B	7	N	N	1		38,650	38,650	38,650	0	1/1/2020	C		12/31/2020
4400004655	R M LILL INC 1263 RTE 9 CASTLETON, NY 12033 US	SANDBLASTING	S	C	9	N	N	3		23,920	14,950	14,950	8,970	12/17/2019	C		12/16/2020
4400004663	J LAFLUER LOGGING & FORESTRY PRO 9192 PUMP RD JORDAN, NY 13080-9406 US	LUMBER	E	B	5	N	N	3		15,203	15,203	15,203	0	12/19/2019	C		5/29/2020
4400004666	TRACEY ROAD EQUIP INC 6803 MANLIUS CENTER RD EAST SYRACUSE, NY 13057 US	EXCAVATOR WITH MULCHER RENTAL	E	B	7	N	N	1		33,875	33,875	33,875	0	12/20/2019	C		10/26/2020
4400004669	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	CISCO EQUIPMENT	H	B	7	F	04	2		5,378	5,378	5,378	0	12/22/2019	C		3/5/2020
4400004678	NORTHERN EQUIPMENT SALES CO DBA NESCO 582 QUEENSBURY AVE QUEENSBURY, NY 12804-7612 US	CRANE BASKET AND ACCESSORIES	E	B	5	N	N	3		7,656	7,076	7,076	580	1/6/2020	C		5/28/2020
4400004681	CARAHSOFT TECHNOLOGY CORPORATION SUITE 100 1860 MICHAEL FARADAY DRIV RESTON, VA 20190 US	MAINTENANCE - SAP	S	B	7	F	N	1		36,447	36,447	36,447	0	1/1/2020	C		12/31/2020
4400004694	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	8		7,000	2,991	2,991	4,009	1/2/2020	O	12/31/2021	
4400004696	HERMAN MILLER INC C/O ACCENT COMM FURNITURE INC 855 E MAIN AVE ZEELAND, MI 49464-1372 US	OFFICE FURNITURE	E	B	7	N	N	1		16,048	16,015	16,015	33	1/3/2020	O	11/30/2023	
4400004699	TROY BOILER WORKS INC 2800 7TH AVE TROY, NY 12180-1587 US	BOILER REPAIR AND SERVICE	M	2	5	N	01	1		45,000	9,278	9,278	35,722	1/5/2020	O	1/4/2021	
4400004702	ABELE TRACTOR & EQUIPMENT CO INC 72 EVERETT RD ALBANY, NY 12205 US	DOZER RENTAL	E	B	7	N	N	1		54,600	35,699	35,699	18,901	1/6/2020	C		10/29/2020

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4400004717	MAIN CARE ENERGY PO BOX 314 CANAJOHARIE, NY 13317-0314 US	FUEL	E	B	7	N	01	3		40,000	13,461	13,461	26,539	1/13/2020	O	8/27/2021	
4400004721	JAMES H MALOY INC 421 ALBANY SHAKER RD - PO BOX 11016 LOUDONVILLE, NY 12211-1815 US	CULVERT REPAIR	C	B		N	01	3		1,279,731	854,220	854,220	425,511	1/24/2020	O	8/31/2021	
4400004728	CARAHSOFT TECHNOLOGY CORPORATION SUITE 100 1860 MICHAEL FARADAY DRIV RESTON, VA 20190 US	SUBSCRIPTION - ACCELA	S	B	6	N	N	1		14,513	14,513	14,513	0	3/28/2020	O	3/27/2021	
4400004734	HERC RENTALS 3 AVIS DR LATHAM, NY 12110-2601 US	RENTAL OF HEATER AND DUCTING	E	B	7	N	N	2		8,895	6,712	6,712	2,183	1/22/2020	C		5/28/2020
4400004737	ALBANY STEEL INC 566 BROADWAY - PO BOX 4006 ALBANY, NY 12204 US	STEEL	E	B	5	N	N	3		5,493	5,493	5,493	0	1/22/2020	C		5/28/2020
4400004746	ELLICOTT DREDGES LLC ELLICOTT DREDGE ENTERPRISES LLC, EL 1611 BUSH ST BALTIMORE, MD 21230 US	HYDRAULIC DREDGE REPLACEMENT PARTS	E	1	5	F	N	1		31,223	29,223	29,223	2,000	1/24/2020	O	3/1/2021	
4400004758	NORTHEAST CRANE SALES & SERVICE LLC 500 OHIO ST LOCKPORT, NY 14094-4222 US	CRANE REPAIR - PARTS AND LABOR	E	B	6	N	N	3	*	7,440	7,531	7,531	0	1/27/2020	C		12/16/2020
4400004761	DELL MARKETING LP 850 ASBURY DR BUFFALO GROVE, IL 60089-4557 US	MICROSOFT POWER APPLICATIONS SOFTWARE	I	B	7	F	N	1		6,854	5,194	5,194	1,660	1/29/2020	C		8/31/2020
4400004767	UNITED AUTO SUPPLY OF SYRACUSE WEST INC 1200 STATE FAIR BLVD SYRACUSE, NY 13204-1070 US	AUTO PARTS	E	B	7	N	N	3		30,000	2,947	2,947	27,053	1/29/2020	O	1/28/2021	
4400004769	MIRABITO FUEL GROUP PO BOX 5306 BINGHAMTON, NY 13902-5306 US	FUEL	E	B	7	N	N	1		16,500	5,054	5,054	11,446	1/30/2020	O	8/30/2021	
4400004775	ELLICOTT DREDGES LLC ELLICOTT DREDGE ENTERPRISES LLC, EL 1611 BUSH ST BALTIMORE, MD 21230 US	REPLACEMENT TANKS	E	2	8	F	N	1		202,270	202,270	202,270	0	2/3/2020	C		12/8/2020
4400004781	GODWIN PUMPS OF AMERICA 8039 OAK ORCHARD RD BATAVIA, NY 14020 US	PUMP RENTAL	E	C	6	N	N	4		19,889	19,889	19,889	0	2/4/2020	C		12/8/2020

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4400004789	REULAND ELECTRIC CO 17969 RAILROAD ST CITY OF INDUSTRY, CA 91748-1113 US	BRAKE MOTOR	E	B	5	N	N	3		8,260	7,760	7,760	500	2/7/2020	O	2/6/2021	
4400004795	INDUSTRIAL HANDLING SERVICES INC PO BOX 2922 GLENVILLE, NY 12325-0922 US	OVERHEAD CRANE GROUNDING BAR	E	B	5	N	01	3		7,825	7,825	7,825	0	2/10/2020	O	2/9/2021	
4400004810	ROBERT H FINKE & SONS INC PO BOX 127 SELKIRK, NY 12158-0127 US	DUMP TRUCK RENTAL	E	B	7	N	N	5		6,783	6,226	6,226	557	2/14/2020	O	2/13/2021	
4400004814	SOWLE AUTOBODY INC 3956 STATE HIGHWAY 30A FULTONVILLE, NY 12072-2104 US	SANDBLASTING	E	B	5	N	N	3		9,000	9,000	9,000	0	2/14/2020	C		5/28/2020
4400004817	WHITES BORE REPAIR AND WELDING SERVICE LLC 107 BRUMLEY RD FULTONVILLE, NY 12072-3342 US	LINE BORING	C	B	6	N	N	3		7,400	7,400	7,400	0	2/17/2020	C		6/16/2020
4400004823	DURAMAX MARINE LLC 17990 GREAT LAKES PKWY HIRAM, OH 44234-9681 US	EXTRUSION GASKET	E	2	5	F	N	1	*	5,009	5,158	5,158	0	2/18/2020	C		5/28/2020
4400004824	WAYSIDE NURSERY INC 8962 PORTER RD NIAGARA FALLS, NY 14304-5700 US	LANDSCAPING	C	B		N	N	1		1,049,098	99,953	99,953	949,145	2/18/2020	O	8/17/2021	
4400004829	MOTION INDUSTRIES INC PO BOX 414444 BOSTON, MA 02241-4444 US	SHAFT BEARING FOR TUG	E	B	6	N	N	3		5,949	5,838	5,838	111	2/19/2020	C		12/20/2020
4400004832	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 760 BROOKS AVE ROCHESTER, NY 14619 US	FUEL	E	B	7	N	N	1		100,000	47,598	47,598	52,402	2/20/2020	O	12/31/2021	
4400004840	NEW HAMPSHIRE HYDRAULICS INC 3 COLUMBIA CIRCLE MERRIMACK, NH 03054 US	REPAIR OF GATE CYLINDER AND ACCUMULATORS	S	B	6	N	N	3		12,200	12,200	12,200	0	2/25/2020	C		12/8/2020
4400004845	TRACEY ROAD EQUIP INC 6803 MANLIUS CENTER RD EAST SYRACUSE, NY 13057 US	MOWER	E	B	7	N	N	1		86,110	86,110	86,110	0	2/25/2020	O	2/24/2021	
4400004856	YSI INC 1725 BRANNUM LANE YELLOW SPRINGS, OH 45387 US	WATER GAGES	E	2	5	F	N	1		28,894	28,894	28,894	0	3/2/2020	O	3/1/2021	
4400004857	MAIN MOTORCAR HOWELL & PIERSON INC 224 W MAIN ST JOHNSTOWN, NY 12095 US	2 RAM 1500 TRADESMAN QUAD CABS	E	B	7	N	N	4		54,294	54,294	54,294	0	3/2/2020	O	3/1/2021	

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4400004867	UPSTATE VALVE AND CONTROL INC DBA FOR CHRISTOPHER P L WARNETT 46 VALEWOOD RUN PENFIELD, NY 14526-2807 US	ACTUATOR	E	C	6	N	N	3		5,985	5,985	5,985	0	3/4/2020	O	3/3/2021	
4400004868	JCRANE EQUIPMENT 10315 W US 36 COVINGTON, OH 45318 US	SELF DUMPING BIN	E	B	5	N	N	3		7,200	7,200	7,200	0	3/4/2020	C		5/28/2020
4400004873	EDDY PUMP CORP 15405 OLDE HWY 80 EL CAJON, CA 92021-2409 US	DREDGE PUMP AND ACCESSORIES	E	B		N	N	1		268,238	181,263	181,263	86,975	3/5/2020	O	3/4/2021	
4400004876	DELL MARKETING LP C/O DELL USA LP ONE DELL WAY MS RR3-58 ROUND ROCK, TX 78664-7000 US	MONITORS	H	B	7	F	N	5		9,281	9,281	9,281	0	3/5/2020	C		4/12/2020
4400004888	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		45,000	26,665	26,665	18,335	3/9/2020	O	8/27/2021	
4400004889	WILLIAM SCOTSMAN INC STE 600 901 S BOND STE BALTIMORE, MD 21231-3348 US	OFFICE TRAILER RENTAL	E	B	6	N	N	1		12,944	0	0	12,944	3/9/2020	O	8/27/2022	
4400004900	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	LAPTOPS, MONITORS, ACCESSORIES	H	B	7	F	04	1		45,825	45,825	45,825	0	3/12/2020	C		4/27/2020
4400004904	AMERICAN RESTORATION & MAINT DBA PERFORMANCE INDUSTRIAL 51 HARRISON AVE SOUTH GLENS FALLS, NY 12803-5273 US	SANDBLASTING AND PAINTING	S	B	5	N	N	3		11,600	11,600	11,600	0	3/13/2020	C		5/28/2020
4400004906	MAIN MOTORCAR HOWELL & PIERSON INC 224 W MAIN ST JOHNSTOWN, NY 12095 US	RAM PROMASTER CARGO VAN	E	B	7	N	N	2		34,031	0	0	34,031	3/13/2020	O	3/12/2021	
4400004910	NORTHERN EQUIPMENT SALES CO NESCO 582 QUEENSBURY AVE QUEENSBURY, NY 12804-7612 US	CRANE RESCUE BASKET WITH ACCESSORIES	E	B	5	N	N	3		7,906	0	0	7,906	3/17/2020	O	3/16/2021	
4400004911	ID BOOTH INC BOOTH ELECTRIC SUPPLY PO BOX 579 ELMIRA, NY 14902-0549 US	ELECTRICAL SUPPLIES	E	C	6	N	N	3		8,106	8,106	8,106	0	3/18/2020	C		12/8/2020
4400004915	NEW HAMPSHIRE HYDRAULICS INC 3 COLUMBIA CIRCLE MERRIMACK, NH 03054 US	HYDRAULIC CYLINDER REHABILITATION	E	B	5	N	N	3		40,000	34,550	34,550	5,450	3/18/2020	O	3/17/2021	
4400004919	STAPLES CONTRACT & COMMERCIAL INC STAPLES BUSINESS ADVANTAGE 21A RAILROAD AVE ALBANY, NY 12205 US	OFFICE SUPPLIES	E	B	7	N	N	1		10,000	0	0	10,000	3/19/2020	O	3/31/2022	

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4400004921	LDJ MANUFACTURING INC DBA THUNDERCREEK EQUIPMENT 1833 HIGHWAY 163 PELLA, IA 50219-7530 US	FUEL TRAILER	E	B	5	F	N	3		36,943	36,943	36,943	0	3/19/2020	C		5/29/2020
4400004930	WILLIAMS SCOTSMAN INC 145 CANADA DR EAST SYRACUSE, NY 13057-9744 US	HOUSE TRAILERS	E	B	1	N	N	1		141,000	51,158	51,158	89,842	3/23/2020	C		5/22/2020
4400004932	UNITED RENTALS (NORTH AMERICA) INC UNITED RENTALS 7178 SCHUYLER RD EAST SYRACUSE, NY 13057-9743 US	SHOWER TRAILER	E	C	5	N	N	3		42,425	20,400	20,400	22,025	3/24/2020	C		5/29/2020
4400004937	SOUTHWORTH-MILTON INC 500 COMMERCE DR CLIFTON PARK, NY 12065 US	CAT 926M WHEEL LOADER	E	B	7	N	N	2		156,181	0	0	156,181	3/25/2020	O	3/24/2021	
4400004938	SM PYNN & SONS INC 31 SIMONDS ST LOCKPORT, NY 14094-4110 US	EMERGENCY WATER LEAK REPAIR	S	2	5	N	N	1		6,100	6,100	6,100	0	3/26/2020	O	3/25/2021	
4400004939	GOMEZ AND SULLIVAN ENGINEERS DPC 288 GENESEE ST UTICA, NY 13502 US	GIS HOSTING SERVICES AND SUPPORT	P	2	8	N	N	1		383,896	0	0	383,896	1/1/2020	O	12/31/2021	
4400004940	COPENHAGEN CARVERS LLC DBA BURRVILLE POWER EQUIPMENT 25371 NYS ROUTE 12S WATERTOWN, NY 13601 US	ALTOZ TRX MOWERS	E	B	5	N	N	3		36,458	36,458	36,458	0	3/30/2020	C		5/29/2020
4400004947	LAYER 3 TECHNOLOGIES INC 1645 LYELL AVE STE 200 ROCHESTER, NY 14606-2331 US	MAINTENANCE - SOPHOS	S	B	7	N	03	3		11,955	11,955	11,955	0	3/31/2020	O	3/30/2021	
4400004959	HAUN WELDING SUPPLY INC 728 BROAD ST UTICA, NY 13501 US	WELDING GASES	E	1	5	N	N	1		9,000	4,177	4,177	4,823	4/29/2020	O	10/20/2021	
4400004967	TRACEY ROAD EQUIP INC 6803 MANLIUS CENTER RD EAST SYRACUSE, NY 13057 US	WESTERN STAR DUMP TRUCKS	E	B	7	N	N	5		418,458	0	0	418,458	5/11/2020	O	5/10/2021	
4400004968	EARTHCAM INC 650 E CRESCENT AVE STE 100 UPPER SADDLE RIVER, NJ 07458-1843 US	EARTHCAM	S	B	7	N	N	1		49,015	49,015	49,015	0	5/10/2020	O	5/9/2021	
4400004969	STARBOARD CONSULTING LLC 2170 W STATE ROAD 434 - STE 124 LONGWOOD, FL 32779-4976 US	MAINTENANCE - IBM MAXIMO	S	M	8	N	03	1		140,172	140,172	140,172	0	6/25/2020	O	6/24/2021	
4400004987	OPTIV SECURITY INC 1144 15TH ST STE 2900 DENVER, CO 80202-2571 US	MAINTENANCE - PROOFPOINT	S	B	7	N	N	1		102,485	102,485	102,485	0	6/24/2020	O	6/23/2021	

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4400004992	CLARK EQUIPMENT CO DBA BOBCAT CO/ DOOSAN PP/ DOOSAN NA 250 EAST BEATON DR - PO BOX 6000 WEST FARGO, ND 58078-2656 US	COMPACT EXCAVATOR	E	B	7	F	N	1		84,743	84,743	84,743	0	6/5/2020	C		9/30/2020
4400004993	KAMAN FLUID POWER LJ KFP BLOCKER INC RUBY FLUID POWER 1 VISION WAY BLOOMFIELD, CT 06002-5321 US	HYDRAULIC FLUID TOTE	E	B	5	N	N	3		6,736	5,332	5,332	1,404	6/8/2020	O	6/7/2021	
4400004997	HENNINGSON DURHAM&RICHARDSON ARCHITECTURE AND ENGINEERING PC 711 WESTCHESTER AVE - STE 103 WHITE PLAINS, NY 10604-3532 US	EXTERNAL	P	C		N	N	6		66,630	0	0	66,630	8/26/2020	O	8/25/2021	
4400005004	ENVIRONMENTAL SERVICE SYSTEMS LLC 2 INTERSTATE AVE ALBANY, NY 12205-5335 US	DISINFECT TOUCH PARTS	S	C	6	N	N	1		13,000	7,400	7,400	5,600	6/11/2020	O	4/30/2021	
4400005006	MICROSOFT CORP 3000 BAYPORT DR - STE 480 TAMPA, FL 33607 US	MAINTENANCE - MICROSOFT	S	B	7	N	N	1		35,905	35,905	35,905	0	6/28/2020	O	6/27/2021	
4400005013	PITNEY BOWES INC 120 BLOOMINGDALE RD WHITE PLAINS, NY 10605-1500 US	MAIL ROOM EQUIPMENT LEASE	E	B	7	N	N	1		63,095	6,310	6,310	56,785	6/15/2020	O	8/31/2024	
4400005016	LEAD DATA TECHNOLOGIES INC PO BOX 295 NANUET, NY 10954-0295 US	MAINTENANCE - CHECKPOINT SECURITY	S	B	7	N	N	1		61,731	61,731	61,731	0	6/29/2020	O	6/28/2021	
4400005026	DLT SOLUTIONS LLC 2411 DULLES CORNER PARK - STE 800 HERNDON, VA 20171-6168 US	MAINTENANCE - QUEST	S	B	5	F	N	1		8,066	0	0	8,066	6/15/2020	O	6/14/2021	
4400005039	EARTHCAM INC 650 E CRESCENT AVE STE 100 UPPER SADDLE RIVER, NJ 07458-1843 US	EARTHCAM	S	B	7	N	N	1		49,015	49,015	49,015	0	5/23/2020	O	5/22/2021	
4400005042	EMPIRE HYDRAULICS & MACHINE LLC PO BOX 124 ADAMS CENTER, NY 13606 US	REPAIR OF GATE CYLINDER	E	C	6	N	N	3		14,276	14,276	14,276	0	6/24/2020	C		12/9/2020
4400005051	CARVER CONSTRUCTION INC 494 WESTERN TPKE STE 1 ALTAMONT, NY 12009-2095 US	EROSION AND SEDIMENT CONTROL DEVICES, EXCAVATION, CONSTRUCTION, DRAINAGE	C	C		N	N	2		6,304,150	2,385,886	2,385,886	3,918,264	7/2/2020	O	7/1/2021	
4400005090	DELL MARKETING LP 850 ASBURY DR BUFFALO GROVE, IL 60089-4557 US	SOFTWARE UPGRADE - MICROSOFT	I	B	7	F	N	1		15,210	7,599	7,599	7,611	7/1/2020	C		12/31/2020

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4400005100	YSI INC 1725 BRANNUM LANE YELLOW SPRINGS, OH 45387 US	FUEL	E	B	8	N	N	3		99,998	99,998	99,998	0	7/14/2020	O	7/13/2021	
4400005104	MOLEY MAGNETICS INC 5202 COMMERCE DR LOCKPORT, NY 14094 US	REPAIR DC MOTOR	E	C	6	N	N	3	*	7,924	7,945	7,945	0	7/15/2020	C		7/16/2020
4400005106	MIDWAY INDUSTRIAL SUPPLY INC PO BOX 303 - 51 WURZ AVE UTICA, NY 13503-0303 US	PAINT	E	C	5	N	N	1		7,508	6,828	6,828	680	7/16/2020	O	7/15/2021	
4400005108	EARTHCAM INC 650 E CRESCENT AVE STE 100 UPPER SADDLE RIVER, NJ 07458-1843 US	EARTHCAM	S	B	7	N	N	1		39,212	39,212	39,212	0	6/7/2020	O	6/6/2021	
4400005115	ALBANY COUNTY SHERIFF'S OFFICE COUNTY COURT HOUSE ALBANY, NY 12207 US	MARINE PATROL	S	C	9	N	N	8		6,000	0	0	6,000	4/1/2020	O	3/31/2021	
4400005116	ERIE COUNTY SHERIFF'S OFFICE 10 DELAWARE AVE BUFFALO, NY 14202 US	MARINE PATROL	S	C	9	N	N	8		40,000	0	0	40,000	4/1/2020	O	3/31/2021	
4400005117	COUNTY OF MONROE 130 S PLYMOUTH AVE ROCHESTER, NY 14614 US	MARINE PATROL	S	C	9	N	N	8		38,400	0	0	38,400	4/1/2020	O	3/31/2021	
4400005118	NIAGARA COUNTY SHERIFF'S OFFICE 5526 NIAGARA ST EXT LOCKPORT, NY 14095 US	MARINE PATROL	S	C	9	N	N	8		40,000	0	0	40,000	4/1/2020	O	3/31/2021	
4400005121	J & J EQUIPMENT LLC 8913 TEREX DR BREWERTON, NY 13029-8450 US	RC SLOPE MOWER	E	B	7	N	N	1		50,900	50,900	50,900	0	7/20/2020	O	7/21/2021	
4400005131	ROBINSON AERIAL SURVEYS INC 1 EDGEVIEW DR HACKETTSTOWN, NJ 07840-4003 US	EMBANKMENT MAPPING AND GIS SERVICES	P	B		N	N	8		200,000	23,100	23,100	176,900	7/23/2020	O	7/22/2021	
4400005140	PULVER ROOFING INC 1418 ERIE STREET UTICA, NY 13502 US	ROOF REPLACEMENT	M	M	8	N	03	1		130,000	130,000	130,000	0	7/29/2020	C		12/9/2020
4400005141	ONONDAGA COUNTY SHERIFF'S OFFICE 407 SOUTH STATE ST SYRACUSE, NY 13202 US	MARINE PATROL	S	C	5	N	N	10		40,000	0	0	40,000	7/29/2020	O	3/31/2021	
4400005145	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		30,000	6,490	6,490	23,510	7/30/2020	O	12/10/2024	
4400005149	ORLEANS COUNTY SHERIFF'S OFFICE 13925 STATE ROUTE 31 ALBION, NY 14411 US	MARINE PATROL	S	C	5	N	N	12		40,000	5,685	5,685	34,315	8/3/2020	O	3/31/2021	
4400005150	COUNTY OF SCHENECTADY 620 STATE ST SCHENECTADY, NY 12305 US	MARINE PATROL	S	C	5	N	N	12		40,000	0	0	40,000	8/3/2020	O	3/31/2021	

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4400005151	SENECA COUNTY SHERIFF 6150 STATE RTE 96 ROMULUS, NY 14541-9552 US	MARINE PATROL	M	C	5	N	N	12		39,267	0	0	39,267	8/3/2020	O	3/31/2021	
4400005153	COPENHAGEN CARVERS LLC DBA BURRVILLE POWER EQUIPMENT 25371 NYS ROUTE 12S WATERTOWN, NY 13601 US	ALTOZ 766I SLOPE MOWERS	E	B	5	N	N	5		36,458	36,458	36,458	0	8/3/2020	O	8/2/2021	
4400005162	ADMAR SUPPLY CO INC STE 1 1950 BRIGHTON HENRIETTA TL RD ROCHESTER, NY 14623-2597 US	LIGHT TOWER RENTAL	E	2	5	N	N	1		5,763	5,763	5,763	0	8/6/2020	O	8/5/2021	
4400005172	PONDS AND BEYOND LLC PO BOX 235 NORTH CHATHAM, NY 12132-0235 US	FOUNTAIN AT SENECA FALLS REIMAGINE THE CANALS EVENT	E	C	5	N	N	2		48,204	48,204	48,204	0	8/10/2020	O	8/9/2021	
4400005174	SOUTHWORTH-MILTON INC 500 COMMERCE DR CLIFTON PARK, NY 12065 US	EXCAVATOR CYLINDER REPLACEMENT	E	C	6	N	N	3		5,980	0	0	5,980	8/11/2020	C		12/10/2020
4400005176	STEEL SALES INC PO BOX 539 8085 STATE HIGHWAY 12 SHERBURNE, NY 13460 US	STEEL	E	C	6	N	03	3		5,887	5,875	5,875	12	8/12/2020	O	8/11/2021	
4400005194	UNION CONCRETE & CONSTRUCTION CORP 435 MEYER ROAD WEST SENECA, NY 14224 US	CONSTRUCTION OF RETAINING WALL	C	B		N	N	5		462,200	0	0	462,200	9/2/2020	O	3/1/2021	
4400005195	NICOLAS CASE THE FENCE GUYS 605 DIVISION ST STE 10 NORTH TONAWANDA, NY 14120-4486 US	FENCING	S	C	5	N	N	3		19,009	19,009	19,009	0	8/20/2020	O	8/19/2021	
4400005196	ROBERT H FINKE & SONS INC PO BOX 127 SELKIRK, NY 12158-0127 US	RENTAL OF DUMP TRUCK	E	B	7	N	N	3		11,951	11,951	11,951	0	8/20/2020	O	8/19/2021	
4400005227	PULVER ROOFING INC 1418 ERIE STREET UTICA, NY 13502 US	ROOF REPAIR	M	M	8	N	03	1		305,500	108,500	108,500	197,000	8/31/2020	O	8/30/2021	
4400005229	SOUTHWORTH-MILTON INC 500 COMMERCE DR CLIFTON PARK, NY 12065 US	CATERPILLAR 349F EXCAVATOR	E	B	7	N	N	1		449,742	449,742	449,742	0	9/1/2020	O	8/31/2021	
4400005230	ADMAR SUPPLY CO INC 878 ALBANY SHAKER RD LATHAM, NY 12110-1458 US	UTV RENTAL	E	B	5	N	N	2		6,060	0	0	6,060	9/1/2020	O	8/31/2021	
4400005231	POLARIS SALES INC 2100 HIGHWAY 55 MEDINA, MN 55340-9770 US	POLARIS RZR XP PRO 4	E	B	7	N	N	1		29,704	0	0	29,704	9/2/2020	O	9/1/2021	
4400005239	HARBORMASTER MARINE INC 8531 RONDA DR PO BOX 87157 CANTON, MI 48187 US	SPS-59 REPLACEMENT PARTS	S	1	5	F	N	1	*	7,197	7,217	7,217	0	9/11/2020	C		12/9/2020

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4400005244	CARAHSOFT TECHNOLOGY CORP 11493 SUNSET HILLS RD STE 100 RESTON, VA 20190-5328 US	MAINTENANCE - ACCELA	S	B	7	N	N	1		36,527	36,527	36,527	0	11/8/2020	O	11/7/2021	
4400005245	FIRE FIGHTING EQUIPMENT CO INC 206 S GEORGE ST ROME, NY 13440-6541 US	FIRE SUPPRESSION SYSTEM	S	C	6	N	N	3		5,500	0	0	5,500	9/15/2020	O	4/20/2021	
4400005257	JOSALL SYRACUSE INC PO BOX 158 SYRACUSE, NY 13206-0158 US	ROOF REPAIR	S	B	5	N	N	3		13,000	10,890	10,890	2,110	9/18/2020	O	9/17/2021	
4400005268	AAI ACQUISITION LLC DBA AAI-A POWER-FLO TECHNOLOGIES CO 70 WRIGHT CIR AUBURN, NY 13021-3159 US	REPAIR OF MOTOR ARMATURES	S	C	5	N	N	3		10,120	0	0	10,120	9/24/2020	O	4/2/2021	
4400005276	FULTONVILLE MACHINE & TOOL CO INC 73 UNION STREET FULTONVILLE, NY 12072-1836 US	REPAIR OF BUTTERFLY VALVES	E	M	6	N	N	1		7,472	0	0	7,472	9/30/2020	O	9/29/2021	
4400005279	MJ SPOTH PLUMBING HEATING & AC INC 8345 LAPP RD EAST AMHERST, NY 14051-1179 US	REPLACE HEATERS IN MECHANIC'S SHOP	S	C	6	N	N	3		8,000	0	0	8,000	10/1/2020	O	4/2/2021	
4400005290	MAGNOLIA METAL CORPORATION PO BOX 34370 OMAHA, NE 68134 US	CAST BRONZE FOR MACHINE SHOP	E	C	5	F	N	3		5,326	5,326	5,326	0	10/6/2020	C		12/20/2020
4400005293	AUTOMOTIVE RENTALS INC 40001 LEADENHALL RD MOUNT LAUREL, NJ 08054-4611 US	FLEET MANAGEMENT SERVICES CONTRACT	E	B	7	N	N	1		178,215	67,531	67,531	110,684	10/6/2020	O	8/2/2025	
4400005294	UNITED UNIFORM DISTRIBUTION LLC SUBSIDIARY OF SAFARILAND LLC 495 N FRENCH RD BUFFALO, NY 14228-2124 US	TSHIRTS FOR OSHA SAFE AND SOUND WEEK	E	B	5	N	N	3		5,127	5,116	5,116	11	10/8/2020	O	10/7/2021	
4400005295	THE GOODYEAR TIRE & RUBBER COMPANY DBA GOODYEAR COMMERCIAL TIRE & SERV 200 INNOVATION WAY AKRON, OH 44316-0001 US	TRAVEL LIFT REPLACEMENT PARTS	E	B	5	N	N	3		23,000	0	0	23,000	10/8/2020	O	10/7/2021	
4400005298	ENVIRONMENTAL SYSTEMS RESEARCH INSTITUTE INC 380 NEW YORK ST REDLANDS, CA 92373-8100 US	MAINTENANCE - ESRI	S	B	5	F	N	1		15,518	15,518	15,518	0	11/18/2020	O	11/17/2021	
4400005299	ALPIN HAUS SKI SHOP INC 4850 STATE HWY 30 AMSTERDAM, NY 12010 US	SEVEN CAMPER TRAILERS FOR COVID PRECAUTIONS	E	M	8	N	N	1		120,400	116,925	116,925	3,475	10/13/2020	O	10/12/2021	

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4400005306	BEACHY'S LUMBER & INSULATION LEWIS LYNN BEACHY 9441 SEAMAN RD MIDDLEPORT, NY 14105-9727 US	LUMBER	E	C	6	N	N	3		7,000	0	0	7,000	10/20/2020	O	2/25/2021	
4400005313	THE PIKE COMPANY 20 LOUDONVILLE RD ALBANY, NY 12204-1505 US	CONSTRUCTION OF MAINTENANCE FACILITY	C	B		N	N	6		11,776,113	0	0	11,776,113	10/27/2020	O	10/26/2022	
4400005314	SPRAGUE RESOURCES LP SPRAGUE OPERATING RESOURCES LLC 185 INTERNATIONAL DR PORTSMOUTH, NH 03801-6836 US	FUEL	E	B	7	N	N	12		50,000	1,566	1,566	48,434	10/22/2020	O	11/23/2021	
4400005323	FINGER LAKES INDUSTRIAL CONTRACTING CORP 3195 E BAYARD STREET EXT SENECA FALLS, NY 13148-9702 US	DIVING SERVICES	S	B	5	N	03	3		8,780	4,240	4,240	4,540	10/26/2020	O	10/25/2021	
4400005325	HUDSON MOTORS PARTNERSHIP DBA HUDSON TOYOTA 585 ROUTE 440 JERSEY CITY, NJ 07305-4878 US	NINE TOYOTA RAV4 HYB AWD	E	B	7	N	N	1		239,355	0	0	239,355	10/27/2020	O	10/26/2021	
4400005326	NASSAU NATIONAL CABLE CORP 505 NORTHERN BLVD - STE 209 GREAT NECK, NY 11021-5112 US	ELECTRIC WIRE FOR WINTER PUMP OUT	E	C	5	N	N	3		5,475	5,475	5,475	0	10/27/2020	C		12/9/2020
4400005343	PTC INC 121 SEAPORT BLVD BOSTON, MA 02210-2050 US	SOFTWARE LICENSE - MATHCAD	E	1	5	N	N	1		11,640	0	0	11,640	10/30/2020	O	10/29/2022	
4400005345	MAIN MOTORCAR HOWELL & PIERSON INC 224 W MAIN ST JOHNSTOWN, NY 12095 US	3 RAM 4X4 TRUCKS	E	B	7	N	N	5		81,178	0	0	81,178	11/2/2020	O	11/1/2021	
4400005347	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	1 2020 2500 TRADESMAN RAM 4X4	E	B	7	N	N	5		33,399	33,399	33,399	0	11/1/2020	O	10/31/2021	
4400005352	SEAWAY DIVING & SALVAGE CO INC 10 GUIDEBOARD RD WATERFORD, NY 12188-1913 US	DIVING SERVICES	S	B	5	N	N	3		12,207	7,150	7,150	5,057	11/2/2020	O	11/1/2021	
4400005353	JOE CECCONI'S CHRYSLER COMPLEX 2380 MILITARY RD NIAGARA FALLS, NY 14304-1563 US	FOUR DODGE DURANGOS	E	B	7	N	N	5		118,506	118,506	118,506	0	11/2/2020	O	11/1/2021	
4400005368	HUNT UNDERWATER SPECIALTIES 200 E MAIN ST PO BOX 832 WATERTOWN, NY 13601 US	DIVING SERVICES	S	C	6	N	N	3		7,000	7,000	7,000	0	11/5/2020	O	5/20/2021	

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4400005375	ADAM LERNER 3433 PECOS ST DENVER, CO 80211 US	CONSULTANT SERVICES FOR MARKETING	P	2	9	N	N	1		6,000	0	0	6,000	11/6/2020	O	11/5/2021	
4400005376	SYNTHESIS ARCHITECTS LLP 162 JAY ST SCHENECTADY, NY 12305-1906 US	GPM PROJECT	P	2	8	N	N	1		589,000	0	0	589,000	11/6/2020	O	11/5/2023	
4400005378	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	MAINTENANCE - DUO	S	B	8	F	N	2		93,064	93,064	93,064	0	8/1/2020	O	7/31/2021	
4400005393	J LAFLUER LOGGING & FORESTRY PRO 9192 PUMP RD JORDAN, NY 13080-9406 US	LUMBER	E	C	6	N	N	3		8,081	0	0	8,081	11/13/2020	O	4/20/2021	
4400005394	ON THE WATER LLC 707 TEATICKET HWY TEATICKET, MA 02536-5845 US	FILMING, EDITING, BROADCASTING SERVICES	S	2	9	N	N	1		15,000	15,000	15,000	0	11/13/2020	O	11/12/2021	
4400005402	O'CONNELL ELECTRIC CO 830 PHILLIPS RD VICTOR, NY 14564-9417 US	TRANSFER SWITCH	P	C	5	N	N	3		8,000	0	0	8,000	11/16/2020	O	11/15/2021	
4400005407	DELL MARKETING LP 850 ASBURY DR BUFFALO GROVE, IL 60089-4557 US	MAINTENANCE - MICROSOFT	I	B	7	F	N	1		331,223	331,223	331,223	0	11/18/2020	O	4/2/2021	
4400005417	UNITED RENTALS (NORTH AMERICA) INC DBA RELIABLE ONSITE SERVICES 100 FIRST STAMFORD PL - STE 700 STAMFORD, CT 06902-9200 US	SCAFFOLD	E	B	5	N	N	3		13,559	0	0	13,559	11/20/2020	O	11/19/2021	
4400005418	UNITED RENTALS (NORTH AMERICA) INC UNITED RENTALS 7178 SCHUYLER RD EAST SYRACUSE, NY 13057-9743 US	ADA COMPLAINT PORTABLE TOILET	E	B	6	N	N	5		5,015	0	0	5,015	11/23/2020	O	5/1/2021	
4400005421	VERSATILE LLC 527 STATE ROUTE 31 PORT BYRON, NY 13140-9775 US	MOBILE OFFICE TRAILER RENTAL	E	C	5	N	N	3		6,000	2,142	2,142	3,858	11/23/2020	O	11/22/2021	
4400005423	84 LUMBER 1505 SCOTTSVILLE RD ROCHESTER, NY 14623-1934 US	LUMBER	E	B	5	N	N	3		16,791	0	0	16,791	11/23/2020	O	11/22/2021	
4400005426	VERSATILE LLC 527 STATE ROUTE 31 PORT BYRON, NY 13140-9775 US	MOBILE OFFICE TRAILER RENTAL	E	C	5	N	N	3		12,000	1,822	1,822	10,178	11/23/2020	O	11/22/2021	
4400005427	VERSATILE LLC 527 STATE ROUTE 31 PORT BYRON, NY 13140-9775 US	MOBILE OFFICE TRAILER RENTAL	E	C	5	N	N	3		12,000	3,500	3,500	8,500	11/23/2020	O	11/22/2021	

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4400005430	PRAXAIR DISTRIBUTION INC 1811 BROADWAY BUFFALO, NY 14212-2032 US	HARD SURFACE WHEEL WELDING SYSTEM	E	B			N	N	2		164,500	0	0	164,500	11/24/2020	O	11/23/2021	
4400005431	VERSATILE LLC 527 STATE ROUTE 31 PORT BYRON, NY 13140-9775 US	MOBILE OFFICE TRAILER RENTAL	E	C	5	N	N	3		6,000	0	0	6,000	11/24/2020	O	11/23/2021	
4400005444	EARTHCAM INC 650 E CRESCENT AVE STE 100 UPPER SADDLE RIVER, NJ 07458-1843 US	EARTHCAM	S	B	7	N	N	1		15,873	15,873	15,873	0	10/31/2020	O	5/16/2021	
4400005448	PKA TECHNOLOGIES INC 3 PARAGON DR MONTVALE, NJ 07645-1782 US	HP ELITEDISPLAY E243 MONITORS	H	B	7	F	03	6		8,664	0	0	8,664	12/3/2020	O	3/1/2021	
4400005449	J LAFLUER LOGGING & FORESTRY PRO 9192 PUMP RD JORDAN, NY 13080-9406 US	LUMBER	E	C	6	N	N	4		6,643	0	0	6,643	12/4/2020	O	5/1/2021	
4400005450	SAFETY COMPLIANCE SERVICES INC 6286 E TAFT RD NORTH SYRACUSE, NY 13212-2528 US	CONFINED SPACES RESCUE SERVICE	P	M	5	N	N	1		30,000	0	0	30,000	12/7/2020	O	12/6/2021	
4400005451	ALBANY STEEL INC 566 BROADWAY - PO BOX 4006 ALBANY, NY 12204 US	STEEL	E	B	5	N	N	3		19,764	0	0	19,764	12/4/2020	O	12/3/2021	
4400005452	PKA TECHNOLOGIES INC 3 PARAGON DR MONTVALE, NJ 07645-1782 US	HP LAPTOPS, ACCESSORIES, AND MAINTENANCE	H	B	7	F	03	4		55,626	0	0	55,626	12/6/2020	O	3/1/2021	
4400005454	KOPPERS UTILITY & INDUSTRIAL PRODCU 1705 VILLAGE PARK DR ORANGEBURG, SC 29118-2401 US	LUMBER	E	B	5	N	N	3		11,770	0	0	11,770	12/7/2020	O	12/6/2021	
4400005478	ADMAR SUPPLY CO INC 878 ALBANY SHAKER RD LATHAM, NY 12110-1458 US	STRAIGHT BOOM LIFT RENTAL	E	C	6	N	N	3		6,750	0	0	6,750	12/17/2020	O	6/16/2021	
4400005480	VANTAGE EQUIPMENT LLC 5985 COURT STREET RD SYRACUSE, NY 13206-1707 US	DUMP TRUCK RENTAL	E	B	7	N	N	4		23,967	0	0	23,967	12/17/2020	O	12/16/2021	
4400005489	MRC INC F/K/A MARTURANO RECREATION COMPANY 2130 ROUTE 35 BLD B STE 222 SEA GIRT, NJ 08750 US	ADA COMPLIANT PICNIC TABLES	E	B	6	F	N	2		5,406	0	0	5,406	12/22/2020	O	4/20/2021	
4400005490	KURK FUEL OIL CO DBA FOR GOETZ ENERGY CORP PO BOX A BUFFALO, NY 14217-0305 US	FUEL	E	B	7	N	01	3		15,000	0	0	15,000	12/22/2020	O	12/31/2024	

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4400005491	LOE TRAILER SALES OF WNY LLCC 40 CENNECTING BVLD N TONAWANDA, NY 14120-1337 US	ENCLOSED TRAILER	E	B	5	N	N	3		8,086	0	0	8,086	12/22/2020	O	12/21/2021	
4400005495	AUTOMOTIVE RENTALS INC 40001 LEADENHALL RD MOUNT LAUREL, NJ 08054-4611 US	FLEET MAINTENANCE SERVICES	S	B	7	N	N	1		450,000	0	0	450,000	12/24/2020	O	12/23/2021	
4400005496	SNAP ON INCORPORATED IDSC HOLDING LLC SNAP ON INDUSTRIAL 3011 IL ROUTE 176 CRYSTAL LAKE, IL 60014-2256 US	SCAN TOOLS FOR FLEET GARAGES	E	B	7	F	N	1		85,438	0	0	85,438	12/24/2020	O	12/23/2021	
4400005497	NODINES HEATING INC PO BOX 636 RED CREEK, NY 13143-0636 US	FURNACE INSTALLATION ON FLOATING PLANT	S	C	5	N	N	3		8,725	0	0	8,725	12/28/2020	O	4/2/2021	
4400005500	SEAWAY DIVING & SALVAGE CO INC 10 GUIDEBOARD RD WATERFORD, NY 12188-1913 US	DIVING SERVICES	M	C	5	N	N	3		17,540	0	0	17,540	12/30/2020	O	6/20/2021	
4500211243	BENTLY NEVADA INC 475 CREAMERY WAY EXTON, PA 19341-2546 US	FURNISH, DELIVER, INSTALL CONDITION MONITORING SYSTEMS	E	B		F	N	1		815,412	765,866	50,444	49,546	1/3/2012	O	12/31/2022	
4500212248	EATON CORP 6780 NORTHERN BLVD - STE 500 EAST SYRACUSE, NY 13057-8724 US	CIRCUIT BREAKERS	E	B		N	N	3		2,258,329	2,198,892	0	59,437	1/10/2012	O	12/31/2022	
4500227901	TIME WARNER CABLE INC 20 CENTURY HILL DR LATHAM, NY 12110-2116 US	WIDE AREA NETWORK BACKBONE	S	B		F	N	2		8,951,118	7,932,486	0	1,018,632	1/1/2013	C		6/30/2020
4500233517	HITACHI T & D SOLUTIONS INC 7250 MCGINNIS FERRY RD SUWANEE, GA 30024-1245 US	FURNISH AND DELIVER 115KV AND 230KV CIRCUIT BREAKERS	E	B		F	N	3		3,879,372	2,060,963	0	1,818,409	7/23/2013	C		12/31/2020
4500243325	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	115KV GSU	E	B		F	N	13		2,428,627	2,428,627	30,000	0	3/20/2014	C		12/24/2020
4500253163	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	115KV CIRCUIT BREAKERS	E	B		F	N	2		2,870,851	2,021,189	263,413	849,662	12/15/2014	O	3/2/2023	
4500253512	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	765KV CIRCUIT BREAKERS	E	B		F	N	5		7,111,596	4,823,330	0	2,288,266	12/19/2014	C		12/28/2020
4500254147	HVB AE POWER SYSTEMS INC 7250 MCGINNIS FERRY RD SUWANEE, GA 30024 US	345KV CIRCUIT BREAKER	E	B		F	N	5		1,160,932	1,149,958	0	10,974	1/13/2015	C		2/28/2020
4500254865	SOFTWARE SENSE ENTERPRISES INC 376 BROADWAY - STE L3 SARATOGA SPRINGS, NY 12866 US	MAINTENANCE - SOFTWARE SENSE	S	1	8	N	N	1		169,375	159,075	0	10,300	3/1/2015	C		2/28/2020

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4500257532	ULTRAMAP LTD GRAINGER THE REGENT CENTRE-GOTHFORT NEWCASTLE UPON TYNE, TW NE3 3PF GB	SHIP TRAFFIC MONITORING SYSTEM	H	B			F	N	2		238,478	238,478	39,075	0	4/1/2015	C		3/31/2020
4500259572	DEADLINE SOLUTIONS INC 991 CANAL ST SYRACUSE, NY 13210-1203 US	FLOWMETER SYSTEM OPERATION AND MAINTENANCE OF THE EEL PASSAGE FACILITY	S	1	9	N	N	1		106,307	106,307	0	0	6/3/2015	C		5/31/2020
4500259576	BIOMARK INC 705 S 8TH ST BOISE, ID 83702-7112 US	PIT ANTENNAE SYSTEM OPERATION AND MAINTENANCE OF THE EEL PASSAGE FACILITY	S	1	9	N	N	1		40,350	30,713	0	9,637	6/3/2015	C		5/31/2020
4500260532	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	DESIGN, FURNISH, AND DELIVER 230KV SF6 BREAKERS	E	B			F	N	2		8,939,037	3,169,397	683,500	5,769,640	6/25/2015	O	11/30/2023	
4500260759	WILLIAMS SCOTSMAN INC PO BOX 50 PHOENIX, NY 13135 US	RENTAL OF MOBILE OFFICE	E	B	5	N	N	1		29,325	24,775	3,588	4,550	7/1/2015	O	6/30/2021	
4500261111	BERNIER CARR & ASSOCIATES ENGINEERS ARCHITECTS AND LAND SURVEYORS PC 327 MULLIN ST WATERTOWN, NY 13601-3686 US	ARCHITECT AND ENGINEERING SERVICES	A	B			N	N	8		524,651	422,240	15,450	102,411	7/14/2015	C		6/30/2020
4500261551	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	115KV AND 230KV PT, CT AND SURGE ARRESTORS	E	B			F	N	6		2,826,664	2,819,106	0	7,558	5/24/2015	O	1/8/2021	
4500262061	NIAGARA UNIVERSITY PO BOX 1936 NIAGARA UNIVERSITY, NY 14109-1936 US	GROUNDS MAINTENANCE AND LANDSCAPING	S	2	8	N	N	1		430,000	430,000	0	0	6/1/2015	C		5/31/2020
4500262291	STRUCTURAL PRESERVATION SYSTEMS LLC 3521 VERNON BLVD LONG ISLAND CITY, NY 11106-5122 US	GARAGE REPAIRS	C	B			N	N	2		2,461,664	1,798,651	0	663,013	8/14/2015	C		8/13/2020
4500262820	MOHANTY GARGIULO LLC 100 PARK AVE - STE 1600 NEW YORK, NY 10017-5538 US	INDEPENDENT SWAP ADVISORY SERVICES	P	B			N	03	4		250,000	9,103	0	240,897	8/27/2015	C		8/26/2020
4500262861	LOADSPRING SOLUTIONS INC 1500 DISTRICT AVE BURLINGTON, MA 01803-5069 US	OFFSITE PRIMAVERA HOSTING	S	B			F	N	2		1,513,275	1,443,593	69,548	69,682	10/1/2015	C		12/31/2020
4500264129	NEPC LLC 255 STATE ST BOSTON, MA 02109-2617 US	INVESTMENT MANAGEMENT CONSULTANT SERVICES	P	B			F	N	4		50,000	50,000	0	0	10/1/2015	O	9/30/2021	
4500264557	PMA MANAGEMENT CORP 380 SENTRY PKWY - STE 200 BLUE BELL, PA 19422-2328 US	THIRD PARTY ADMINISTRATIVE SERVICES - WORKERS COMP	P	B			N	N	6		1,158,721	115,750	0	1,042,971	1/1/2016	O	12/31/2021	
4500264592	LS CABLE AMERICA INC 222 BRIDGE PLZ S - STE 530 FORT LEE, NJ 07024-5730 US	SUBMARINE CABLE REPLACEMENT PROJECT	C	B			F	N	3		84,301,779	55,077,870	350,000	29,223,909	10/15/2015	C		12/30/2020

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4500266123	POPPULO INC NEWSWEAVER INC 1601 TRAPELO RD - STE 267 WALTHAM, MA 02451-7338 US	CORPORATE MESSAGING SOFTWARE SOLUTION	S	B			F	N	1		55,775	55,775	0	0	12/2/2015	C		9/30/2020
4500267484	CITYSIDE ARCHIVES LTD 499 MILL RD EDISON, NJ 08817 US	OFFSITE RECORDS STORAGE	S	B			F	N	2		500,000	280,265	55,318	219,735	12/1/2015	O	11/30/2021	
4500267788	DNV GL ENERGY INSIGHTS USA INC 1400 RAVELLO DR KATY, TX 77449-5164 US	CONSULTING SERVICES	P	B			F	N	2		3,068,676	914,396	30,176	2,154,280	1/1/2016	O	12/31/2021	
4500268084	SCHICHTEL'S NURSERY INC 7420 PETERS RD SPRINGVILLE, NY 14141-9405 US	POWER FOR TREES PROGRAM	E	B			N	01	3		150,000	148,535	59,982	1,465	2/1/2016	O	1/31/2021	
4500268363	BURNS & MCDONNELL CONSULTANTS INC 9400 WARD PKWY KANSAS CITY, MO 64114-3319 US	MOSES ADIRONDACK TRANSMISSION CONSTRUCTION	P	B			F	N	10		7,667,119	7,473,289	1,003,667	193,830	2/1/2016	O	1/31/2021	
4500270758	GENERAL ELECTRIC INTERNATIONAL INC 175 MILENS RD TONAWANDA, NY 14150-6701 US	REMOVE, REFURBISH, DELIVER, INSTALL GSU'S	E	C			N	N	1		2,363,078	2,363,078	0	0	3/31/2016	O	3/30/2021	
4500271037	EDENRED COMMUTER BENEFIT SOLUTIONS LLC 265 WINTER ST FL 3 WALTHAM, MA 02451-8718 US	CORPORATE TRANSIT CHECK PROGRAM ADMINISTRATION	E	B			N	N	2		570,000	365,357	0	204,643	7/1/2016	O	6/30/2021	
4500271223	STARBOARD CONSULTING LLC 2170 W STATE ROAD 434 - STE 124 LONGWOOD, FL 32779-4976 US	MAXIMO SOFTWARE SUPPORT SERVICES	P	B			F	03	5		806,190	680,864	127,685	125,326	4/15/2016	O	4/14/2021	
4500272146	GREATER SYRACUSE MOVING AND STORAGE CO INC 6255 E TAFT RD NORTH SYRACUSE, NY 13212-2505 US	RELOCATION SERVICES	S	B	8	N	N		5		150,000	136,524	39,801	13,476	5/9/2016	C		6/30/2020
4500272149	BVR CONSTRUCTION CO INC 8 KING RD CHURCHVILLE, NY 14428 US	REPAIR, REFURBISH AND REPAINT ICE SLUICE GATES	C	B			N	N	3		7,212,225	7,190,523	355,776	21,702	5/9/2016	C		5/8/2020
4500272166	G4S SECURE SOLUTIONS USA INC 1395 UNIVERSITY BLVD JUPITER, FL 33458-5289 US	UNIFORMED SECURITY GUARD SERVICES	S	B			N	N	15		15,000,000	11,615,709	2,433,646	3,384,291	6/5/2016	O	6/4/2021	
4500273348	ENVIRONETICS GROUP ARCHITECT PC 180 SYLVAN AVE ENGLEWOOD CLIFFS, NJ 07632-2512 US	ARCHITECTURAL AND INTERIOR DESIGN SERVICES	A	B			F	N	8		360,000	194,744	25,729	165,256	6/10/2016	O	6/9/2021	
4500273386	BAVIER DESIGN LLC 277 ROWAYTON AVE NORWALK, CT 06853-1021 US	ARCHITECTURAL AND INTERIOR DESIGN SERVICES	A	B			F	N	8		240,000	12,774	642	227,226	6/10/2016	O	6/9/2021	

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4500274855	S & L ELECTRIC INC 5313 STATE HIGHWAY 56 COLTON, NY 13625 US	STATION SERVICE UPGRADE	E	B		N	N	5		6,713,598	6,280,069	397,117	433,529	7/19/2016	C		7/18/2020
4500275227	WALKER PARKING CONSULTANTS/ ENGINEERS INC 50 W 23RD ST - STE 704 NEW YORK, NY 10010-5384 US	ARCHITECTURAL AND ENGINEERING DESIGN AND CONSTRUCTION MANAGEMENT SERVICES	P	B		N	N	8		1,212,331	1,044,172	203,452	168,159	8/1/2016	O	2/27/2021	
4500275657	NAVIGANT CONSULTING INC 685 3RD AVE - FL 14 NEW YORK, NY 10017-4024 US	TRANSMISSION/RATE CONSULTING SERVICES	P	B		N	N	4		1,800,000	432,470	22,247	1,367,530	9/28/2016	O	9/27/2021	
4500275688	NEXANT INC 44 S BROADWAY - STE 404 WHITE PLAINS, NY 10601-4439 US	TRANSMISSION/RATE CONSULTING SERVICES	P	B		N	N	4		1,800,000	0	0	1,800,000	9/28/2016	O	9/27/2021	
4500275701	SALARY.COM LLC 34 WASHINGTON ST - STE 310 WELLESLEY, MA 02481-1903 US	CLOUD BASED COMPENSATION DATA ANALYTICS AND SURVEYS	S	B		F	N	5		82,500	82,500	16,500	0	8/1/2016	O	7/31/2021	
4500276397	OTIS ELEVATOR CO 1 ODELL PLZ - STE 120 YONKERS, NY 10701-1415 US	ELEVATOR MODERNIZATION	C	B		N	N	5		2,318,840	2,318,840	0	0	9/1/2016	C		6/30/2020
4500276426	EXPRESS SCRIPTS INC 1 EXPRESS WAY SAINT LOUIS, MO 63121-1824 US	THIRD PARTY ADMIN SERVICES FOR AUTHORITY'S HEALTH AND BENEFITS PROGRAM FOR PHARMACY AND EGWP	S	B		F	N	10		1,350,000	577,943	167,178	772,057	1/1/2017	O	12/31/2021	
4500276429	DELTA DENTAL OF NEW YORK 250 W 57TH ST - STE 605 NEW YORK, NY 10107-0730 US	THIRD PARTY ADMIN SERVICES FOR AUTHORITY'S HEALTH AND BENEFITS PROGRAM FOR DENTAL	S	B		N	N	10		450,000	311,376	83,419	138,624	1/1/2017	O	12/31/2021	
4500276433	DAVIS VISION INC 175 EXPRESS ST PLAINVIEW, NY 11803 US	THIRD PARTY ADMIN SERVICES FOR AUTHORITY'S HEALTH AND BENEFITS PROGRAM FOR VISION	S	B		N	N	10		25,000	13,180	3,716	11,820	1/1/2017	O	12/31/2021	
4500276445	UNITED HEALTHCARE SERVICES LLC 2950 EXPRESSWAY DR S - STE 240 ISLANDIA, NY 11749-1412 US	THIRD PARTY ADMIN SERVICES FOR AUTHORITY'S HEALTH AND BENEFITS PROGRAM FOR MAJOR MEDICAL AND HOSPITALIZATION AND FSA	S	B		N	N	10		9,400,000	5,015,523	1,682,181	4,384,477	1/1/2017	O	12/31/2021	
4500276653	ABRAMS & ABRAMS LLP - 363 7TH AVE - 12TH FL NEW YORK, NY 10001-3904 US	IMMIGRATION COUNSEL SERVICES	L	B		N	N	9		500,001	499,918	63,591	83	10/3/2016	O	10/2/2021	
4500276754	FOX ROTHSCHILD LLP 101 PARK AVE - STE 1700 NEW YORK, NY 10178-0002 US	LEGAL SERVICES	L	2	8	N	N	1		9,050,001	9,048,056	864,513	1,945	8/29/2016	O	8/27/2021	
4500279036	OPEN ACCESS TECHNOLOGY INTERNATIONAL INC 3660 TECHNOLOGY DR MINNEAPOLIS, MN 55418-1015 US	DIGITAL CERTIFICATES	E	C	6	F	N	2		32,500	32,500	0	0	11/16/2016	O	11/16/2021	
4500279107	EATON CORP C/O HASGO POWER EQUIPMENT SALES INC 130 COMMONWEALTH DR WARRENDALE, PA 15086-7501 US	STATION SERVICE UPGRADE	E	B		N	N	4	*	1,256,120	1,256,121	12,533	0	11/16/2016	C		3/31/2020

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4500280055	QUADIENT LEASING USA INC 478 WHEELERS FARMS RD MILFORD, CT 06461-9105 US	MAIL EQUIPMENT RENTAL	E	B	5	N	N	1		12,000	6,816	1,704	5,184	2/1/2017	O	1/31/2022	
4500280255	CONCUR TECHNOLOGIES INC 601 108TH AVE NE - STE 1000 BELLEVUE, WA 98004-4750 US	SOFTWARE AND MAINTENANCE	S	2	8	F	N	1		581,661	481,616	196,407	100,045	12/19/2016	O	12/18/2021	
4500280389	ENERGY AND ENVIRONMENTAL ECONOMICS INC 101 MONTGOMERY ST - STE 1600 SAN FRANCISCO, CA 94104-4133 US	MANAGEMENT AND TECHNICAL CONSULTING SERVICES FOR DISTRIBUTION UTILITY OF THE FUTURE PROGRAM	P	B		F	N	14		280,000	279,999	0	1	1/3/2017	C		1/2/2020
4500280487	MILLER ADVERTISING AGENCY INC 10 ROCKEFELLER PLZ STE 1016 NEW YORK, NY 10020-1903 US	MEDIA ADVERTISING SERVICES	P	B		N	N	4		500,000	136,289	35,644	363,711	1/1/2017	O	12/31/2021	
4500280548	IKNOW LLC BERNARD L PALOWITCH JR 100 OVERLOOK CTR - FL 2 PRINCETON, NJ 08540-7814 US	ENTERPRISE SEARCH, TAXONOMY, SOFTWARE AND INTEGRATION SERVICE	S	B		F	N	3		1,014,450	983,959	104,340	30,491	12/29/2016	O	12/28/2021	
4500282188	GE GRID SOLUTIONS LLC 1 POWER LN CHARLEROI, PA 15022-1082 US	115/230KV DISCONNECT SWITCHES	E	B		F	N	4		602,050	510,250	0	91,800	3/2/2017	O	3/6/2025	
4500282254	DOWD BATTERY CO INC 1571 BRONSON RD GRAND ISLAND, NY 14072-2910 US	SWITCHYARD DC BATTERY REPLACEMENT	E	B		N	01	4		591,958	501,451	12,550	90,507	2/15/2017	O	6/1/2021	
4500284193	BUFFALO COMPUTER GRAPHICS INC 4185 BAYVIEW RD BLASDELL, NY 14219-2732 US	BUFFALO COMPUTER GRAPHICS HOSTED DISASTER LAN	S	B	7	N	N	1		281,175	281,055	0	120	4/21/2017	C		4/16/2020
4500284219	NYS DIV OF HOMELAND SECURITY AND EMERGENCY SERVICES STE 710 1220 WASHINGTON AVE - BLDG ALBANY, NY 12226-1799 US	ANNUAL FIRE SAFETY INSPECTION AND SERVICES	S	1	9	N	N	1		225,000	70,000	0	155,000	4/1/2017	O	3/31/2022	
4500284924	BVR CONSTRUCTION CO INC 8 KING RD CHURCHVILLE, NY 14428 US	RM INTAKE ARCHED-PANEL COFFERDAM	E	B		N	N	3		2,526,441	2,501,984	268,124	24,457	5/1/2017	O	2/21/2021	
4500284949	OSISOFT LLC 1600 ALVARADO ST SAN LEANDRO, CA 94577 US	MAINTENANCE - OSI ENTERPRISE	S	B	8	N	N	2		6,162,500	3,475,312	405,976	2,687,188	5/2/2017	O	5/1/2027	
4500285180	GOMEZ AND SULLIVAN ENGINEERS DPC 288 GENESEE ST UTICA, NY 13502 US	CONSULTING SERVICES	S	B		N	N	2		1,102,448	582,708	124,895	519,740	6/1/2017	O	5/31/2022	
4500285616	HOHL INDUSTRIAL SERVICES INC 770 RIVERVIEW BLVD TONAWANDA, NY 14150-7880 US	TRASH RACK REPLACEMENT	E	B		N	01	2		2,452,961	2,419,862	0	33,099	5/22/2017	C		3/31/2020
4500285668	DANNIBLE & MCKEE LLP 221 S WARREN ST SYRACUSE, NY 13202 US	CUSTOMER COMPLIANCE AUDITS	P	B		N	N	5		577,500	285,220	49,402	292,280	8/1/2017	O	7/31/2022	

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4500286339	SIRSI CORP DBA SIRSIDYNIX EOS 3300 N ASHTON BLVD STE 500 LEHI, UT 84043-5340 US	INTEGRATED LIBRARY SYSTEM CLOUD-BASED	S	B		F	N	39		134,859	92,471	27,841	42,388	6/12/2017	O	6/11/2022	
4500286428	OCO CONSULTING LLC 45 BROADWAY STE 2150 NEW YORK, NY 10006-3780 US	GLOBAL ATTRACTION PROGRAM SERVICES	P	B		N	N	7		551,375	401,375	0	150,000	6/15/2017	C		12/31/2020
4500286836	HATCH ASSOCIATES CONSULTANTS INC 100 SYLVAN PKWY AMHERST, NY 14228-1146 US	BG UPPER COMPLEX REPURPOSE	A	B		N	N	2		956,080	488,330	0	467,750	6/23/2017	C		6/22/2020
4500286979	TRC ENGINEERS INC 215 GREENFIELD PKWY - STE 102 LIVERPOOL, NY 13088-6651 US	MICROGRID	P	2	1	N	N	1		813,333	813,333	553,066	0	6/27/2017	C		7/24/2020
4500287026	HATCH ASSOCIATES CONSULTANTS INC 100 SYLVAN PKWY AMHERST, NY 14228-1146 US	ARCHITECTURAL AND ENGINEERING SERVICES	A	B		N	N	2		274,502	252,722	27,700	21,780	7/19/2017	C		7/18/2020
4500287027	DEAN ENERGY SOLUTIONS CORP 1332 CLINTON ST HOBOKEN, NJ 07030-3302 US	FIRE PROTECTION SYSTEM	C	B		F	N	4		4,817,114	4,497,367	0	319,747	6/29/2017	O	5/31/2022	
4500287044	FERGUSON ELECTRIC CONSTRUCTION CO INC 333 ELLICOTT ST BUFFALO, NY 14203-1618 US	SWITCHYARD LEM EQUIPMENT INSTALLATION	E	B	8	N	N	1		26,301,522	23,811,632	2,939,173	2,489,890	6/29/2017	C		12/31/2020
4500287049	HATCH ASSOCIATES CONSULTANTS INC 100 SYLVAN PKWY AMHERST, NY 14228-1146 US	ARCHITECTURAL AND ENGINEERING SERVICES	A	B		N	N	2		456,822	421,312	0	35,510	7/19/2017	C		7/18/2020
4500287054	ALLEGRO DEVELOPMENT CORPORATION 600 N PEARL ST STE 2000 DALLAS, TX 75201-2896 US	ENERGY COMMODITY RISK MANAGEMENT AND ANALYTICS SOLUTION	E	B		F	N	8		6,359,449	4,815,390	1,311,341	1,544,059	6/30/2017	O	6/29/2022	
4500288933	HYDRO-QUEBEC 75 RENE-LEVESQUE W - FL 15 MONTREAL, QC H2Z 1A4 CA	STUDY OF ADVANCED STABILITY CONTROLS TO COMBAT TRANSMISSION BOTTLENECKS IN HIGH PERFORMING GRID; ECONOMIC AND FEASIBILITY	P	1	8	F	N	1		650,000	650,000	335,000	0	8/24/2017	C		2/28/2020
4500289082	TP WOODSIDE INC 60 LAWRENCE BELL DR WILLIAMSVILLE, NY 14221-7074 US	VARIABLE FREQUENCY DRIVES	E	B	5	F	N	2		48,816	39,016	0	9,800	11/3/2017	C		2/29/2020
4500289087	XEROX CORPORATION 1654 SOLUTIONS CNTR CHICAGO, IL 60677-1006 US	MAINTENANCE - IGEN 5 EQUIPMENT	E	B	7	F	N	1		751,615	537,028	183,305	214,587	8/30/2017	O	9/26/2022	
4500289294	BOLTTECH MANNINGS INC 311 W MAIN ST ROCKAWAY, NJ 07866-3317 US	SPIDER ROTOR PWHT	S	B		F	N	2		196,658	196,658	71,965	0	9/8/2017	C		3/25/2020

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4500289419	NRC NY ENVIRONMENTAL SERVICES INC 6392 DEERE RD - STE 1 SYRACUSE, NY 13206-1323 US	ABATEMENT AND PAINTING OF ROTOR SPIDER	C	B			N	N	2		422,094	422,094	138,910	0	9/12/2017	O	2/24/2021	
4500289932	N SPRO LLC 1014 THOMPSON BLVD SEDALIA, MO 65301-2243 US	SUCCESSFACTORS IMPLEMENTATION SERVICES	P	B			F	N	6		1,804,027	1,390,710	133,108	413,317	9/27/2017	O	9/26/2022	
4500290004	MANAGEMENT MENTORS INC RENE D PETRIN 111 NONANTUM ST BRIGHTON, MA 02135-2413 US	MENTORING PROGRAM	P	B			N	N	2		91,000	37,771	9,000	53,229	11/1/2017	O	10/31/2022	
4500290080	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	HIGH VOLTAGE CIRCUIT BREAKERS FOR MULTIPLE SITES	E	B			F	N	4		12,942,701	4,781,078	4,539,557	8,161,623	9/29/2017	C		12/31/2020
4500290135	SOVOS COMPLIANCE LLC 200 BALLARDVALE ST WILMINGTON, MA 01887-1074 US	ACA TAX REPORTING SERVICES	P	B			F	N	4		122,977	98,382	24,595	24,595	10/1/2017	O	3/31/2022	
4500290894	TRC ENGINEERS INC 215 GREENFIELD PKWY - STE 102 LIVERPOOL, NY 13088-6651 US	MICROWAVE UPGRADE PROJECT	E	B			F	N	4		3,280,880	2,611,307	118,860	669,573	11/22/2017	O	6/30/2021	
4500291167	HARTIGEN SOLUTIONS LLC 3100 S GESSNER RD STE 329 HOUSTON, TX 77063-3743 US	BID TO BILLING AND GENERATION BIDDING SOLUTION	S	B			F	N	5		3,182,550	2,107,824	514,783	1,074,726	11/6/2017	O	11/5/2022	
4500291596	KEMCO INDUSTRIES LLC 70 KEYES CT SANFORD, FL 32773 US	RELAY REPLACEMENT PARTS	E	B	8	F	N	2		922,747	922,747	0	0	11/13/2017	C		11/12/2020
4500291709	WEWORK COMPANIES INC 575 5TH AVENUE TENANT LLC 115 W 18TH ST FL 5 NEW YORK, NY 10011-4113 US	NYC RENTAL SPACE	E	2	9	N	N	1		598,893	553,834	43,958	45,059	11/22/2017	C		5/31/2020
4500292234	ADIRONDACK RECORDS MANAGEMENT INC 45 LEARNED ST ALBANY, NY 12207-5051 US	TRANSFER AND STORAGE WAREHOUSING OF HARD COPY RECORDS TO OFFSITE STORAGE FACILITY	E	B			N	N	3		48,512	21,967	11,368	26,545	12/1/2017	O	11/30/2022	
4500292956	PITNEY BOWES INC 120 BLOOMINGDALE RD WHITE PLAINS, NY 10605-1500 US	PRINTER LEASE	S	B	7	N	N	1		61,361	30,681	9,204	30,680	12/28/2018	O	12/27/2022	
4500293017	NYS DIV OF HOMELAND SECURITY AND EMERGENCY SERVICES STE 710 1220 WASHINGTON AVE - BLDG ALBANY, NY 12226-1799 US	ANNUAL FIRE SAFETY INSPECTION AND SERVICES	P	2			N	N	10		100,000	26,000	0	74,000	1/1/2018	O	12/31/2022	
4500293855	GEORGE A HARPER GAH CONSULTING LLC 9 FAIRVIEW DR SOUTHBOROUGH, MA 01772-1713 US	HURRICANE IRENE REANALYSIS	A	1	5	F	N	1		86,270	20,871	7,570	65,399	1/25/2018	O	12/31/2021	
4500293858	RJ ASSOCIATES LLC 92 MCCARTY COVE RD WESTPORT ISLAND, ME 04578 US	HURRICANE IRENE REANALYSIS	A	1	5	F	N	1		71,340	15,810	2,015	55,530	1/25/2018	O	12/31/2021	

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4500293921	LIVESAFE INC 1400 KEY BLVD STE 800 ARLINGTON, VA 22209-1547 US	LIVESAFE MOBILE SAFETY COMMUNICATIONS PLATFORM	S	1	9	N	N	1		155,000	147,900	46,800	7,100	2/1/2018	O	1/31/2021	
4500293942	KINSLEY GROUP INC KINSLEY POWER SYSTEMS 14 CONNECTICUT SOUTH DR EAST GRANBY, CT 06026 US	ON-CALL GENERATOR SERVICE FOR THE AUTHORITY'S WHITE PLAINS OFFICE	S	B		F	N	3		291,516	167,299	84,291	124,217	1/29/2018	O	1/28/2023	
4500293984	HAGERMAN & COMPANY INC 505 SUNSET CT - PO BOX 139 MT ZION, IL 62549-1522 US	MERIDIAN 2011 REPLACEMENT	S	B	8	N	N	3		1,748,536	1,249,327	5,231	499,209	1/30/2018	O	12/12/2021	
4500294109	O'CONNELL ELECTRIC CO 830 PHILLIPS RD VICTOR, NY 14564 US	TRANSMISSION LIFE EXTENSION SWITCHYARD PROJECT	C	B	5	N	N	1		10,408,277	4,873,546	1,352,585	5,534,731	2/7/2018	O	2/6/2022	
4500294199	VERTIV SERVICES INC 610 EXECUTIVE CAMPUS DR WESTERVILLE, OH 43082-8870 US	MAINTENANCE - UPS SYSTEM	S	2	1	N	N	1		66,920	66,920	22,307	0	12/27/2017	O	12/26/2021	
4500294703	BARRY KEIM KEIM CONSULTING LLC 7222 WICKHAM DR BATON ROUGE, LA 70808-5634 US	HURRICANE IRENE REANALYSIS	P	1	5	F	N	1		119,160	11,352	0	107,808	2/16/2018	O	12/31/2021	
4500294904	BERGMANN ASSOC ARCHITECTS ENGINEERS LANDSCAPE ARCHITECTS&SURVEYORS DPC 280 E BROAD ST - STE 200 ROCHESTER, NY 14604-1740 US	FERC 12 DAM SAFETY	A	2	8	N	N	3		221,428	28,300	0	193,128	1/1/2018	O	12/31/2022	
4500295537	SIMMERS CRANE DESIGN & SERVICES CO DBA FOR POLLOCK REASEARCH & DESIGN 1134 SALEM PKWY SALEM, OH 44460-1063 US	GANTRY CRANE BUS PARAPET UPGRADE PROGRAM	C	B		F	N	1	*	4,288,560	4,288,731	469,179	0	3/22/2018	O	3/21/2021	
4500296215	NORTHLINE UTILITIES LLC DBA FOR NORTHLINE VENTURES INC 15 SCHOOL LN - STE 200 AU SABLE FORKS, NY 12912 US	COMMUNICATION BACKBONE PROJECT	C	B	9	N	01	4		2,649,291	2,649,291	571,692	0	4/9/2018	C		3/18/2020
4500296984	MINIMAX FIRE SOLUTIONS INC 7455 LONGARD RD LIVERMORE, CA 94551-8238 US	DELUGE FIRE SUPPRESSION SYSTEM	C	B		F	N	2		640,116	637,129	232,955	2,987	4/26/2018	C		12/31/2020
4500297166	VEOLIA ES TECHNICAL SOLUTIONS LLC DBA FOR VEOLIA NORTH AMERICA INC 1275 MINERAL SPRINGS DR PORT WASHINGTON, WI 53074-2163 US	DISPOSAL OF ELECTRONIC WASTE	S	B		F	N	6		50,000	0	0	50,000	5/2/2018	C		12/30/2020
4500297437	M J BRADLEY & ASSOCIATES LLC 47 JUNCTION SQUARE DR CONCORD, MA 01742 US	DEVELOPMENT OF SUSTAINABILITY AND ENVIRONMENTAL JUSTICE PLAN	A	1	8	F	N	1		290,000	232,991	43,330	57,009	4/19/2018	O	5/9/2021	

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4500297522	PERRAS EXCAVATING INC 1909 ST HWY 420 MASSENA, NY 13662 US	DAM CONCRETE REHABILITATION PROJECT	C	B		N	N	2	*	522,101	522,133	0	0	12/31/2018	C		5/10/2020
4500297810	INNOVATIVE AUTOMATION INC 954 HERITAGE HIILS DR YORK, PA 17402 US	COMPLETION OF DEVELOPING NORTHERN REGION OPERATING PROCEDURES AND SYSTEM DESCRIPTIONS	A	2	1	F	N	1		550,000	546,879	170,475	3,121	3/20/2018	C		4/30/2020
4500297863	ORACLE AMERICA INC 1910 ORACLE WY RESTON, VA 20190-4733 US	MAINTENANCE - ORACLE	S	2	8	N	N	1		930,505	802,429	375,448	128,076	5/14/2018	O	3/31/2021	
4500297957	CUNY RESEARCH FOUNDATION 230 W 41ST ST FL 7 NEW YORK, NY 10036 US	DEVELOP TRAINING CURRICULUM FOR NEW YORK ENERGY MANAGER	P	2	8	N	N	1		50,000	28,500	13,500	21,500	6/15/2018	C		6/9/2020
4500298321	ADP LLC PO BOX 842875 BOSTON, MA 02284-2875 US	PAYROLL SERVICES	S	C		F	N	5		878,511	372,380	162,067	506,131	6/11/2018	O	6/10/2023	
4500298413	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	SUB-SYNCHRONOUS RESONANCE DETECTION PROJECT AT MSSC	E	2	8	F	N	1		973,721	895,843	29,750	77,878	6/12/2018	O	6/30/2021	
4500298432	GOMEZ AND SULLIVAN ENGINEERS DPC 288 GENESEE ST UTICA, NY 13502 US	FERC 12 DAM SAFETY	A	2	8	N	N	3		344,056	76,580	6,600	267,476	6/13/2018	O	1/31/2022	
4500298437	DELL MARKETING LP 850 ASBURY DR BUFFALO GROVE, IL 60089-4557 US	MICROSOFT LICENSING PRODUCTS NYPA	S	B	7	F	N	1		3,869,842	3,856,604	1,375,229	13,238	7/1/2018	O	6/30/2021	
4500298463	CHA CONSULTING INC III WINNERS CIRCLE ALBANY, NY 12205-0269 US	ENGINEERING AND DESIGN SERVICES SAINT LAWRENCE FDR POWER PLANT ELEVATED WATER STORAGE TANK REPLACEMENT PROJECT	A	B		N	N	4		283,600	202,720	79,235	80,880	6/13/2018	C		5/31/2020
4500298578	O'CONNELL ELECTRIC CO 830 PHILLIPS RD VICTOR, NY 14564 US	TLEM PLATTSBURGH SUBSTATION SERVICE ELECTRICAL EQUIPMENT INSTALLATION	C	B		N	N	2		3,631,955	3,252,268	1,485,271	379,687	6/21/2018	O	2/1/2022	
4500298619	ASCENDANT STRATEGY MANAGEMENT GROUP LLC 75 ARLINGTON ST FL 5 BOSTON, MA 02116-3936 US	PERFORMANCE MANAGEMENT SAAS	S	C		F	N	6		708,910	331,600	88,797	377,310	7/9/2018	O	7/8/2023	
4500298879	ROCKY MOUNTAIN INSTITUTE CARBON WAR ROOM 2490 JUNCTION PL STE 200 BOULDER, CO 80301-2167 US	CONSULTING SERVICES	P	2	8	F	N	1		950,000	525,866	71,536	424,134	7/2/2018	C		12/31/2020
4500298881	BLOUNT BOATS INC 461 WATER ST WARREN, RI 02885-3929 US	ICE BREAKER VESSEL	E	B		F	N	3		4,389,708	4,383,852	1,374,348	5,856	6/28/2018	C		10/30/2020
4500298959	MICHELS POWER INC DBA FOR M10 INC 1775 E SHADY LN NEENAH, WI 54956 US	COMMUNICATION BACKBONE GF-5 CONSTRUCTION PROJECT	C	B	8	F	N	3		3,124,433	3,124,433	26,215	0	6/29/2018	C		6/27/2020

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4500298975	CORPORATE EXECUTIVE BOARD 1919 NORHT LYNN ST ARLINGTON, VA 22209 US	CORPORATE EXECUTIVE BOARD PMO SUBSCRIPTION	S	1	9	F	N	1		102,900	102,900	35,300	0	7/1/2018	O	6/30/2021	
4500299251	CRYSTAL ROCK HOLDINGS INC CRYSTAL ROCK LLC 840 AERO DR CHEEKTOWAGA, NY 14225-1451 US	BOTTLED WATER AND DISPENSING UNITS	E	B	5	N	N	1		33,000	22,314	9,152	10,686	7/12/2018	O	7/11/2021	
4500299554	KENNY CONSTRUCTION COMPANY 2215 SANDERS RD STE 400 NORTHBROOK, IL 60062-6114 US	NERC CIP CYBER SECURITY UPGRADES	C	B		F	N	4		1,911,360	1,911,360	114,097	0	7/20/2018	C		6/1/2020
4500299651	J & J EQUIPMENT LLC 8913 TEREX DR BREWERTON, NY 13029-8450 US	TYMCO 600 SWEEPER RENTAL	E	B	5	N	N	2		28,350	18,150	9,450	10,200	7/24/2018	O	6/1/2021	
4500299841	XEROX CORPORATION PO BOX 660502 DALLAS, TX 75266-0502 US	LEASING OF THE V180B XEROX PRINTER, USAGE	H	B	7	N	N	1		380,012	63,603	29,845	316,409	8/10/2018	O	8/9/2023	
4500299863	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	PLATTSBURGH RELAY CABINETS	E	B		F	N	4		2,973,644	2,658,922	493,002	314,722	8/28/2018	O	7/31/2023	
4500300205	BRISTOL HARBOR GROUP INC 99 POPPASQUASH RD UNIT H BRISTOL, RI 02809-1018 US	CONTINUED DEVELOPMENT OF ICE BREAKING TUG FOR NEAR-TO-SHORE OPERATIONS IN THE LAKE ERIE-RIVER ICEBOOMS	A	1	8	F	N	1		110,348	110,346	38,946	2	8/3/2018	O	8/3/2021	
4500300477	MILLENNIUM MAINTENANCE & ELECTRICAL CONTRACTORS INC 64 FREEMAN ST BROOKLYN, NY 11222-1328 US	DCAS CROWN HEIGHTS LIGHTING UPGRADE	C	B	5	N	04	4		33,665	27,995	27,995	5,670	8/20/2018	C		8/16/2020
4500300595	GENSLER ARCHITECTURE DESIGN INC SUITE 400 10 NORTH PARK PLACE MORRISTOWN, NJ 07960 US	ARCHITECTURAL/MEP/IT/AV PROGRAMMING, CONCEPTUAL AND SCHEMATIC DESIGN SERVICES	A	2	8	F	N	1		687,694	563,209	110,361	124,485	10/18/2018	C		12/31/2020
4500300827	HINCKLEY ALLEN & SNYDER LLP 1000 WESTMINSTER ST STE 1500 PROVIDENCE, RI 02903 US	LEGAL SERVICES	L	2		N	N	1		25,000	2,418	183	22,582	8/29/2018	O	8/28/2021	
4500300828	SMIT TRANSFORMATOREN BV DBA FOR ROYAL SMIT TRANSFORMERS BV GROENESTRAAT 336 NIJMEGEN, 02 6531 JC NL	AUTO-TRANSFORMER	E	B		F	N	9		3,296,892	3,165,435	3,165,435	131,457	8/28/2018	C		12/31/2020
4500301031	E J OCONNELL SENSOR DEPLOYMENT JV 4641 VERNON BLVD LONG ISLAND CITY, NY 11101-5308 US	SENSOR DEPLOYMENT PROGRAM PHASE II	C	B		N	N	4		80,538,047	57,486,339	14,431,788	23,051,708	9/5/2018	O	9/4/2023	
4500301067	ARIBA INC 910 HERMOSA CT SUNNYVALE, CA 94085-4199 US	ARIBA VENDOR VETTING SAAS	I	B		F	N	10		493,000	303,000	95,000	190,000	9/5/2018	O	9/4/2023	

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4500301092	US GREEN BUILDING COUNCIL NY CHAP URBAN GREEN COUNCIL 55 BROAD ST FL 9 NEW YORK, NY 10004-2501 US	OPERATION AND MAINTENANCE TRAINING AND COACHING	P	2	3	N	N	1		33,000	33,000	8,500	0	8/31/2018	C		8/31/2020
4500301143	DOVETAIL PARTNERS INC 528 HENNEPIN AVE STE 703 MINNEAPOLIS, MN 55403-1814 US	RIGHT OF WAY (AUDIT)	S	1	8	N	N	1		36,000	22,500	2,500	13,500	9/7/2018	O	9/6/2023	
4500301364	C D PERRY LLC PO BOX 866 TROY, NY 12181-0866 US	VISCHER FERRY DEBRIS/ICE BOOM PROJECT	E	C		N	01	3		817,274	749,644	262,929	67,630	9/13/2018	C		6/30/2020
4500301674	GE GRID SOLUTIONS LLC 10 PALUSO DR CHARLEROI, PA 15022-1076 US	BREAKER, CIRCUIT, SPARES	E	B		F	N	2	*	122,943	123,385	123,385	0	9/24/2018	C		9/22/2020
4500301771	SCIPAR INC 26 W SPRING ST - PO BOX 400 BUFFALO, NY 14231-0400 US	GENERATION CONTROL SYSTEM (GCS) HMI	R	B		N	N	2		634,565	430,451	150,152	204,114	10/1/2018	C		9/30/2020
4500301879	BERGMANN ASSOC ARCHITECTS ENGINEERS LANDSCAPE ARCHITECTS&SURVEYORS DPC 280 E BROAD ST - STE 200 ROCHESTER, NY 14604-1740 US	BRIDGE REPLACEMENT STRUCTURAL CONDITION ASSESSMENT	A	B		N	N	2		680,900	469,777	58,677	211,123	9/28/2018	O	11/27/2021	
4500301917	O'BRIEN & GERE / DEWBERRY ENERGY SERVICES JOINT VENTURE 333 W WASHINGTON - STE 400 SYRACUSE, NY 13202-9202 US	OPERATION AND MAINTENANCE TRAINING AND COACHING	A	2	8	N	N	1		119,525	119,525	63,525	0	10/1/2018	O	9/30/2021	
4500302028	TRUVIEW BSI LLC 390 RXR PLAZA UNIONDALE, NY 11556-0390 US	BACKGROUND SECURITY SERVICES	S	B		N	02	6		1,943,865	1,646,452	481,068	297,413	8/1/2017	C		8/23/2020
4500302206	THREETECH ELECTRIC INC 7812 METROPOLITAN AVE MIDDLE VILLAGE, NY 11379-2965 US	LIGHTING UPGRADE FOR NYPD PRECINCT 77	C	B	5	N	04	3		76,200	63,690	30,370	12,510	10/12/2018	C		6/5/2020
4500302588	SAFESPAN SCAFFOLDING LLC 252 FILLMORE AVE TONAWANDA, NY 14150 US	SCAFFOLDING SERVICES CENTRAL REGION	E	2	8	N	N	1		80,000	12,348	4,352	67,652	12/6/2018	O	12/31/2021	
4500302927	USIC LOCATING SERVICES LLC DBA FOR LOCATE HOLDINGS INC 9045 RIVER RD STE 300 INDIANAPOLIS, IN 46240-6400 US	DIG SAFE SERVICES	A	B		N	N	2		694,000	0	0	694,000	11/1/2018	O	9/30/2023	
4500302962	CARAHSOFT TECHNOLOGY CORPORATION SUITE 100 1860 MICHAEL FARADAY DRIV RESTON, VA 20190 US	SOFTWARE, MAINTENANCE, TRAINING - EGRC	I	B	7	F	N	1		1,248,043	1,141,705	252,558	106,338	11/2/2018	O	11/1/2021	
4500303086	HARTMANN FINE ARTS SERV INC 321 WEST OLD YORK RD CARLISLE, PA 17015 US	BENTON MURALS REMOVAL AND CONSERVATION	C	B		F	N	3		211,015	179,579	55,625	31,436	11/9/2018	O	2/8/2021	

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4500303150	DEVELOPMENT AUTHORITY OF THE NORTH COUNTRY 317 WASHINGTON ST WATERTOWN, NY 13601 US	DARK FIBER MASTER LEASE AGREEMENT	S	1	8	N	N	1		1,061,004	1,061,004	0	0	10/1/2018	O	9/30/2038	
4500303181	MPREST SYSTEMS (2003) LTD 94 EM HAMOSHAVOT RD - PARK AZORIM KIRYAT ARIE PETACH TIKVA, 01 49130 IL	MAINTENANCE AGREEMENT FOR TRANSFORMER COMMAND AND CONTROL SYSTEM	R	2	8	F	N	1		760,252	274,500	137,250	485,752	11/8/2018	O	11/7/2023	
4500303394	SECURITAS ELECTRONIC SECURITY INC 3800 TABS DR UNIONTOWN, OH 44685-9564 US	SECURITY SYSTEM AT NYCDEP NEVERSINK TUNNEL OUTLET (NTO)	C	B	8	N	N	1		465,296	336,988	98,924	128,308	11/20/2018	C		11/19/2020
4500303444	ABB ENTERPRISE SOFTWARE I 180 CONSTELLATION DR STONEY CREEK, ON L8E 6B2 CA	REMOVE, REFURBISH, DELIVER, INSTALL GSU'S	E	B		F	N	1		4,524,330	769,500	0	3,754,830	7/1/2018	O	3/30/2021	
4500303648	MOEV INC 525 S HEWITT ST LOS ANGELES, CA 90013-2217 US	EV CHARGERS FOR THE GALLERIA PARKING GARAGE	E	2	5	F	N	1		66,269	26,300	0	39,969	11/28/2018	O	3/14/2026	
4500303845	TROUTMAN SANDERS LLP ATTORNEYS AT LAW 401 9TH ST NW - STE 1000 WASHINGTON, DC 20004-2146 US	LEGAL SERVICES	L	2		F	N	1		735,000	118,765	42,185	616,235	11/12/2018	O	11/11/2022	
4500303927	MELTWATER NEWS US INC 225 BUSH ST STE 1000 SAN FRANCISCO, CA 94104-4215 US	ANNUAL MELTWATER NEWSCLIPS SERVICES	S	2	6	N	N	1		31,375	25,500	500	5,875	2/10/2019	C		2/9/2020
4500304105	COVINGTON & BURLING LLP 1 FRONT ST SAN FRANCISCO, CA 94111 US	LEGAL SERVICES	L	2		N	N	1		31,250	26,250	20,000	5,000	8/1/2018	O	7/31/2021	
4500304389	LEIDOS ENGINEERING LLC 11951 FREEDOM DR RESTON, VA 20190-5640 US	OPGW DESIGN MARCY SOUTH	A	B		N	N	14		564,765	457,029	71,215	107,736	12/19/2018	O	7/22/2021	
4500304391	POWER ENGINEERS CONSULTING A PROFESSIONAL SERVICE CORP 3940 GLENBROOK DR HAILEY, ID 83333-8446 US	OPGW DESIGN MMS AND MSU	A	B		N	N	14		1,154,062	956,837	788,432	197,225	12/19/2018	O	12/31/2021	
4500304393	SNC LTD 100 GREAT OAKS BVLD STE 126 ALBANY, NY 12203-7914 US	OPGW DESIGN NATL	A	B		N	N	14		558,647	504,795	118,570	53,852	12/19/2018	O	12/31/2021	
4500304395	TRC ENGINEERS INC 215 GREENFIELD PKWY - STE 102 LIVERPOOL, NY 13088-6651 US	OPGW OWNERS ENGINEER	A	B		N	N	14		728,245	694,203	264,281	34,042	12/19/2018	O	12/31/2021	
4500304420	SUBSTATION ENGINEERING CO 300 MAIN ST STE 2 VESTAL, NY 13850-1545 US	OPGW DESIGN MOSES-WILLIS-PLATTSBURG (MWP)	A	B		N	N	14		294,988	249,760	102,817	45,228	12/19/2018	O	12/31/2021	
4500304422	SABRE INDUSTRIES INC 8653 E HIGHWAY 67 ALVARADO, TX 76009-4012 US	RM-AD MA1-MA2 STEEL POLE STRUCTURES AB CAGES	E	B		F	N	4		79,329,355	23,910,491	22,297,691	55,418,864	12/28/2018	O	12/27/2022	

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4500304447	ASPEN INC 49 N SAN MATEO DR SAN MATEO, CA 94401-2865 US	MAINTENANCE - ASPEN	I	1	6	F	N	1		19,146	19,146	0	0	11/1/2019	C		1/31/2020
4500304517	PERRAS EXCAVATING INC 1909 ST HWY 420 MASSENA, NY 13662 US	CONTROL ROOM RENOVATION	C	C		N	N	2		1,072,613	818,277	159,016	254,336	1/7/2019	O	5/31/2021	
4500304564	PUBLIC UTILITIES MAINTENANCE INC 212-26 99TH AVE QUEENS VILLAGE, NY 11429 US	TRANSMISSION TOWER PAINTING	C	B		N	N	3		4,378,211	2,220,816	207,335	2,157,395	1/7/2019	O	12/31/2021	
4500304592	KORRECT OPTICAL 3801 BISHOP LN LOUISVILLE, KY 40218-2905 US	PRESCRIPTION SAFETY EYEWEAR	E	B	5	F	N	2		11,000	10,046	3,469	954	1/1/2019	C		12/31/2020
4500304596	DIVAL SAFETY EQUIPMENT INC 1721 NIAGARA ST BUFFALO, NY 14207-3108 US	PRESCRIPTION SAFETY EYEWEAR	E	B	5	F	N	2		15,000	4,935	173	10,065	1/1/2019	C		12/31/2020
4500304699	IRIS POWER LP 3110 AMERICAN DR MISSISSAUGA, ON L4V 1T2 CA	PD, FLUX AND PARTIAL DISCHARGE ANALYSIS	E	B	8	F	N	2		100,000	22,476	0	77,524	1/3/2019	O	4/2/2021	
4500304948	NEW YORK UNIVERSITY 70 WASHINGTON SQUARE S NEW YORK, NY 10012 US	NYPA NYU ALLIANCE TO SUPPORT ADVANCED PILOTS OF NEW TECHNOLOGY AND BUSINESS MODELS	P	2	8	N	N	1		125,000	125,000	62,500	0	1/10/2019	C		1/9/2020
4500304968	SAVISION INC 320 DECKER DR STE 100 IRVING, TX 75062-4129 US	SAVISION - 1 SILVER INTEGRATION	I	1	5	F	N	1		6,600	6,600	0	0	1/10/2019	C		1/9/2020
4500304973	CARE SECURITY SYSTEM INC 9 HEMION RD MONTEBELLO, NY 10901-4928 US	DELTA BARRIER MAINTENANCE	E	B	5	N	N	1		49,000	29,970	7,115	19,030	1/10/2019	C		1/31/2020
4500304991	VOITH HYDRO INC 760 E BERLIN RD YORK, PA 17408-8701 US	VENTILATION ANALYSIS	R	2	8	N	N	1		121,000	121,000	121,000	0	3/5/2019	C		2/28/2020
4500305005	PRESCRIPTIVE DATA LLC 415 MADISON AVE FL 3 NEW YORK, NY 10017-7927 US	INSTALL REMOTE BUILDING ENERGY MONITORING SYSTEM	E	2		N	N	1		117,256	59,881	59,881	57,375	1/11/2019	O	12/31/2021	
4500305062	GENERAL ELECTRIC INTERNATIONAL INC 1 RIVER RD - BLDG 53-310 SCHENECTADY, NY 12305-2551 US	CONSULTING SERVICES	S	2	8	N	N	1		100,000	100,000	41,950	0	1/4/2019	C		1/31/2020
4500305074	ALLIANCE FOR SUSTAINABLE ENERGY LLC 15013 DENVER WEST PKWY GOLDEN, CO 80401-3111 US	TECHNICAL ADVISORY SERVICES	P	2	8	F	N	1		500,000	500,000	0	0	1/14/2019	O	1/13/2022	
4500305160	F & W FORESTRY SERVICES INC 80 PARK ST STE 4 TUPPER LAKE, NY 12986-1633 US	TREE ASSESSMENT	S	C	9	N	N	1		128,853	51,183	0	77,670	1/22/2019	C		1/21/2020
4500305184	WESPIRE INC 50 MILK ST FL 16 BOSTON, MA 02109-5002 US	MAINTENANCE - WESPIRE	I	1	8	F	N	1		50,498	43,102	0	7,396	1/16/2019	O	1/15/2021	

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4500305238	CDW GOVERNMENT INC 75 REMITTANCE DR - STE 1515 CHICAGO, IL 60675-1515 US	HP LAPTOPS	H	1	8	F	N	1		84,594	38,773	3,034	45,821	1/17/2019	C		1/16/2020
4500305239	GHA TECHNOLOGIES INC 8998 E RAINTREE DR SCOTTSDALE, AZ 85260-7024 US	HP LAPTOPS	H	1	8	F	N	1		76,736	76,736	0	0	1/17/2019	C		1/16/2020
4500305450	W B MASON CO INC 59 CENTRE ST - PO BOX 111 BROCKTON, MA 02303-0111 US	COPIER PAPER	S	1	6	N	N	1		15,147	3,260	0	11,887	1/24/2019	O	1/22/2021	
4500305455	DELOITTE CONSULTING LLP 4022 SELLS DR HERMITAGE, TN 37076-2903 US	NERC CIP-013 COMPLIANCE FOR SUPPLY CHAIN	P	B		N	N	10		1,630,000	1,630,000	908,785	0	2/4/2019	C		6/30/2020
4500305761	OPTIV SECURITY INC 1144 15TH ST STE 2900 DENVER, CO 80202-2571 US	PROOFPOINT DIGITAL RISK MODULE	I	1	8	F	N	1		57,935	57,935	0	0	1/31/2019	C		1/30/2020
4500305804	NEW YORK STATE TECHNOLOGY ENTERPRISE CORP 99 OTIS ST #2 ROME, NY 13441-4713 US	WIRELESS BACKBONE PROGRAM PRELIMINARY DESIGN SUPPORT	P	B	7	N	N	1		238,732	237,695	87,474	1,037	2/6/2019	C		2/5/2020
4500305832	UNITED RENTALS (NORTH AMERICA) INC UNITED RENTALS 7178 SCHUYLER RD EAST SYRACUSE, NY 13057-9743 US	PORTABLE GENERATOR RENTAL	E	B		N	N	5		80,200	78,400	30,800	1,800	2/4/2019	C		7/2/2020
4500305893	CDW COMPUTER CENTER INC CDW GOV'T SALES 200/230 N MILWAUKEE AVE VERNON HILLS, IL 60061 US	LICENSES - ADOBE	I	B	7	F	N	1		73,114	73,114	0	0	2/22/2019	C		2/21/2020
4500305904	NORTHEAST UNIFORM SERVICES INC PO BOX 14 YORKVILLE, NY 13495-0014 US	SECURITY UNIFORMS	E	B	5	N	01	1		5,160	3,791	0	1,369	4/1/2019	C		3/31/2020
4500305925	HITACHI T & D SOLUTIONS INC 7250 MCGINNIS FERRY RD SUWANEE, GA 30024-1245 US	HITACHI FIELD ENGINEER 1 SUPPORT	S	1	8	F	N	1		130,540	60,200	0	70,340	2/6/2019	C		12/31/2020
4500306024	COMPULINK TECHNOLOGIES INC 260 W 39TH ST - STE 302 NEW YORK, NY 10018-4434 US	MAINTENANCE - UPTRENDS SOFTWARE	S	B	6	N	04	3		6,795	6,795	0	0	1/26/2019	C		1/25/2020
4500306056	FILCO CARTING CORP 197 SNEDIKER AVE BROOKLYN, NY 11207-3320 US	RUBBISH REMOVAL	S	B	8	N	N	1		80,000	57,806	28,810	22,194	2/14/2019	C		2/13/2020
4500306070	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	MAINTENANCE - CITRIX	S	B	7	N	N	4		25,355	25,355	0	0	2/20/2019	C		2/19/2020
4500306087	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	MAINTENANCE - DUO	I	B		F	N	5		275,400	275,400	0	0	1/15/2019	C		1/14/2020

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4500306270	TOFFLER ASSOCIATES INC STE 410 4301 WILSON BVLD ARLINGTON, VA 22203-4419 US	CONSULTING SERVICES	P	2	8	F	N	1		919,419	855,750	92,522	63,669	2/15/2019	C		2/14/2020
4500306282	JOHNSON CONTROLS INC 130 JOHN MUIR DR - STE 100 AMHERST, NY 14228-1139 US	MAINTENANCE - SECURITY SYSTEMS	S	B	7	N	N	1		266,900	266,900	0	0	3/1/2019	C		2/29/2020
4500306308	THREETECH ELECTRIC INC 7812 METROPOLITAN AVE MIDDLE VILLAGE, NY 11379-2965 US	NYC TRANSIT FACILITY LIGHTING UPGRADE	C	B		N	04	4		211,269	190,162	6,106	21,107	2/19/2019	C		2/17/2020
4500306381	C D PERRY LLC PO BOX 866 TROY, NY 12181-0866 US	FLOATING BOAT BARRIERS	E	B		N	01	4		1,797,028	1,240,600	142,600	556,428	2/20/2019	O	6/30/2021	
4500306488	BVR CONSTRUCTION CO INC 8 KING RD CHURCHVILLE, NY 14428 US	DECK REHABILITATION	C	B		N	N	2		4,590,871	4,590,596	1,808,357	275	2/25/2019	O	5/31/2021	
4500306514	VOITH HYDRO INC 760 E BERLIN RD YORK, PA 17408-8701 US	HEADGATE SYSTEM UPGRADE PROJECT	E	2	8	F	N	1		160,000	100,900	100,900	59,100	2/26/2019	C		2/25/2020
4500306563	BASSON TRADING LLC DBA ALADON 908 RABBIT RUN WILMINGTON, NC 28409-2206 US	ALADON SOFTWARE AND IMPLEMENTATION SERVICES	I	1	8	F	N	1		375,000	375,000	0	0	2/27/2019	C		2/26/2020
4500306568	SIEMENS INDUSTRY INC 85 NORTHPOINTE PKWY - STE 8 AMHERST, NY 14228-1886 US	SIEMENS SERVICE BLDG AUTOMATION SYSTEM	S	B	5	N	N	1		24,944	24,944	6,236	0	3/1/2019	C		2/28/2020
4500306784	LEAD DATA TECHNOLOGIES INC PO BOX 295 NANUET, NY 10954-0295 US	NGTP BLADES	E	B	6	N	N	1		13,502	13,502	0	0	3/5/2019	C		3/4/2020
4500306810	TRANE U S INC TRANE 4518 COURT SQ LONG ISLAND CITY, NY 11101-2955 US	TRANE SERVICE AGREEMENT AND CHILLER EQUIPMENT OVERHAULS	S	B	7	N	N	1		128,420	100,688	88,289	27,732	3/6/2019	C		3/5/2020
4500306922	RADIANT RESOURCES 1913 ATLANTIC AVE STE 119 MANASQUAN, NJ 08736-1070 US	SPLUNK PHANTON SOFTWARE INCLUDING IMPLEMENTAION	I	B	7	F	03	2		242,700	242,700	0	0	3/1/2019	C		2/28/2020
4500306936	REIGN MAKER VISUAL COMMUNICATIONS REIGN MAKER 248 ROBISCH HILL RD CALLICOON, NY 12723-5736 US	CONSULTING SERVICES	P	M	5	N	03	1		25,000	25,000	0	0	3/11/2019	C		4/17/2020
4500306938	KATTEN MUCHIN ROSEMAN LLP 575 MADISON AVE NEW YORK, NY 10022-8508 US	LEGAL SERVICES	L	2		N	N	1		675,000	543,466	307,946	131,534	1/14/2019	O	1/13/2021	
4500306973	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	MAINTENANCE - ENTERPRISE OPERATIONS MGR	S	B	7	N	N	3		27,124	27,124	0	0	5/1/2019	C		4/30/2020

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4500307056	SIRC SOFTWARE INFORMATION RESOURCE CORP 730 24TH ST NW STE 3 WASHINGTON, DC 20037-2500 US	MAINTENANCE - TABLEAU SERVER	S	B	7	F	N	2		64,771	64,771	0	0	3/16/2019	C		3/15/2020
4500307147	LOPEZ & ASSOCIATES INC 60 CUTTERMILL RD SUITE 100-J GREAT NECK, NY 11021-3104 US	TRAINING	P	1		N	N	1		310,000	88,553	58,810	221,447	8/21/2018	O	8/20/2023	
4500307157	RED HAWK FIRE & SECURITY (NY) LLC 6 SKYLINE DR STE 110 HAWTHORNE, NY 10532-8103 US	FIRE ALARM SYSTEM INSPECTION	S	B	7	N	N	1		42,480	33,590	3,922	8,890	3/15/2019	C		3/14/2020
4500307184	SHI INTERNATIONAL CORP 290 DAVIDSON AVE SOMERSET, NJ 08873-4145 US	SOFTWARE SUPPORT	I	B	5	N	N	3		5,383	5,383	0	0	3/28/2019	C		3/27/2020
4500307188	JB EXCELERATION LLC 7 WINDING BROOK DR SARATOGA SPRINGS, NY 12866-6488 US	BATTERY CHARGING SYSTEM	E	B		N	04	3		177,910	174,910	29,547	3,000	3/15/2019	C		1/30/2020
4500307214	COMPULINK TECHNOLOGIES INC 260 W 39TH ST - STE 302 NEW YORK, NY 10018-4434 US	TEMPERATURE SENSORS	I	B	6	N	04	3		9,220	9,220	0	0	3/18/2019	C		3/17/2020
4500307218	TRITON BUILDERS INC 645 BROADWAY - STE T AMITYVILLE, NY 11701-2118 US	FENCE MAINTENANCE	S	B	8	N	03	2		200,000	51,431	0	148,569	3/18/2019	C		3/19/2020
4500307226	MONTEIRO ENDEAVORS LLC DBA FOR DANIEL MONTEIRO 37 N ORANGE AVE STE 500 ORLANDO, FL 32801-2459 US	LICENSE - AMORTEXT USER SOFTWARE	I	B	6	F	N	2		9,878	9,878	0	0	3/18/2019	C		3/17/2020
4500307259	GENERAL ELECTRIC INTERNATIONAL INC 1 RIVER RD - BLDG 53-310 SCHENECTADY, NY 12305-2551 US	GE MULTI AREA PRODUCTION SIMULATION (MAPS)	I	1	8	N	N	1		122,840	122,840	0	0	1/21/2019	C		1/20/2020
4500307356	TILLOTSON DESIGN ASSOCIATES INC 40 WORTH ST STE 703 NEW YORK, NY 10013 US	LIGHTING UPGRADE AT LINCOLN CENTER	A	M	8	N	03	1		156,000	67,625	15,900	88,375	3/20/2019	C		3/18/2020
4500307367	TWINSTATE TECHNOLOGIES DBA FOR TWINSTATE/VOICE DATA VID IN 291 RAND HILL RD MORRISONVILLE, NY 12962-3216 US	MAINTENANCE - SOPHOS	S	B	7	N	03	3		85,625	85,625	0	0	3/31/2019	C		3/30/2020
4500307498	SIEMENS INDUSTRY INC 10900 WAYZATA BLVD - STE 400 MINNETONKA, MN 55305-5602 US	FIELD PANEL UPGRADES	E	B	7	N	N	1		585,122	567,568	374,679	17,554	3/25/2019	C		3/24/2020
4500307566	CHRISTIE DIGITAL SYSTEMS USA INC 10550 CAMDEN DR CYPRESS, CA 90630-4600 US	NEW YORK ENERGY ZONE THEATER AND FILM PACKAGE	E	B		F	N	2		2,229,689	1,553,793	807,796	675,896	3/28/2019	O	3/27/2021	

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4500307592	CINTAS CORP NO 2 5740 GENESEE ST LANCASTER, NY 14086-9734 US	FLOOR MAT AND URINAL MAT RENTAL/SERVICE	E	B	5	N	N	1		24,500	17,112	5,771	7,388	4/6/2019	C		4/5/2020
4500307621	ARTICULATE GLOBAL INC 244 5TH AVE STE 2960 NEW YORK, NY 10001 US	MAINTENANCE - ARTICULATE 360	S	1	6	N	N	1		8,638	8,638	0	0	4/3/2019	C		4/2/2020
4500307716	DATASPLICE LLC 414 E OAK ST FORT COLLINS, CO 80524-2950 US	LICENSE, MAINTENANCE, TRAINING - DATASPLICE	I	B	7	F	N	1		429,347	321,675	61,896	107,672	3/29/2019	C		3/28/2020
4500307719	KOFAX INC 15211 LAGUNA CANYON RD IRVINE, CA 92618-3146 US	MAINTENANCE - READSOFT PROCESS DIRECTOR	S	1	6	N	N	1		19,698	19,698	0	0	5/1/2019	C		4/30/2020
4500307720	KOFAX INC 15211 LAGUNA CANYON RD IRVINE, CA 92618-3146 US	MAINTENANCE - READSOFT CUSTOMIZATION	S	1	6	N	N	1		17,983	17,983	0	0	5/1/2019	C		4/30/2020
4500307723	PIEDMONT HOIST & CRANE INC #345 789 PRE-EMPTION RD - PO BOX 41 GENEVA, NY 14456-2069 US	CRANE JIB FOR 500 TON CRANE	E	B	5	N	N	3		17,900	13,725	13,725	4,175	4/1/2019	O	12/31/2021	
4500307745	EMERGENCY ONE DBA FOR ANDERSON MEDICAL PC 40 HURLEY AVE KINGSTON, NY 12401-3738 US	OCCUPATIONAL HEALTHCARE SERVICES	S	B		N	04	2		368,850	341,350	146,800	27,500	4/1/2019	C		12/31/2020
4500307750	RED WING BUSINESS ADVANTAGE ACCOUNT DBA FOR MULTI SERVICE TECH SOLUTION 6354 TRANSIT RD DEPEW, NY 14043-1072 US	SAFETY FOOTWEAR	E	B	7	F	N	3		20,000	16,087	848	3,913	6/3/2019	C		6/2/2020
4500307766	FLOW SCIENCE INC 683 HARKLE RD - STE A SANTA FE, NM 87505-4750 US	MAINTENANCE - SOFTWARE	I	1	5	F	N	1		21,160	21,160	0	0	5/15/2019	C		5/14/2020
4500307878	CIVIL AND ENVIROMENTAL CONSULTANTS OF NEW YORK INC 908 NIAGARA FALLS BVLD NORTH TONAWANDA, NY 14120-2019 US	ZEBRA MUSSEL TESTING SERVICES	S	B	5	N	N	2		15,000	13,500	0	1,500	6/1/2019	C		5/31/2020
4500307965	RAMBOLL AMERICAS ENGINEERING SOLUTIONS INC 333 W WASHINGTON ST - STE 610 SYRACUSE, NY 13202-9203 US	ELECTRICAL RELIABILITY STUDY	A	B		N	N	8		1,059,803	630,826	98,345	428,977	4/8/2019	O	4/7/2022	
4500307979	DIVAL SAFETY EQUIPMENT INC 1721 NIAGARA ST BUFFALO, NY 14207-3108 US	SAFETY FOOTWEAR	E	B	5	F	N	3		15,000	13,875	595	1,125	6/3/2019	C		6/2/2020
4500308008	OPEN TEXT INC 2950 S DELAWARE ST SAN MATEO, CA 94403-2199 US	MAINTENANCE - STREAMSERVE	S	1	6	N	N	1		32,067	32,067	0	0	5/1/2019	C		4/30/2020

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4500308015	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	230 KV BUSHINGS	E	B		F	N	3		906,610	113,326	113,326	793,284	6/4/2019	O	9/1/2021	
4500308022	GE DIGITAL LLC DBA FOR GENERAL ELECTRIC CO 41 FARNSWORTH ST BOSTON, MA 02210-1236 US	GLOBALCARE SUPPORT SERVIVES	S	1	5	F	N	1	*	27,175	27,176	0	0	4/27/2019	C		4/26/2020
4500308026	KORRECT OPTICAL 3801 BISHOP LN LOUISVILLE, KY 40218-2905 US	PRESCRIPTION SAFETY EYEWEAR	E	B	5	F	N	1		21,000	17,527	6,591	3,473	4/9/2019	C		8/11/2020
4500308031	DIRECTOR'S DESK LLC ONE LIBERTY PLAZA - 49TH FL NEW YORK, NY 10006-1404 US	DIRECTOR'S DESK ANNUAL SUBSCRIPTION	S	1	6	N	N	1		23,819	23,819	0	0	1/31/2019	C		1/30/2020
4500308174	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	LICENSE - CATALYST	I	B	6	F	N	4		5,670	5,670	0	0	4/12/2019	C		4/11/2020
4500308180	W W GRAINGER INC 6285 E MOLLOY RD EAST SYRACUSE, NY 13057 US	SAFETY FOOTWEAR	E	B	5	F	N	3		7,000	5,688	0	1,312	6/3/2019	C		6/2/2020
4500308198	ONSOLVE INTERMEDIATE HOLDING CO ONSOLVE LLC 780 W GRANADA BLVD ORMOND BEACH, FL 32174 US	MAINTENANCE - SMART NOTICE	S	1	6	N	N	1		16,000	16,000	0	0	3/22/2019	C		3/21/2020
4500308199	SIEMENS INDUSTRY INC 400 STATE ST SCHENECTADY, NY 12305-2304 US	MAINTENANCE - SIEMENS PSS MUST	S	1	6	N	N	1		25,350	25,350	0	0	5/18/2019	C		5/17/2020
4500308200	MTS INTEGRA TRAK INC 5041 DALLAS HIGHWAY STE 300 POWDER SPRINGS, GA 30127 US	MAINTENANCE - TELECOMM SYSTEM SERVICES	S	B	7	N	N	1		14,615	14,615	0	0	5/1/2019	C		4/30/2020
4500308208	SAF-GARD SAFETY SHOE CO 1285 MANHEIM PIKE LANCASTER, PA 17601 US	SAFETY FOOTWEAR	E	B	5	F	N	4		6,000	5,351	1,446	649	4/15/2019	C		6/2/2020
4500308366	EC AMERICA INC 8444 WESTPARK DR STE 200 MCLEAN, VA 22102-5112 US	LICENSE - BLUE PRISM	I	B	7	F	N	1		19,910	19,910	0	0	4/22/2019	C		4/29/2020
4500308367	DORITEX CORP 11980 WALDEN AVE ALDEN, NY 14004-9709 US	SORBENT RUGS AND INDUSTRIAL WIPERS SERVICE AGREEMENT	S	B		N	N	2		95,005	93,323	26,910	1,682	4/18/2019	C		4/17/2020
4500308444	E K WARD & ASSOCIATES PO BOX 630 WILLIAMSVILLE, NY 14231-0630 US	TRAINING SERVICES	P	M	8	N	N	1		163,309	99,714	26,053	63,595	5/3/2019	C		5/2/2020
4500308464	N C C SYSTEMS INC PO BOX 670 POTSDAM, NY 13676 US	FIRE EXTINGUISHERS	E	B	5	N	02	1		23,169	21,035	14,356	2,134	5/20/2019	C		6/23/2020

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4500308472	BC CLEANING DBA FOR BOGASIAN CARPET CO INC 70 WILLOW ST MASSENA, NY 13662-1576 US	SAFETY RUGS	E	B	5	N	01	1		35,000	27,095	19,521	7,905	4/22/2019	C		12/31/2020
4500308521	CARAHSOFT TECHNOLOGY CORPORATION SUITE 100 1860 MICHAEL FARADAY DRIV RESTON, VA 20190 US	SOFTWARE SUBSCRIPTION SERVICES	I	B	7	F	N	1		19,756	19,756	0	0	3/30/2019	C		3/31/2020
4500308551	WATSON ELECTRIC INC 431 DOUGLAS RD NORWOOD, NY 13668-3125 US	LED LIGHTING	C	2	8	N	N	1		199,136	199,136	61,089	0	4/25/2019	C		4/24/2020
4500308559	ELECTRIC CAR INSIDER DBA FOR CHRISTOPHER ALAN 9740 CAMPO RD SPRING VALLEY, CA 91977-1415 US	ELECTRIC CAR DEMONSTRATIONS	P	2		F	N	1		269,650	260,150	0	9,500	5/1/2019	C		4/30/2020
4500308587	UNITED RENTALS (NORTH AMERICA) INC UNITED RENTALS 7178 SCHUYLER RD EAST SYRACUSE, NY 13057-9743 US	TOILET RENTAL	E	B	5	N	N	1		127,820	84,470	65,940	43,350	4/27/2019	O	4/26/2021	
4500308641	BAKER HUGHES HOLDINGS LLC NEXUS CONTROLS LLC 1800 NELSON RD LONGMONT, CO 80501-6324 US	CAP AND TSA RENEWAL	I	1	8	F	N	1		133,462	133,462	0	0	4/26/2019	C		4/25/2020
4500308646	KAMAN AUTOMATION INC 1000 UNIVERSITY AVE STE 800 ROCHESTER, NY 14607-1286 US	DACS MAINTENANCE AND SUPPORT SERVICES	S	1	8	N	N	1		74,400	74,005	42,805	395	4/30/2019	C		4/29/2020
4500308685	FOX FENCE INC 2637 LOCKPORT RD NIAGARA FALLS, NY 14305 US	FENCE/GATE MAINTENANCE AND REPAIR SERVICES	S	B	5	N	01	1		37,500	36,806	24,704	694	4/30/2019	C		4/29/2020
4500308686	HOFFMAN BOOTS INC 100 EAST RIVERSIDE AVE KELLOGG, ID 83837-2362 US	SAFETY FOOTWEAR	E	B	5	F	N	5		15,000	10,633	225	4,367	4/29/2019	C		6/2/2020
4500308749	KESTREL POWER ENGINEERING LLC 9126 N 2150 EAST RD FAIRBURY, IL 61739-9204 US	FIELD TESTS	S	1	5	F	N	1		43,525	39,975	30,600	3,550	4/30/2019	C		1/14/2020
4500308751	GOMEZ AND SULLIVAN ENGINEERS DPC 288 GENESEE ST UTICA, NY 13502 US	FERC PART 12 SAFETY INSPECTION	A	B		N	N	4		656,965	111,600	59,292	545,365	4/30/2019	O	12/31/2024	
4500308766	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	MAINTENANCE - F5 BIG-IP	S	B	7	N	N	1		71,048	71,048	0	0	4/24/2019	C		4/23/2020

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4500308842	DEVELOPMENT AUTHORITY OF THE NORTH COUNTRY 317 WASHINGTON ST WATERTOWN, NY 13601 US	CO-LOCATION	T	B			N	N	1		4,995,956	538,485	249,773	4,457,471	11/1/2018	O	10/31/2038	
4500308853	CDW LLC CDW GOVERNMENT LLC, CDW GOVERNMENT 230 N MILWAUKEE AVE VERNON HILLS, IL 60061-4304 US	LICENSE - COFENSE	I	B	6	F	N	3		21,213	21,213	0	0	5/15/2019	C		5/14/2020
4500308903	TRACEY ROAD EQUIPMENT INC 6803 MANLIUS CENTER RD EAST SYRACUSE, NY 13057-3904 US	FELLING XF-70-2 HDG DETACHABLE GOOSENECK TRAILER	E	B	7	N	N	2		82,081	82,081	82,081	0	5/6/2019	C		3/5/2020
4500308939	SMARTUSE SOLUTIONS INC 45 PLACE CHARLES-LE MOYNE #105 LONGUEUIL, PQ J4K 5G5 CA	SMARTUSE ANNUAL SUBSCRIPTION	E	2	8	F	N	1		158,463	158,463	58,713	0	1/1/2019	C		7/15/2020
4500309092	CARAHSOFT TECHNOLOGY CORP 11493 SUNSET HILLS RD STE 100 RESTON, VA 20190-5328 US	AVEPOINT DOCAVE FOR SHAREPOINT AND OFFICE 365	I	B	7	F	N	1		34,664	34,664	0	0	5/12/2019	C		5/11/2020
4500309115	JMT OF NEW YORK INC 307 SOUTH TOWNSEND ST SYRACUSE, NY 13202-2138 US	BRIDGE INSPECTION	A	B			N	N	2		65,490	65,490	65,490	0	5/1/2019	C		4/30/2020
4500309160	WARTSILA CANADA INC 1771 SAVAGE RD RICHMOND, BC V6V 1R1 CA	MARINE VESSEL PROPELLER SHAFTS	E	B			F	N	1		256,843	256,843	256,843	0	5/13/2019	C		12/30/2020
4500309177	AUTOMOTIVE RENTALS INC 40001 LEADENHALL RD MOUNT LAUREL, NJ 08054-4611 US	FLEET EQUIPMENT MAINTENANCE	S	B	7	F	N	1		400,000	214,561	66,198	185,439	5/13/2019	C		5/10/2020
4500309179	W B MASON CO INC 59 CENTRE ST - PO BOX 111 BROCKTON, MA 02303-0111 US	COPIER PAPER	E	B	7	N	N	1		32,276	21,066	7,584	11,210	5/13/2019	C		5/12/2020
4500309192	GLOBALSTAR INC GLOBALSTAR USA LLC 461 S MILPITAS BLVD MILPITAS, CA 95035-5485 US	GLOBALSTAR PHONE SERVICES	S	1	8	F	N	1		90,187	90,187	4,230	0	4/16/2019	C		4/15/2020
4500309259	THREETECH ELECTRIC INC 7812 METROPOLITAN AVE MIDDLE VILLAGE, NY 11379-2965 US	DCAS BUSHWICK HEALTH CENTER LIGHTING	C	B			N	04	5		83,620	68,280	68,280	15,340	5/16/2019	O	5/16/2021	
4500309264	THREETECH ELECTRIC INC 7812 METROPOLITAN AVE MIDDLE VILLAGE, NY 11379-2965 US	LIGHTING UPGRADE AT JAMAICA HEALTH CENTER	C	B			N	04	5		98,555	0	0	98,555	5/17/2019	C		5/16/2020
4500309317	REINHAUSEN MANUFACTURING INC 2549 N 9TH AVE HUMBOLDT, TN 38343-1747 US	AUTO-TRANSFORMER MAINTENANCE	A	2	5	F	N	1		48,708	16,243	16,243	32,465	5/16/2019	C		11/20/2020

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4500309434	THE FRIENDS OF THE ROBERT MOSES STATE PARK NATURE CENTER INC PO BOX 408 MASSENA, NY 13662-0408 US	NICANDRI NATURE CENTER O AND M	S	2	3	N	N	1		500,000	448,650	150,650	51,350	5/21/2019	C		3/31/2020
4500309449	SAP PUBLIC SERVICES INC RONALD REAGAN BLDG / ITC 3999 WEST CHESTER PIKE NEWTOWN SQUARE, PA 19073-2305 US	MOSAIC WORKFORCE ANALYTICS IMPLEMENTATION	P	1	8	F	N	1		108,480	22,138	7,563	86,342	5/27/2019	O	7/31/2021	
4500309480	UTILITY PROGRAMS & METERING II INC DBA UTILIVISOR 135 W 36TH ST - 7TH FL NEW YORK, NY 10018-6999 US	SOFTWARE FOR CONTINUOUS ENERGY OVERSIGHT OF THE CHILLER AND BOILER PLANT	E	M		N	N	1		86,740	47,050	20,790	39,690	5/28/2019	O	12/31/2022	
4500309568	CROWN CASTLE INTERNATIONAL CORP CROWN CASTLE FIBER LLC 80 CENTRAL ST STE 200 BOXBOROUGH, MA 01719-1245 US	COMMUNICATIONS BACKBONE PROGRAM	T	B		F	N	1		2,255,000	0	0	2,255,000	5/30/2019	O	5/29/2039	
4500309572	NEW YORK STATE TECHNOLOGY ENTERPRISE CORP 99 OTIS ST #2 ROME, NY 13441-4713 US	PDV WIRELESS EXECUTIVE REPORT AND AD-HOC ENGINEERING SCOPE	A	B	7	N	N	1		39,822	10,736	5,530	29,086	5/1/2019	C		5/31/2020
4500309580	ENTERPRISE HOLDINGS INC DBA ENTPERPRISE RENT A TRUCK 1320 BROOKS AVE ROCHESTER, NY 14624-3116 US	RENTAL OF 2 SUV AWD VEHICLES FOR TOWER PAINTING PROJECT	E	B	5	N	N	2		21,893	20,011	11,436	1,882	5/24/2019	C		4/22/2020
4500309586	POWERGEM LLC 632 PLANK RD - STE 101 CLIFTON PARK, NY 12065-4883 US	LICENSE - TARA SOFTWARE	I	1	6	N	N	1		43,000	43,000	0	0	6/1/2019	C		5/31/2020
4500309588	SELBY & SMITH INC 1074 BROADWAY ALBANY, NY 12204-2507 US	HVAC DUCTWORK AND HARDWARE	C	2	5	N	N	1		21,235	19,740	19,740	1,495	5/28/2019	C		4/30/2020
4500309639	OLA CONSULTING ENGINEERS PC 50 BROADWAY HAWTHORNE, NY 10532 US	DATA CENTER STANDBY COOLING SYSTEM	A	2	5	N	N	1		36,000	34,300	6,800	1,700	5/17/2019	C		5/28/2020
4500309692	MATHWORKS INC 3 APPLE HILL DR NATICK, MA 01760-2098 US	MAINTENANCE - MATLAB	I	1	5	F	N	1		17,028	17,028	0	0	7/1/2019	C		6/30/2020
4500309694	JAMES H MALOY INC 421 ALBANY SHAKER RD - PO BOX 11016 LOUDONVILLE, NY 12211-1815 US	FLASHBOARD REMOVAL AND INSTALLATION SERVICES	C	B		N	01	2		1,380,350	131,000	0	1,249,350	5/30/2019	C		3/30/2020
4500309757	SOURCE IT TECHNOLOGIES LLC KARA HOMAN 24 EAST AVE - STE 244 NEW CANAAN, CT 06840-5529 US	MAINTENANCE - ZOOM	S	B	6	N	03	2		11,580	11,580	0	0	6/2/2019	C		6/1/2020

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4500309767	SCIPAR INC 26 W SPRING ST - PO BOX 400 BUFFALO, NY 14231-0400 US	VDS MAINTENANCE AND SUPPORT SERVICES	S	1	8	N	N	1		90,000	64,761	32,381	25,239	6/3/2019	C		6/2/2020
4500309795	BLOOMVILLE DISPOSAL SERVICE DBA FOR G HAYNES HOLDINGS INC 51971 STATE HWY 10 BLOOMVILLE, NY 13739 US	RUBBISH REMOVAL	S	B	5	N	01	4	*	40,000	40,001	23,937	0	7/1/2019	C		6/30/2020
4500309835	COMPULINK TECHNOLOGIES INC 260 W 39TH ST - STE 302 NEW YORK, NY 10018-4434 US	MAINTENANCE - ACRONIS	S	B	6	N	04	2		8,730	8,730	0	0	5/31/2019	C		5/30/2020
4500309838	CON TECH BUILDING SYSTEMS INC 4524 STATE HIGHWAY 58 GOUVERNEUR, NY 13642-4309 US	FUEL	C	B		N	N	2		8,039,226	4,540,021	3,096,260	3,499,205	6/4/2019	O	6/3/2022	
4500309877	DELL MARKETING LP C/O DELL USA LP ONE DELL WAY MS RR3-58 ROUND ROCK, TX 78664-7000 US	LICENSE RENEWAL - ADOBE CREATIVE CLOUD	S	B	7	F	N	1		26,318	26,318	0	0	6/5/2019	C		6/4/2020
4500309906	SUBMERSIVE MEDIA LLC 37 EAST 28TH ST STE 302 NEW YORK, NY 10016-7935 US	DIGITAL MARKETING SERVICES	P	B		N	N	7		500,000	234,868	166,682	265,132	6/28/2019	O	6/27/2024	
4500309911	COMPULINK TECHNOLOGIES INC 260 W 39TH ST - STE 302 NEW YORK, NY 10018-4434 US	MAINTENANCE - NETSCOUT	S	B	6	N	04	3		15,609	15,609	0	0	6/1/2019	C		5/31/2020
4500310020	ALIANZA SERVICES LLC 74 N BROADWAY - 2ND FL SOUTH NYACK, NY 10960-2628 US	OFFICE FURNITURE	E	B	7	N	04	1		24,297	24,297	24,297	0	6/10/2019	C		1/6/2020
4500310036	BRENNTAG NORTH AMERICA INC BWE-LLC (NOCO LUBRICANTS) 42 RUMSEY RD EAST HARTFORD, CT 06108-1133 US	TURBINE OIL	E	B	8	F	N	1		230,638	170,748	108,872	59,890	6/10/2019	O	12/31/2021	
4500310042	ACLARA TECHNOLOGIES LLC DBA FOR METER READINGS HOLDING LLC 77 WEST PORT PLZ DR STE 500 ST LOUIS, MO 63146-3126 US	MAINTENANCE - ACLARA	S	1	8	F	N	1		72,613	72,613	0	0	4/1/2019	C		3/31/2020
4500310092	WEBSMART CHEVROLET LLC 5049 W RIDGE RD SPENCERPORT, NY 14559-1107 US	2020 CHEVROLET COLORADO ZR2	E	B	7	N	N	3		40,722	40,722	40,722	0	6/11/2019	C		1/2/2020
4500310120	AIRGAS USA LLC DBA FOR AIRGAS INC 96 CR8 BRUSHTON, NY 12916 US	PROPANE, CYLINDER	E	2	1	N	N	1		8,950	5,708	3,780	3,242	6/12/2019	C		9/27/2020
4500310123	SCALABLE NETWORK TECHNOLOGIES INC 6059 BRISTOL PKWY STE 200 CULVER CITY, CA 90230-6624 US	MAINTENANCE - EXATA COMMUNICATIONS EMULATOR	S	1	6	F	N	1		23,800	23,800	0	0	7/10/2019	C		7/9/2020

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4500310186	MAIN MOTORCAR HOWELL & PIERSON INC 224 W MAIN ST JOHNSTOWN, NY 12095 US	CHRYSLER PACIFICA HYBRID TOURING PLUS VEHICLES (3)	E	B	7	N	N	1		103,041	103,041	103,041	0	6/13/2019	C		5/26/2020
4500310201	SITECORE USA INC 2320 MARINSHIP WAY SAUSALITO, CA 94965-2812 US	LICENSE - SITECORE CONTENT MANAGEMENT	E	2		F	N	1	*	165,263	165,263	65,630	0	6/13/2019	O	6/30/2021	
4500310252	MICROSOFT CORP 3000 BAYPORT DR - STE 480 TAMPA, FL 33607 US	MAINTENANCE - MICROSOFT	S	B	7	N	N	1		153,265	153,265	0	0	6/28/2019	C		6/27/2020
4500310293	HITACHI T & D SOLUTIONS INC 7250 MCGINNIS FERRY RD SUWANEE, GA 30024-1245 US	HITACHI STOCK ITEMS	E	B	6	F	N	4		125,628	125,628	125,628	0	6/17/2019	C		2/4/2020
4500310298	STELLAR SERVICES INC 70 W 36TH ST - RM 702 NEW YORK, NY 10018-1258 US	MAINTENANCE - INFOBLOX	S	M	6	N	04	1		19,066	19,066	0	0	7/1/2019	C		6/30/2020
4500310321	OSMOSE UTILITIES SERVICES INC 631 HIGHWAY 74 S PEACHTREE CITY, GA 30269 US	WOOD POLE INSPECTION AND TREATMENT	S	B		N	N	1		1,688,659	1,162,641	1,162,641	526,018	6/18/2019	C		1/17/2020
4500310344	SIGA OT SOLUTIONS INC 1013 CENTRE RD STE 403B WILMINGTON, DE 19805-1270 US	CYBER SECURITY MONITORING	E	1	8	F	N	1		79,733	79,733	0	0	6/24/2019	C		6/23/2020
4500310377	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	SINGLE PHASE METERING UNIT	E	B	5	F	N	1		43,368	43,368	43,368	0	6/19/2019	C		1/7/2020
4500310386	RENSSELAER POLYTECHNIC INSTITUTE LIGHTING RESEARCH CENTER TROY, NY 12180-3590 US	MODEL TRANSLATIONS FOR SMART GRID APPLICATIONS STUDY	P	1	8	N	N	1		300,000	122,000	120,000	178,000	6/24/2019	O	6/23/2021	
4500310387	RENSSELAER POLYTECHNIC INSTITUTE LIGHTING RESEARCH CENTER TROY, NY 12180-3590 US	DEEP LEARNING COMPUTING SYSTEM FOR RESILIENT GRID OPERATION	P	1	8	N	N	1		350,000	127,000	127,000	223,000	6/24/2019	C		12/23/2020
4500310432	SOUTHWORTH-MILTON INC 500 COMMERCE DR CLIFTON PARK, NY 12065 US	MARINE VESSEL GENERATOR	E	B	5	F	N	1		39,740	39,740	39,740	0	6/21/2019	C		1/30/2020
4500310442	OPEN TEXT INC 2950 S DELAWARE ST SAN MATEO, CA 94403-2199 US	MAINTENANCE - OPENTEXT CONTENT SERVER	S	B	7	N	N	1		124,982	124,982	0	0	7/1/2019	C		6/30/2020
4500310454	MAIN MOTORCAR HOWELL & PIERSON INC 224 W MAIN ST JOHNSTOWN, NY 12095 US	3 RAM 150 CLASSIC ST CREW CAB PICK UP TRUCKS	E	B	7	N	N	7		79,472	79,472	79,472	0	6/24/2019	C		3/12/2020
4500310490	OPTIV SECURITY INC 1144 15TH ST STE 2900 DENVER, CO 80202-2571 US	MAINTENANCE - PROOFPOINT SOFTWARE	S	B	7	F	N	1		106,094	106,094	0	0	6/24/2019	C		6/23/2020
4500310495	CYIOT LTD 3 HANECHOSHET ST TEL AVIV, 01 6971068 IL	CYBER SECURITY	S	1	5	F	N	1		57,600	57,600	0	0	6/26/2019	C		6/25/2020

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4500310558	FEDTEK INC 12700 BLACK FOREST LN STE 202 WOODBRIDGE, VA 22192-5306 US	WEBTRENDS ANALYTICS ON DEMAND SITE ENTERPRISE	S	B	7	F	N	2		11,033	11,033	0	0	6/27/2019	C		6/26/2020
4500310593	RADIANT RESOURCES 1913 ATLANTIC AVE STE 119 MANASQUAN, NJ 08736-1070 US	SPLUNK BEHAVIOR ANALYTICS FOR DATA OM AND IMPLEMENTATION	S	B	7	F	03	3		97,350	97,350	0	0	7/1/2019	C		6/30/2020
4500310730	VAN BORTEL CHEVROLET 1338 RTE 31 MACEDON, NY 14502-9764 US	2020 CHEVROLET EXPRESS 2500 CARGO WT	E	B	7	N	N	2		24,583	24,583	24,583	0	7/11/2019	C		1/14/2020
4500310760	FEDRESULTS INC 1900 CAMPUS COMMONS DR - STE 100 RESTON, VA 20191-1535 US	MAINTENANCE - TABLEAU	I	B	7	F	N	1		81,456	81,456	0	0	6/29/2019	C		6/28/2020
4500310772	LEAD DATA TECHNOLOGIES INC PO BOX 295 NANUET, NY 10954-0295 US	MAINTENANCE - CHECK POINT	S	B	7	N	N	2		391,355	391,355	0	0	6/29/2019	C		6/28/2020
4500310783	PIONEER MOTOR BEARING CO 129 BATTLEGROUND RD KINGS MOUNTAIN, NC 28086 US	REFURBISH TURBINE GUIDE BEARING	S	B	5	F	N	3		64,848	64,848	64,848	0	7/1/2019	C		1/30/2020
4500310791	ROCKWELL COLLINS INC & SUBSIDIARIES 400 COLLINS RD NE CEDAR RAPIDS, IA 52498-0505 US	FUSION INTEGATED FLIGHT DESK	E	2	8	F	N	1		12,300	12,300	0	0	7/1/2019	C		6/30/2020
4500310867	GEI CONSULTANTS INC PC 400 UNICORN PARK DR WOBURN, MA 01801 US	OWNERS DAM SAFETY PROGRAM (ODSP)	A	B		N	N	7		28,879	25,780	4,637	3,099	7/1/2019	C		12/31/2020
4500310896	IDEAL SYSTEM SOLUTIONS INC 5600 ROWLAND RD STE 220 MINNETONKA, MN 55343-4419 US	EQUIPMENT FOR BROOKHAVEN NATIONAL LABS	E	B	7	F	N	1		7,080	7,080	0	0	7/16/2019	C		7/15/2020
4500310906	BEYER OF MORRISTOWN LLC 200 RIDGEDALE AVE MORRISTOWN, NJ 07960-4089 US	CHRYSLER PACIFICA TOURING PLUS HYBRID	E	B	7	F	N	3		41,256	41,256	41,256	0	7/3/2019	C		1/30/2020
4500310922	DLT SOLUTIONS LLC 2411 DULLES CORNER PARK - STE 800 HERNDON, VA 20171-6168 US	MAINTENANCE - RED HAT SOFTWARE	S	B	7	F	N	1		19,151	19,151	0	0	7/27/2019	C		7/26/2020
4500310928	LEXISNEXIS RISK SOLUTIONS FL INC. 1000 ALDERMAN DR ALPHARETTA, GA 30005-4101 US	ACCURINT SUBSCRIPTION	S	B	7	N	N	1		40,000	35,800	13,787	4,200	4/1/2019	C		3/31/2020
4500310950	BOARD OF REGENTS OF THE UOW UNIVERSITY OF WISONSIN-MADISON 21 N PARK ST STE 6401 MADISON, WI 53715-1218 US	INVESTIGATE THE POSSIBILITY OF DEPLOYING LOW FREQUENCY ALTERNATE CURRENT TRANSMISSION LINES	P	2	8	F	N	1		100,000	66,666	66,666	33,334	7/9/2019	O	8/31/2021	
4500310979	KYRIBA CORP 9620 TOWNE CENTRE DR STE 250 SAN DIEGO, CA 92121-9604 US	LICENSE AND IMPLEMENTATION - TREASURY WORKSTATION SOFTWARE	I	B		F	N	3		1,770,334	904,335	639,818	865,999	6/28/2019	O	6/27/2024	

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4500311005	EAGLE BURGMANN INDUSTRIES LP 10035 BROOKRIVER DR HOUSTON, TX 77040 US	DRAIN BELLOWS	E	B	5	F	N	1	*	11,300	11,301	11,301	0	7/9/2019	C		3/2/2020
4500311013	TECHNICAL BUILDING SERVICES INC 12 E COMMERCE DR BALLSTON SPA, NY 12020 US	ENERGY MANAGEMENT SYSTEM	E	B	7	N	N	1		100,000	42,598	8,996	57,402	7/1/2019	C		6/30/2020
4500311119	OAK RIDGE HAULING LLC 307 WHITE ST DANBURY, CT 06810-6934 US	RUBBISH REMOVAL	S	B	7	N	N	1		85,000	18,544	12,386	66,456	7/15/2019	C		7/14/2020
4500311166	LOGMEIN USA INC 320 SUMMER ST BOSTON, MA 02210-1701 US	MAINTENANCE - DESKTOP	S	1	5	F	N	1		6,576	6,576	0	0	5/22/2019	C		5/21/2020
4500311178	SITECORE USA INC 2320 MARINSHIP WAY SAUSALITO, CA 94965-2812 US	MAINTENANCE	S	2	5	F	N	1		42,627	42,627	0	0	6/28/2019	C		6/27/2020
4500311188	J&M CORPORATE PAINTER INC 3652 LEE RD #733 JEFFERSON VALLEY, NY 10535-7541 US	PAINTING	S	M	8	N	03	1		200,000	21,344	878	178,656	6/15/2019	C		6/14/2020
4500311189	ASSETWORKS LLC DBA FOR TRAPEZE SOFTWARE GROUP INC SUITE 1215 998 OLD EAGLE SCHOOL ROA WAYNE, PA 19087 US	MAINTENANCE	S	B	7	F	N	1		37,920	37,920	0	0	4/1/2019	C		3/31/2020
4500311215	COMPULINK TECHNOLOGIES INC 260 W 39TH ST - STE 302 NEW YORK, NY 10018-4434 US	MAINTENANCE - MONGODB	S	B	6	N	04	3		15,191	15,191	0	0	6/24/2019	C		6/23/2020
4500311256	PITNEY BOWES INC 120 BLOOMINGDALE RD WHITE PLAINS, NY 10605-1500 US	LEASE PITNEY BOWES MACHINES	E	2	8	N	N	1		73,052	21,418	14,610	51,634	9/1/2019	O	8/31/2024	
4500311282	PITNEY BOWES INC 120 BLOOMINGDALE RD WHITE PLAINS, NY 10605-1500 US	LEASE PITNEY BOWES MACHINES	E	2	8	N	N	1		63,095	3,155	3,155	59,940	9/1/2019	O	8/31/2024	
4500311284	MIRACLE SOFTWARE SYSTEMS INC 45625 GRAND RIVER AVE NOVI, MI 48374-1309 US	MAINTENANCE - IBM	S	B	7	F	N	2		35,225	35,225	0	0	9/1/2019	C		6/30/2020
4500311364	RS MEANS CO LLC 30 PATEWOOD DR STE 300 GREENVILLE, SC 29615-6808 US	SUBSCRIPTION DATA BASE SERVICES	S	1	5	F	N	1		29,220	29,220	0	0	7/18/2019	C		9/19/2020
4500311398	PIONEER MOTOR BEARING CO 129 BATTLEGROUND RD KINGS MOUNTAIN, NC 28086 US	TURBINE GUIDE BEARINGS	E	B		F	N	2		272,538	0	0	272,538	7/19/2019	O	4/1/2021	
4500311449	DOBLE ENGINEERING CORP 123 FELTON ST MARLBOROUGH, MA 01752 US	DOBLE SOFTWARE PROTECTION	I	1	5	N	N	1		7,000	7,000	7,000	0	7/23/2019	C		5/13/2020

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4500311518	NAVISTAR INC INTERNATIONAL TRUCK & ENGINE CORP 399 ALBANY SHAKER RD SUITE 202 LOUDONVILLE, NY 12211 US	FOUR CLASS 5 TRUCKS	E	B	7	N	N	7		428,473	428,473	428,473	0	8/13/2019	C		5/29/2020
4500311535	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	CISCO CALLING ENTERPRISE LICENSE AGREEMENT	E	B	7	F	N	2		368,278	368,278	29,158	0	7/29/2019	O	7/28/2022	
4500311549	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	CISCO FLEX MEETING MODIFICATION	S	B	7	F	N	2		162,632	162,624	0	8	7/29/2019	C		7/28/2020
4500311637	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	MACH 2 COMPUTER	E	1	8	F	N	1		238,392	238,392	238,392	0	7/26/2019	C		4/8/2020
4500311647	DEJERO LABS INC 410 ALBERT ST UNIT 200 WATERLOO, ON N2L 3V3 CA	LEASE STREAMING EQUIPMENT	S	1	5	N	N	1		34,200	34,200	8,550	0	5/1/2019	C		4/30/2020
4500311648	IMMIXTECHNOLOGY INC 8444 WESTPARK DR - STE 200 MCLEAN, VA 22102-5112 US	MOBILE COMMUNICATIONS - MOBILE HOSTING SERVICES	S	B	7	N	N	1		56,945	56,945	15,048	0	8/11/2019	C		8/10/2020
4500311679	COMSOURCE INC 8104 CAZENOVIA WAY MANLIUS, NY 13104 US	FURNISH AND DELIVER SCHNEIDER UPS SYSTEM AND LIEBERT AIR CONDITIONING SYSTEM	E	C	8	N	N	3		450,774	449,314	449,314	1,460	8/1/2019	O	1/31/2021	
4500311706	SEATTLE SOFTWARE LTD TRADING AS ORBUS SOFTWARE FL 3 111 BUCKINGHAM PALACE RD LONDON, LO SW1W 05R GB	MAINTENANCE - ORBUS ERWIN	S	B	7	F	N	1		33,265	33,265	0	0	8/4/2019	C		8/3/2020
4500311768	NETBRAIN TECHNOLOGIES INC 15 NETWORK DR BURLINGTON, MA 01803-2756 US	MAINTENANCE - NETBRAIN	S	2	6	F	N	1		9,000	9,000	0	0	8/17/2019	C		8/16/2020
4500311802	KURK FUEL OIL CO DBA FOR GOETZ ENERGY CORP PO BOX A BUFFALO, NY 14217-0305 US	FUEL	E	B	7	N	01	1		45,000	38,335	18,350	6,665	7/31/2019	O	4/1/2021	
4500311836	CUSTOM INSIGHT LLC 204 E 2ND AVE #127 SAN MATEO, CA 94401-3904 US	EMPLOYEE SURVEY	S	2	5	F	N	1		17,500	17,500	0	0	7/23/2019	C		7/22/2020
4500311840	ADVANTAGE PROMOTIONS DBA FOR DEBORAH S BEZA 12 LILAC LN QUEENSBURY, NY 12804-8419 US	PROMOTIONAL ITEMS	E	M	6	N	03	1		19,538	19,538	0	0	8/1/2019	C		1/3/2020

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4500311873	NORTH CAROLINA STATE UNIVERSITY OFFICE OF RESEARCH ADMINISTRATION 2701 SULLIVAN DR - BOX 7514 RALEIGH, NC 27695-7514 US	NCSU FREEDM SYSTEMS CENTER	S	1	9	F	N	1		50,000	50,000	0	0	7/1/2019	C		6/30/2020
4500311908	PROFTECH LLC 200 CLEARBROOK RD - STE 177 ELMSFORD, NY 10523-1328 US	OFFICE SUPPLIES	E	B	7	N	04	1		500,000	53,611	46,596	446,389	8/5/2019	O	5/31/2024	
4500311909	BALCH & BINGHAM LLP 1901 6TH AVE N BIRMINGHAM, AL 35203-2618 US	TRANSMISSION OWNERS COMMITTEE (TOC) LEGAL SERVICES	L	2	9	F	N	1		590,000	286,066	234,781	303,934	5/22/2019	O	5/21/2022	
4500311936	CARDISH MACHINE WORKS INC 7 ELM ST WATERVLIET, NY 12189-1826 US	MACHINING OF LIGNUM VITAE BEARING STOCK	S	B	5	N	01	3		9,700	6,350	3,000	3,350	8/6/2019	C		11/30/2020
4500312014	JD POWER SUITE 300 30870 RUSSELL RANCH ROAD WESTLAKE VILLAGE, CA 91362-7366 US	SURVEY SERVICES	P	B		F	N	6		1,673,329	524,350	344,935	1,148,979	8/30/2019	O	8/29/2024	
4500312016	R V P FLOORING SYSTEMS INC 35 COMMERCE DR STE B CARMEL, NY 10512-4211 US	INSTALLATION CARPET AND TILES	S	B	5	N	03	1		22,230	0	0	22,230	8/7/2019	O	1/27/2021	
4500312023	KONECRANES INC 1020 LEHIGH STATION RD HENRIETTA, NY 14467-9369 US	REPAIR 18 + 18 ACC STREET ELECTRIC HARRINGTON TROLLEY	S	B	5	N	N	1		7,215	0	0	7,215	8/7/2019	C		8/7/2020
4500312091	C D PERRY LLC PO BOX 866 TROY, NY 12181-0866 US	FAÇADE INSPECTION AND ASSESSMENT	P	B		N	01	1		162,550	162,550	162,550	0	8/12/2019	C		2/12/2020
4500312094	PFM FINANCIAL ADVISORS LLC 1735 MARKET ST FL 43 PHILADELPHIA, PA 19103-7502 US	FINANCIAL ADVISORY SERVICES	P	B		F	N	2		250,000	0	0	250,000	4/3/2018	O	8/19/2021	
4500312141	VERIZON CONNECT NWF INC 9868 SCRANTON RD SAN DIEGO, CA 92121 US	GPS/TELEMATICS SERVICE	S	B	7	F	N	1		125,070	117,130	88,731	7,940	9/1/2019	C		8/31/2020
4500312244	PACKAGE ONE INDUSTRIES LLC 414 UNION ST SCHENECTADY, NY 12305-1107 US	PACKING BOX LANTERN RINGS	E	B		N	N	2		26,793	26,793	26,793	0	8/14/2019	O	4/1/2021	
4500312252	CORPORATE EXECUTIVE BOARD 1919 NORHT LYNN ST ARLINGTON, VA 22209 US	CEB COMMUNICATIONS LEADERSHIP COUNCIL CLASSIC	S	1	9	F	N	1		33,600	33,600	0	0	4/1/2019	C		3/31/2020
4500312280	VICTOR INSULATORS INC 280 MAPLE AVE VICTOR, NY 14564-1385 US	INSULATOR, 765KV INVERTED	E	B	6	F	N	3	*	14,766	16,091	16,091	0	8/15/2019	C		1/30/2020
4500312296	FRONTENAC CRYSTAL SPRINGS WATER INC PO BOX 328 CLAYTON, NY 13624-0372 US	WATER, BOTTLED	E	B	6	N	N	1		49,416	42,607	29,377	6,809	8/16/2019	C		12/31/2020
4500312331	THE MITRE CORPORATION 7515 COLSHIRE DR MCLEAN, VA 22102-7538 US	CYBER SECURITY OPERATIONS ENVIRONMENT	P	1	8	N	N	1		300,000	250,000	125,000	50,000	10/28/2019	C		10/27/2020

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4500312363	GRAYBAR ELECTRIC CO INC 6605 DEERE RD SYRACUSE, NY 13206-1325 US	UPS EQUIPMENT	E	B	5	N	N	3		24,400	24,400	3,794	0	8/19/2019	C		8/1/2020
4500312423	ATLANTIC EQUIPMENT RESOURCES LLC 70 KINDERKAMACK RD STE 200 EMERSON, NJ 07630-1812 US	CONDENSATE PUMP PARTS	E	B	5	F	N	1	*	48,341	49,205	49,205	0	8/20/2019	C		4/30/2020
4500312513	USABLENET INC 142 W 57TH ST - FL 7 NEW YORK, NY 10019-3300 US	MAINTENANCE - USABLENET	S	1	5	N	N	1		10,396	10,396	0	0	8/1/2019	C		7/31/2020
4500312562	GOVERNMENT MARKETING & PROCUREMENT LLC 13350 RANCH RD 12 WIMBERLEY, TX 78676-5304 US	MAINTENANCE - VULNERABILITY INTELLIGENCE FEED	S	B	7	N	N	1		42,317	42,317	42,317	0	10/17/2019	C		10/16/2020
4500312577	FERGUSON ELECTRIC CONSTRUCTION CO INC 333 ELLICOTT ST BUFFALO, NY 14203-1618 US	FUEL	C	B		N	N	3		2,058,741	648,540	648,540	1,410,201	8/26/2019	O	8/25/2022	
4500312580	A & T SYSTEMS INC 12200 TECH RD - STE 200 SILVER SPRING, MD 20904-1971 US	MAINTENANCE - IBM MAAS	S	B	7	F	N	1		85,225	85,225	0	0	8/28/2019	C		2/28/2020
4500312617	CARDIAC LIFE PRODUCTS INC PO BOX 25755 ROCHESTER, NY 14625-0755 US	AED PROGRAM MANAGEMENT SERVICES	P	B	7	N	03	1		61,060	51,111	5,073	9,949	8/20/2019	C		8/19/2020
4500312788	SISU ENERGY & ENVIRONMENTAL SUITE 1005 5801 E 41ST STREET TULSA, OK 74135 US	CATALYST ENGINEERING SERVICES	E	B	8	F	N	2		96,877	96,877	0	0	8/29/2019	C		9/2/2020
4500312844	EXECUTIVE INFORMATION SYSTEMS LLC 6901 ROCKLEDGE DR STE 600 BETHESDA, MD 20827-0076 US	MAINTENANCE - SAS	S	B	7	N	N	1		10,387	10,387	0	0	8/31/2019	C		8/30/2020
4500312870	NORIA CORP 1328 E 43RD CT TULSA, OK 74105-4124 US	LUBRICATION ASSESSMENT SERVICES	P	B		N	N	1		37,586	37,586	11,400	0	7/11/2019	C		3/31/2020
4500312877	VOCALZOOM SYSTEMS LTD HAHAMAMA HAYERUKA 5 KIBUTZ RAMOT MENASHE PO BOX NO 360, 01 1924500 IL	VIBRATION MONITORING SYSTEM	E	1	5	F	N	1		10,500	10,500	0	0	9/3/2019	C		9/2/2020
4500312884	RDG + PARTNERS CPAS PPLC 69B MONROE AVE PITTSFORD, NY 14534 US	457 DEFERRED COMP PLAN AUDIT SERVICES	S	2	5	N	N	1		20,000	19,220	19,220	780	9/1/2019	C		8/31/2020
4500312973	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	THE HYBRIDGE GREEN SCHOOL GREENHOUSE LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		17,250	17,250	0	0	8/23/2019	C		6/30/2020
4500312975	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	EAGLE ACADEMY FOR YOUNG MEN OF HARLEM GREENHOUSE LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		15,440	15,440	0	0	8/23/2019	C		6/30/2020

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4500313014	INFORMATION TECHNOLOGY CORP OF THE TRI STATES 121 GERTRUDE AVE PARAMUS, NJ 07652-2515 US	APPLE MACINTOSH SERVICES	S	B		N	N	3		274,872	185,916	96,960	88,956	9/25/2019	O	9/24/2022	
4500313018	WAVELENGTH FLEET COMMUNICATIONS INC 1 CLAREMONT AVE - UNIT A HOLBROOK, NY 11741-2028 US	WAVELENGTH FLEET BRENTWOOD RADIO REPEATER INSTALL	S	2	5	N	N	1		23,172	15,720	14,400	7,452	9/6/2019	C		9/5/2020
4500313019	O'CONNELL ELECTRIC CO 830 PHILLIPS RD VICTOR, NY 14564 US	WILLIS SUBSTATION BREAKER REPLACEMENT PROJECT	C	B	1	N	N	2		605,909	605,909	339,489	0	9/6/2019	C		9/5/2020
4500313057	CONSERVE ELECTRICAL SUPPLY CORP 39-05 CRESCENT ST LONG ISLAND CITY, NY 11101-1025 US	NH3 HEATER	E	B	5	N	N	1		13,050	13,050	13,050	0	9/6/2019	C		1/10/2020
4500313059	ATLANTIC EQUIPMENT RESOURCES LLC 70 KINDERKAMACK RD STE 200 EMERSON, NJ 07630-1812 US	WATER INJECTION PUMP	E	B		F	N	4		63,504	63,504	63,504	0	9/6/2019	C		1/28/2020
4500313069	ISRAELI SMART ENERGY ASSOCIATION 21 HARBAA ST TEL AVIV, 01 6473921 IL	REV4NY STARTUP IDENTIFICATION	P	2	5	F	N	1		40,000	20,000	0	20,000	9/9/2019	C		9/8/2020
4500313082	AAI ACQUISITION LLC D/B/A/ AAI A POWER FLOW TECH 270 PARK AVENUE GARDEN CITY PARK, NY 11040 US	MOTOR REPAIR SERVICES	S	B	5	N	N	1		45,000	2,873	2,873	42,127	9/9/2019	C		9/8/2020
4500313097	HATCH ASSOCIATES CONSULTANTS INC 100 SYLVAN PKWY AMHERST, NY 14228-1146 US	HYDRO FLOW OPTIMIZATION MODELING	A	B		N	N	4		479,000	184,000	184,000	295,000	9/1/2019	O	8/31/2021	
4500313166	MAUREEN DATA SYSTEMS INC 307 W 38TH ST RM 1801 NEW YORK, NY 10018-6510 US	MAINTENANCE - TENABLE SOFTWARE	S	2	8	N	03	1		85,410	85,410	0	0	9/28/2019	C		9/27/2020
4500313224	MOODYS ANALYTICS 121 N WALNUT ST STE 500 WEST CHESTER, PA 19380-3117 US	MOODY'S ANALYTICS SOFTWARE	I	2	8	F	N	1		10,850	10,850	0	0	5/14/2019	C		5/13/2020
4500313234	CEC STUYVESANT COVE INC DBA SOLAR ONE 37 W 26TH ST - RM 209 NEW YORK, NY 10010-1129 US	COMMUNITY LITERACY PROVIDER PROGRAMS	P	B		N	N	2		71,000	0	0	71,000	9/1/2019	O	10/31/2021	
4500313274	V&R ENERGY SYSTEMS RESEARCH INC 11824 DARLINGTON AVE STE 101 LOS ANGELES, CA 90049 US	ANNUAL MAINTENANCE - POM (PHYSICAL OPERATIONS MARGIN)	S	1	6	F	N	1		16,200	16,200	0	0	7/1/2019	C		6/29/2020

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4500313285	GRAVITY PRO CONSULTING LLC SYLVANA COCHE 21 VIA LAMPARA SAN CLEMENTE, CA 92673-7054 US	SOFTWARE LICENSES	I	2	6	F	03	1		12,706	12,706	0	0	9/13/2019	C		8/3/2020
4500313335	HATCH ASSOCIATES CONSULTANTS INC 100 SYLVAN PKWY AMHERST, NY 14228-1146 US	AGC STUDY	A	2	8	N	N	1		13,200	13,131	13,131	69	8/20/2019	C		5/31/2020
4500313390	IVCI LLC 601 OLD WILLETS PATH HAUPPAUGE, NY 11788 US	OFFICE FURNITURE	H	B		F	N	3		229,294	229,294	41,787	0	9/16/2019	C		1/21/2020
4500313430	OPTIV SECURITY INC 1144 15TH ST STE 2900 DENVER, CO 80202-2571 US	MAINTENANCE - PROOFPOINT SOFTWARE	S	B	7	F	N	1		197,981	197,981	0	0	9/18/2019	C		9/17/2020
4500313475	LEAD DATA TECHNOLOGIES INC PO BOX 295 NANUET, NY 10954-0295 US	CHECKPOINT CLOUDGUARD IAAS	S	B	6	N	N	1		11,856	11,856	0	0	8/23/2019	C		8/22/2020
4500313482	DILO COMPANY INC 11642 PYRAMID DR ODESSA, FL 33556-3449 US	SF6 MANIFOLD EQUIPMENT	E	B	5	N	N	3		10,602	10,602	10,602	0	9/19/2019	C		9/1/2020
4500313529	LEAD DATA TECHNOLOGIES INC PO BOX 295 NANUET, NY 10954-0295 US	CHECK POINT SOFTWARE THREAT PREVENTION	I	B	7	N	N	2		625,679	625,679	0	0	8/30/2019	C		8/29/2020
4500313532	DLT SOLUTIONS LLC 2411 DULLES CORNER PARK - STE 800 HERNDON, VA 20171-6168 US	MAINTENANCE - AUTOCAD	S	B	7	F	N	1		109,064	109,064	0	0	10/28/2019	C		10/27/2020
4500313543	CAN USA INC 171 LODI ST HACKENSACK, NJ 07601 US	ROPE ACCESS SCALING AND SLOPE MAINTENANCE	S	B		F	N	2		100,000	99,580	99,580	420	9/20/2019	C		9/19/2020
4500313553	CGK CONSULTING GROUP INC 7968 ARJONS DR STE A 112 SAN DIEGO, CA 92126-6362 US	WAPA TECH SUPPORT FOR HURRICANE	A	B	1	F	N	2		126,650	126,650	56,056	0	12/16/2019	C		1/31/2020
4500313558	DOCPOINT SOLUTIONS LLC 11850 W MARKET PL STE P FULTON, MD 20759-2671 US	DOCPOINT ENTERPRISE NINTEX WORKFLOW SOFTWARE	S	B	7	F	N	1		28,892	28,892	0	0	10/10/2019	C		10/9/2020
4500313569	DOBLE ENGINEERING CORP 123 FELTON ST MARLBOROUGH, MA 01752 US	ANALYTICAL TESTING SERVICES AND EQUIPMENT RENTAL	S	B		F	N	2		174,485	115,865	0	58,620	9/20/2019	C		4/30/2020
4500313571	DOBLE ENGINEERING CORP 123 FELTON ST MARLBOROUGH, MA 01752 US	OIL TESTING SERVICES	S	B		F	N	2		50,000	48,217	36,179	1,783	9/20/2019	C		4/30/2020
4500313575	SPX HEAT TRANSFER LLC 2121 N 161ST EAST AVE TULSA, OK 74116-4834 US	SPX HEAT TRANSFER - CONDENSER WORK	S	2	8	F	N	1		437,500	331,701	331,701	105,799	9/20/2019	C		9/19/2020
4500313580	DELL MARKETING LP 850 ASBURY DR BUFFALO GROVE, IL 60089-4557 US	REMOTE DESKTOP	I	B	7	F	N	1		5,773	5,752	0	21	9/22/2019	O	6/30/2021	

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4500313596	SOUTHTOWN ELECTRONICS INC DBA SOUTHTOWN AUDIO VIDEO 75 LAKE ST HAMBURG, NY 14075-4833 US	POWER VISTA AV REPAIRS	S	B	5	N	03	2		15,000	4,365	0	10,635	9/23/2019	C		10/19/2020
4500313599	MITCHELL 1 PO BOX 509044 SAN DIEGO, CA 92150-9044 US	ANNUAL SNAP-ON SHOPKEY TRACTOR AND PRODEMAND RENEWAL	I	2	5	F	N	1		22,310	22,310	22,310	0	9/23/2019	C		9/20/2020
4500313603	AMERICAN ROCK SALT CO LLC DBA FOR AMERICAN ROCK SALT HOLDING PO BOX 190 MOUNT MORRIS, NY 14510-0190 US	SALT	E	B	5	N	N	1		32,681	20,223	8,583	12,458	9/23/2019	C		8/31/2020
4500313605	CORMETECH INC 5000 INTERNATIONAL DR DURHAM, NC 27712-8911 US	MULTI-POLLUTANT CATALYSTS FOR EUGENE ZELTMANN PLANT	E	B		F	N	2		2,329,700	2,184,200	1,289,500	145,500	9/23/2019	O	9/23/2024	
4500313610	WARTSILA CANADA INC 1771 SAVAGE RD RICHMOND, BC V6V 1R1 CA	LIFE EXTENSION STUDY	S	B		N	N	2		30,000	30,000	30,000	0	9/23/2019	C		1/30/2020
4500313619	PARAG SONI WESTERN POWER PROJECT ADVISORS 19220 PIRES AVE CERRITOS, CA 90703-7355 US	CONSULTING SERVICES FOR SLA	P	2	5	F	04	1		110,000	92,449	66,316	17,551	1/22/2020	C		9/23/2020
4500313647	AMERICAN ROCK SALT CO LLC DBA FOR AMERICAN ROCK SALT HOLDING PO BOX 190 MOUNT MORRIS, NY 14510-0190 US	SALT	E	B	7	N	N	1		100,732	100,680	45,481	52	9/24/2019	C		1/17/2020
4500313745	POWERTECH LABS INC 12388-88TH AVE SURREY, BC V3W 7R7 CA	POWERTECH SOFTWARE LICENSES	I	1	6	N	N	1		28,255	28,255	0	0	10/15/2019	C		10/14/2020
4500313749	JOHNSON CONTROLS INC 130 JOHN MUIR DR - STE 100 AMHERST, NY 14228-1139 US	JCI SERVICE RENEWAL	R	B	7	N	N	1		53,748	53,748	0	0	10/27/2019	C		9/30/2020
4500313764	VERTICAL SYSTEMS ANALYSIS INC 307 W 3GTH ST FL 8 NEW YORK, NY 10018-6519 US	ELEVATOR CONSULTING SERVICES	A	2	8	N	N	1		20,000	18,585	13,128	1,415	9/19/2019	C		9/18/2020
4500313772	SAP PUBLIC SERVICES INC RONALD REAGAN BLDG / ITC 3999 WEST CHESTER PIKE NEWTOWN SQUARE, PA 19073-2305 US	BLACKLINE SOFTWARE SUBSCRIPTION	E	1	8	F	N	1		381,300	106,169	106,169	275,131	11/25/2019	O	11/24/2022	
4500313779	SISU ENERGY & ENVIRONMENTAL SUITE 1005 5801 E 41ST STREET TULSA, OK 74135 US	BASF PLATINUM CO CATALYST	E	B		F	N	1		302,800	302,800	242,240	0	9/26/2019	C		2/12/2020
4500313825	BASSON TRADING LLC DBA ALADON 908 RABBIT RUN WILMINGTON, NC 28409-2206 US	ALADON RCM PRACTITIONERS	P	2	8	F	N	1		375,514	375,514	333,914	0	10/8/2019	O	6/30/2021	

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4500313836	IBM CORP FORMERLY STERLING COMMERCE CVG NORTH CASTLE DR ARMONK, NY 10504 US	LICENSE REVIEW - IBM	S	B	7	N	N	1		1,017,320	1,017,320	0	0	10/1/2019	C		9/30/2020
4500313864	BIEDERMAN REDEVELOPMENT VENTURES CO DBA FOR DANIEL A BIEDERMAN 110 W 40TH ST STE 2008 NEW YORK, NY 10018-3679 US	ADVISORY SERVICE	A	2	8	N	N	1		300,000	217,000	87,000	83,000	10/1/2019	C		12/31/2020
4500313894	BITSIGHT TECHNOLOGIES INC 111 HUNTINGTON AVE STE 2010 BOSTON, MA 02199-1700 US	CYBER RISK MANAGEMENT SCORING OF SUPPLY VENDORS	I	B	8	F	N	2		118,750	118,750	0	0	9/30/2019	C		9/29/2020
4500313902	CDW COMPUTER CENTER INC CDW GOV'T SALES 200/230 N MILWAUKEE AVE VERNON HILLS, IL 60061 US	MAINTENANCE - NUANCE	S	B	6	F	N	1		6,018	6,018	0	0	8/17/2019	C		8/16/2020
4500313903	ORKIN PEST CONTROL DBA FOR ROLLINS INC 537 QUEENSBURY AVE QUEENSBURY, NY 12804-7613 US	PEST CONTROL SERVICES	S	B	5	N	N	1		14,300	8,513	7,803	5,787	10/15/2019	C		10/14/2020
4500313968	SHI INTERNATIONAL CORP 290 DAVIDSON AVE SOMERSET, NJ 08873-4145 US	NUTANIX SOFTWARE AND HARDWARE	I	B	7	F	N	1		113,846	113,846	0	0	10/7/2019	C		10/6/2020
4500314055	DELTA X RESEARCH INC PO BOX 42083 OAK BAY AVENUE VICTORIA, BC V8R 6T4 CA	TOA4 SUBSCRIPTION	R	1	5	F	N	1		23,471	23,471	0	0	8/13/2019	C		8/12/2020
4500314122	BUB'S ENTERPRISES LLC DALE EARL 3893 STATE ROUTE 11 MALONE, NY 12953-3725 US	SNOW REMOVAL SERVICES	S	B	5	N	01	1		14,500	9,600	9,600	4,900	10/7/2019	C		5/31/2020
4500314124	TMT CONTRACTORS INC 1484 US HIGHWAY 11 GOUVERNEUR, NY 13642-3407 US	SNOW REMOVAL SERVICES	S	B	5	N	01	1		23,000	20,800	19,200	2,200	10/7/2019	C		5/31/2020
4500314232	LAKELANDS CONCRETE PRODUCTS INC 7520 E MAIN ST LIMA, NY 14485-9731 US	CONCRETE BUILDING	E	B	5	N	N	1		42,000	42,000	42,000	0	10/9/2019	C		1/30/2020
4500314239	REGIMENT TECHNOLOGY GROUP LLC 81 PONDFIELD RD - STE D279 BRONXVILLE, NY 10708-3818 US	MAINTENANCE - MCAFEE	S	2	8	N	02	1		99,356	99,356	0	0	10/6/2019	C		10/5/2020
4500314262	INDUSTRIAL HANDLING SERVICES INC PO BOX 2922 GLENVILLE, NY 12325-0922 US	BRAKES,THRUSTER	E	B	5	N	01	2		33,488	33,488	33,488	0	10/9/2019	C		1/15/2020
4500314268	JPJ ELECTRONICS COMMUNICATIONS INC 1 W WHITESBORO ST YORKVILLE, NY 13495 US	LOW BAND BASE	E	B	5	N	N	2		19,243	0	0	19,243	10/9/2019	C		10/1/2020

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4500314285	DLT SOLUTIONS LLC 2411 DULLES CORNER PARK - STE 800 HERNDON, VA 20171-6168 US	MAINTENANCE - QUEST UTILITY	S	B	7	N	N	1		7,440	7,440	0	0	6/15/2019	C		6/14/2020
4500314315	CARAHSOFT TECHNOLOGY CORP 11493 SUNSET HILLS RD STE 100 RESTON, VA 20190-5328 US	DATABRICKS ENTERPRISE PLATFORM	I	B	7	F	N	1		59,500	59,500	0	0	10/31/2019	C		4/30/2020
4500314330	OPTIV SECURITY INC 1144 15TH ST STE 2900 DENVER, CO 80202-2571 US	PROOFPOINT SAAS SOFTWARE	S	B	6	F	N	1		6,060	6,060	0	0	10/10/2019	C		1/9/2020
4500314341	DRONEDEPLOY INC DBA INFATICS 1045 BRYANT ST STE 300 SAN FRANCISCO, CA 94103-4459 US	DRONEDEPLOY ENTERPRISE GOLD SUBSCRIPTION	I	2	5	F	N	1		32,000	32,000	0	0	10/7/2019	O	10/6/2021	
4500314392	LEAD DATA TECHNOLOGIES INC PO BOX 295 NANUET, NY 10954-0295 US	CHECK POINT CLOUDGUARD IAAS VIRUAL CORE SERVICES	E	B	7	N	N	1		44,712	41,712	18,000	3,000	11/4/2019	C		1/30/2020
4500314409	LIFE SCIENCE LABORATORIES INC 5854 BUTTERNUT DR EAST SYRACUSE, NY 13057-9513 US	ENVIRONMENTAL FIELD SAMPLING/TESTS	S	B	5	N	01	1		40,000	20,340	20,040	19,660	10/15/2019	C		10/14/2020
4500314449	SHI INTERNATIONAL CORP 290 DAVIDSON AVE SOMERSET, NJ 08873-4145 US	MAINTENANCE - SPLUNK	S	B	7	F	N	3		101,667	101,667	0	0	10/4/2019	C		10/3/2020
4500314556	DLT SOLUTIONS LLC 2411 DULLES CORNER PARK - STE 800 HERNDON, VA 20171-6168 US	MAINTENANCE - QUEST	S	B	7	N	N	1		68,161	68,161	0	0	10/31/2019	C		10/30/2020
4500314609	KONE INC 25 POST RD STE 4 ALBANY, NY 12205-6736 US	ELEVATOR REPAIR SERVICES	C	B		N	N	1		32,369	15,890	15,890	16,479	10/21/2019	C		2/20/2020
4500314614	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	PS377 ALEJANDRINA B. DE GAUTIER GREENHOUSE LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	0	0	9/6/2019	C		6/30/2020
4500314618	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	PS122 MAMIE FAY GREENHOUSE LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	0	0	9/6/2019	C		6/30/2020
4500314623	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	PS85Q GREENHOUSE LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		15,440	15,440	0	0	9/18/2019	C		6/30/2020
4500314626	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	PS84 STEINWAY GREENHOUSE LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	0	0	9/18/2019	C		6/30/2020
4500314627	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	PS21 CRISPUS ATTUCKS GREENHOUSE LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	0	0	9/18/2019	C		6/30/2020
4500314631	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	IS383 PHILIPPA SCHUYLER GREENHOUSE LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	0	0	9/18/2019	C		6/30/2020

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4500314633	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	EDWARD MURROW HIGH SCHOOL GREENHOUSE LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	0	0	9/18/2019	C		6/30/2020
4500314634	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	ACADEMY OF URBAN PLANNING AND ENGINEERING GREENHOUSE LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	0	0	9/18/2019	C		6/30/2020
4500314635	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	ACADEMY FOR ENVIRONMENTAL STEWARDSHIP K403 GREENHOUSE LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	0	0	9/18/2019	C		6/30/2020
4500314636	CAPITOL EXHIBIT SERVICES INC 12299 LIVINGSTON RD MANASSAS, VA 20109-2772 US	OSWEGO ENERGY ZONE VISITOR CENTER	E	B		F	N	3		4,607,857	3,301,733	3,301,733	1,306,124	10/21/2019	O	10/20/2021	
4500314645	THREE GALS INDUSTRIAL LLC PO BOX 177 OYSTER BAY, NY 11771-0177 US	BALEIGH BSV-18VS-220 VARIABLE SPEED BAND SAW	E	C	5	N	03	2		5,516	5,516	5,516	0	10/21/2019	C		1/15/2020
4500314713	UNIVERSAL RECTIFIERS INC 1631 COTTONWOOD SCHOOL RD ROSENBERG, TX 77471-8200 US	RECTIFIERS	E	B	5	F	N	3		19,457	19,457	19,457	0	10/22/2019	C		1/7/2020
4500314750	BAKER HUGHES HOLDINGS LLC NEXUS CONTROLS LLC 1800 NELSON RD LONGMONT, CO 80501-6324 US	GE EXCITER CABLES	E	B	5	F	N	5		10,733	10,733	10,733	0	10/23/2019	C		3/31/2020
4500314763	FERGUSON ELECTRIC CONSTRUCTION CO INC 333 ELLICOTT ST BUFFALO, NY 14203-1618 US	CAT 6 ELECTRICAL INSTALL	S	B	5	N	N	1		6,000	6,000	6,000	0	10/24/2019	C		1/30/2020
4500314770	LUKEN ELECTRIC DBA FOR LINDEN ELECT SUPPLY 725 SAINT GEORGE AVE ROSELLE, NJ 07203-2690 US	GAS ANALZYER	E	M	8	F	04	5	*	62,534	63,028	63,028	0	10/24/2019	C		4/24/2020
4500314827	WINSHUTTLE LLC 19820 N CREEK PARKWAY STE 200 BOTHELL, WA 98011-8227 US	MAINTENANCE - WINSHUTTLE	S	2	6	F	N	1		12,537	12,537	0	0	10/22/2019	C		10/21/2020
4500314843	DLT SOLUTIONS LLC 2411 DULLES CORNER PARK - STE 800 HERNDON, VA 20171-6168 US	MAINTENANCE - SOLARWINDS	S	B	7	N	N	1		73,027	73,027	0	0	11/21/2019	C		11/20/2020
4500314846	ADAM C BOESE DBA DAYLIGHT SAVINGS CO 25 MAIN ST GOSHEN, NY 10924-2162 US	SUNY STONY BROOK RETRO COMMISSIONING SERVICES	P	2	8	N	N	1		96,955	96,955	96,955	0	10/25/2019	C		4/24/2020
4500314881	FUSION BABBITTING CO INC 4540 W BURNHAM ST MILWAUKEE, WI 53219 US	REBABBITT NTO TURBINE BEARING	E	B	5	F	N	3		31,948	31,948	31,948	0	10/28/2019	C		10/16/2020
4500314952	MILLS ELECTRICAL SUPPLY INC 739 ERIE BLVD W ROME, NY 13440-3913 US	72W LED FIXTURES	E	B	5	N	N	3		14,260	14,260	14,260	0	10/30/2019	C		1/7/2020

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4500314988	ARIBA INC 910 HERMOSA CT SUNNYVALE, CA 94085-4199 US	SAP ARIBA HOSTED SERVICES	S	2	8	N	N	1		505,644	505,644	0	0	11/1/2019	C		10/31/2020
4500314993	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	STOCK ITEMS	E	B	5	N	N	2		29,925	29,925	24,528	0	10/30/2019	C		1/27/2020
4500315018	STACK8 TECHNOLOGIES INC 1550 METCALFE SUITE 500 MONTREAL, PQ H3A 1X6 CA	MIGRATION OF VOICEMAIL	S	B	6	F	N	1		30,000	30,000	30,000	0	10/31/2019	C		10/30/2020
4500315022	NYS INDUSTRIES FOR THE DISABLED INC 11 COLUMBIA CIR ALBANY, NY 12203-5156 US	MANAGEMENT SERVICES	S	B	5	N	N	1		20,493	11,759	11,759	8,734	12/1/2019	C		11/30/2020
4500315040	CLARK EQUIPMENT CO DBA BOBCAT CO/ DOOSAN PP/ DOOSAN NA 250 EAST BEATON DR - PO BOX 6000 WEST FARGO, ND 58078-2656 US	BOBCAT 5600 TELEHANDLER	E	B	7	N	N	1		71,225	71,225	71,225	0	11/5/2019	C		1/14/2020
4500315075	OPEN TEXT INC 2950 S DELAWARE ST SAN MATEO, CA 94403-2199 US	OPENTEXT TO PROVIDE STREAMSERVE SOFTWARE	S	2	6	F	N	1		17,650	17,650	0	0	12/1/2019	C		11/30/2020
4500315090	BROADCASTERS GENERAL STORE INC 2480 SE 52ND ST OCALA, FL 34480-7574 US	COMREX UNITS	E	C	6	F	N	3		22,471	22,471	0	0	11/4/2019	C		1/6/2020
4500315094	ABELE TRACTOR & EQUIPMENT CO INC 72 EVERETT RD ALBANY, NY 12205 US	RENTAL OF CAT D8T DOZER	E	C	5	N	N	5		25,429	25,429	9,429	0	11/4/2019	C		1/3/2020
4500315102	FIVE STAR EQUIPMENT INC 6500 E TAFT RD EAST SYRACUSE, NY 13057 US	RENTAL OF A BOMAG BW211D ROLLER	E	C	5	N	N	5		9,700	9,700	4,500	0	11/4/2019	C		1/3/2020
4500315123	SYSTEM IMPROVEMENTS INC 238 S PETERS RD - STE 301 KNOXVILLE, TN 37923-5224 US	MAINTENANCE - TAPROOT	S	1	6	N	N	1		6,899	6,899	0	0	12/1/2019	C		11/30/2020
4500315140	GLOBAL INDUSTRIES C/O PRENTICE OFFICE ENVIROMENTS 17 WEST STOW RD MARLTON, NJ 08053-3116 US	OFFICE FURNITURE	E	B	7	N	N	1		5,808	5,808	5,808	0	11/5/2019	C		10/19/2020
4500315144	STUART C IRBY CO 4583 BUCKLEY RD LIVERPOOL, NY 13088-2508 US	CAPSTAN EQUIPMENT	E	B	5	N	N	1		14,022	14,022	14,022	0	11/5/2019	C		3/6/2020
4500315162	THORDON BEARINGS INC 3225 MAINWAY BURLINGTON, ON L7M 1A6 CA	MARINE VESSEL SHAFT BEARINGS	E	B	5	F	N	1		20,690	20,293	20,293	397	11/7/2019	C		10/16/2020
4500315200	AIRLINE HYDRAULICS CORP 3557 PROGRESS DR BENSALEM, PA 19020-5896 US	REXROTH SOLENOID	E	B	5	F	N	3	*	13,148	13,159	13,159	0	11/6/2019	C		2/7/2020

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4500315230	STEELCASE INC C/O PRENTICE OFFICE ENVIRONMENTS 901 44TH ST SE GRAND RAPIDS, MI 49508-7594 US	OFFICE FURNITURE	E	B	7	N	N	1		5,106	5,106	5,106	0	11/7/2019	C		10/19/2020
4500315250	SIEMENS INDUSTRY INC 10900 WAYZATA BLVD - STE 400 MINNETONKA, MN 55305-5602 US	ST. LAWRENCE SCADA UPGRADE	P	2		F	N	1		444,596	106,063	63,638	338,533	11/12/2019	O	11/12/2021	
4500315252	FOX FENCE INC 2637 LOCKPORT RD NIAGARA FALLS, NY 14305 US	FENCE INSTALLATION	C	1	8	N	01	1		167,002	166,902	67,611	100	11/19/2019	C		2/29/2020
4500315279	MODERN DISPOSAL SERVICES INC PO BOX 209 MODEL CITY, NY 14107-0209 US	GENERAL REFUSE REMOVAL SERVICES	S	B	7	N	N	1		95,000	91,224	91,224	3,776	11/10/2019	C		11/9/2020
4500315307	VERTIV CORPORATION C/O RL KISTLER 1050 DEARBORN DR COLUMBUS, OH 43085-1544 US	UPS BATTERIES AND SERVICES	H	1	6	F	N	1		22,277	22,277	22,277	0	11/8/2019	C		2/28/2020
4500315329	BARCODES INC DBA FOR BARCODES LLC 200 W MONROE ST - STE 1050 CHICAGO, IL 60606-5122 US	RUGGED ZEBRA TABLET, MAINTENANCE, AND ACCESSORIES	H	B	7	F	N	1		184,580	184,580	184,580	0	11/8/2019	C		6/23/2020
4500315345	IBM CORP FORMERLY STERLING COMMERCE CVG NORTH CASTLE DR ARMONK, NY 10504 US	MAINTENANCE - IBM	R	B	7	N	N	1		23,596	21,837	21,837	1,759	11/12/2019	C		11/1/2020
4500315406	KAMAN FLUID POWER LJ KFP BLOCKER INC RUBY FLUID POWER 1 VISION WAY BLOOMFIELD, CT 06002-5321 US	CONTROL VALVES	E	B	5	F	N	3	*	30,668	30,767	30,767	0	11/13/2019	C		2/4/2020
4500315424	TOTAL ADMINISTRATIVE SERVICES CORP TASC 2302 INTERNATIONAL LANE MADISON, WI 53704-3136 US	COBRA ADMINISTRATION SERVICES	S	B		F	N	5		100,000	3,925	3,925	96,075	1/1/2020	O	12/31/2024	
4500315426	BURNS ENGINEERING PC 2001 MARKET ST STE 600 PHILADELPHIA, PA 19103-7032 US	NYC HH BELLEVUE CHP PROJECT	P	2	8	F	N	1		100,000	75,670	75,670	24,330	11/18/2019	C		11/17/2020
4500315437	LEARNING TECHNOLOGIES GROUP INC PEOPLEFLUENT INC 434 FAYETTEVILLE ST STE 900 RALEIGH, NC 27601-3005 US	MAINTENANCE - ORGPUBLISHER	S	2	6	N	N	1		7,284	7,284	7,284	0	11/1/2019	C		10/31/2020
4500315470	EATON CORP C/O HASGO POWER EQUIPMENT SALES INC 130 COMMONWEALTH DR WARRENDALE, PA 15086-7501 US	MINI POWER CENTER	E	B	5	N	N	1		12,836	12,836	12,836	0	11/14/2019	C		10/19/2020

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4500315663	DTN LLC 9110 W DODGE RD STE 100 OMAHA, NE 68114-3334 US	SUBSCRIPTION FEES FOR PROPHETX SERVICES	S	2	6	F	N	1		30,966	30,966	0	0	12/1/2019	C		11/30/2020
4500315664	GOTHAM GOVERNMENT SOLUTIONS LLC 1 PARAGON DR STE 200 MONTVALE, NJ 07645-1728 US	MAINTENANCE - VARONIS	S	B	7	N	N	1		43,425	43,425	43,425	0	12/31/2019	C		12/30/2020
4500315665	AKAMAI TECHNOLOGIES INC 150 BROADWAY CAMBRIDGE, MA 02142-1055 US	ANNUAL PROLEXIC AND ENTERPRISE THREAT PROTECTOR SERVICES	S	B	7	N	N	1		101,660	101,660	101,660	0	12/1/2019	C		11/30/2020
4500315666	DLT SOLUTIONS LLC 2411 DULLES CORNER PARK - STE 800 HERNDON, VA 20171-6168 US	QUEST MIGRATION SOFTWARE	I	B	7	F	N	1		123,439	123,439	0	0	11/23/2019	C		11/22/2020
4500315674	NIAGARA LAWN & GARDEN INC 4835 SAUNDERS SETTLEMENT RD NIAGARA FALLS, NY 14305 US	SIDEWALK SNOWPLOWING SERVICES	S	2	5	N	N	1		5,840	5,840	5,840	0	11/21/2019	C		10/16/2020
4500315675	HATCH ASSOCIATES CONSULTANTS INC 100 SYLVAN PKWY AMHERST, NY 14228-1146 US	VISTA DSS MAINTENANCE	R	1	5	N	N	1		25,400	25,400	25,400	0	9/1/2019	C		8/31/2020
4500315707	GEXPRO DBA FOR REXEL USA INC 30 CORPORATE CIR STE 200 ALBANY, NY 12203-5149 US	POTENTIAL TRANSFORMER	E	B	5	N	N	4		25,092	25,092	25,092	0	11/22/2019	C		1/30/2020
4500315712	REGIMENT TECHNOLOGY GROUP LLC 81 PONDFIELD RD - STE D279 BRONXVILLE, NY 10708-3818 US	MAINTENANCE - NASTEL SOFTWARE	I	B	5	N	02	3		35,910	35,910	0	0	9/30/2019	C		9/29/2020
4500315713	NATIONAL OFFICE FURNITURE INC C/O PRENTICE OFFICE ENVIRONMENT 1600 ROYAL ST JASPER, IN 47549-1022 US	OFFICE FURNITURE	E	B	7	N	N	1		5,966	5,966	5,966	0	11/22/2019	C		10/19/2020
4500315740	GREENMAN-PEDERSEN INC 400 RELLA BLVD - STE 207 MONTEBELLO, NY 10901-4256 US	FIRE SUPPRESSION PROJECT	P	1	8	N	N	1		144,600	67,600	67,600	77,000	11/22/2019	O	11/21/2022	
4500315741	SOFTWARE SENSE ENTERPRISES INC 376 BROADWAY - STE L3 SARATOGA SPRINGS, NY 12866 US	LABOR - PTR PLUS AND PTR-PLUS UPDATE	P	1	6	N	N	1		19,250	19,250	19,250	0	11/24/2019	C		2/6/2020
4500315754	NORTHEAST METROLOGY CORP 4490 BROADWAY DEPEW, NY 14043-2904 US	RM AND LPGP TOOL CALIBRATIONS	S	B	5	N	N	1		9,977	9,778	9,778	199	12/1/2019	C		10/19/2020
4500315764	SKYWORKS LLC 100 THIELMAN DR BUFFALO, NY 14206-2359 US	INSALL OF SKYPOWER GENERATOR ON JLG 600SJC	E	C	5	N	N	1		6,000	6,000	6,000	0	11/25/2019	C		1/3/2020
4500315825	ANSYS INC 2600 ANSYS DR CANONSBURG, PA 15317-0404 US	ANSYS SOFTWARE PRODUCT RENEWAL	E	B	7	N	N	1		138,631	92,421	46,210	46,210	10/25/2019	O	3/31/2023	

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4500315882	FERGUSON ELECTRIC CONSTRUCTION CO INC 333 ELLICOTT ST BUFFALO, NY 14203-1618 US	CABLE TRAY INSTALLATION	C	B		N	N	2		838,909	666,005	666,005	172,904	12/2/2019	C		12/1/2020
4500315922	C D PERRY LLC PO BOX 866 TROY, NY 12181-0866 US	BOAT BARRIER ANCHORS PROJECT	C	B		N	01	3		97,244	54,900	54,900	42,344	12/3/2019	C		12/2/2020
4500315941	FABER ASSOCIATES INC DBA FABER INDUSTRIAL TECHNOLOGIES 1111 PAULISON AVE PO BOX 2000 CLIFTON, NJ 07015-2000 US	HEAT TRACE CABLES	E	B	5	F	N	1		44,110	44,110	44,110	0	12/3/2019	C		3/20/2020
4500315944	SIEMENS INDUSTRY INC 10900 WAYZATA BLVD - STE 400 MINNETONKA, MN 55305-5602 US	MAINTENANCE - SCADA	R	1	1	N	N	1		427,923	427,923	427,923	0	12/3/2019	C		1/2/2020
4500315946	PRO-QUIP INC 4 MARK RD - STE C KENILWORTH, NJ 07033-1025 US	SEALING RING	E	B	5	F	N	3	*	7,683	7,793	7,793	0	12/3/2019	C		3/5/2020
4500315991	VAISALA INC 194 S TAYLOR AVE LOUISVILLE, CO 80027-3024 US	SOFTWARE, LIGHTNING DETECTION	I	2	5	F	N	1		30,150	30,150	26,550	0	1/1/2020	C		12/31/2020
4500316001	HAGE CARPET CO INC 4661 COMMERICAL DR - PO BOX 335 NEW HARTFORD, NY 13413 US	CARPET INSTALLATION AND MATERIALS	S	B	7	N	N	1		27,854	0	0	27,854	12/4/2019	C		1/1/2020
4500316036	PRENTICE OFFICE ENVIRONMENTS INC 472 FRANKLIN ST BUFFALO, NY 14202 US	SOLAR SHADES FOR PV	E	B	5	N	N	1		11,276	11,276	11,276	0	12/4/2019	C		3/26/2020
4500316042	HRP ASSOCIATES INC 197 SCOTT SWAMP RD FARMINGTON, CT 06032-3149 US	ENVIRONMENTAL CONSULTING SERVICES FOR THE NEW YORK CITY HEALTH AND HOSPITAL - BELLVUE CHP PROJECT	P	B	7	F	N	1		32,815	22,183	22,183	10,632	12/5/2019	C		12/4/2020
4500316052	MINORITECH INC 15 HYTEC CIR ROCHESTER, NY 14606-4255 US	DIGITAL VIDEO STORAGE EQUIPMENT	E	M	8	N	04	5	*	89,969	90,095	0	0	12/4/2019	O	1/21/2021	
4500316054	SCOTT ELECTRIC SUPPLY INC 3253 WALDEN AVE DEPEW, NY 14043-2821 US	LED LIGHTS	E	B	5	N	N	2		8,480	8,395	8,395	85	12/4/2019	C		10/19/2020
4500316055	DIVAL SAFETY EQUIPMENT INC 1721 NIAGARA ST BUFFALO, NY 14207-3108 US	MILLER ARC RATED HARNESS	E	B	5	N	N	1		6,009	6,009	6,009	0	12/4/2019	C		10/19/2020
4500316056	DIVAL SAFETY EQUIPMENT INC 1721 NIAGARA ST BUFFALO, NY 14207-3108 US	HEATED STAIR MATS	E	B	5	N	N	1		5,977	5,977	5,977	0	12/4/2019	C		10/19/2020
4500316058	FEDRESULTS INC 1900 CAMPUS COMMONS DR - STE 100 RESTON, VA 20191-1535 US	TABLEAU SOFTWARE SUBSCRIPTION	I	B	7	F	N	1		20,905	20,905	20,905	0	12/5/2019	C		6/27/2020

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4500316106	HEALTH LOGISTICS RN AND NP ADULT PASSPORT HEALTH OF NEW YORK STATE 2805 WEHRLE DR STE 2 WILLIAMSVILLE, NY 14221-7383 US	FLU SHOTS ADMINISTERED	P	2	5	N	N	1		12,450	0	0	12,450	10/28/2019	C		2/28/2020
4500316118	THYSSEN ELEVATOR CO 6067 CORPORATE DR EAST SYRACUSE, NY 13057-1082 US	ELEVATOR REPAIRS	S	B	7	N	N	2		106,674	106,674	106,674	0	12/6/2019	C		6/19/2020
4500316122	COLOR METHODS INC DBA CMI COMMUNICATIONS/CMI AV 400 MILE CROSSING BLVD ROCHESTER, NY 14624-6202 US	PROVIDE AUDIOVISUAL AND TECNICAL SUPPORT FOR CUSTOMER CLEAN ENERGY EXCHANGE	E	2	8	N	N	1		15,440	15,440	0	0	12/6/2019	C		1/31/2020
4500316132	VALVE INDUSTRIES INC 4 SLATE CT - APT D-2 WOODLAND PARK, NJ 07424-4247 US	MOTOR SWAP FOR TEFC TO TEAO 75HP	E	B	5	F	N	3		10,956	10,654	10,654	302	12/6/2019	C		3/28/2020
4500316143	ASI MARINE LP 40 CENTRE DR - STE 3 ORCHARD PARK, NY 14127-4100 US	VESSEL RENTAL FOR TEST AND MEASUREMENT ANCHOR ICE THICKNESS	S	2	5	N	N	1		25,000	11,000	11,000	14,000	12/6/2019	O	6/30/2021	
4500316155	SKYWORKS LLC 100 THIELMAN DR BUFFALO, NY 14206-2359 US	2020 JLG 1850AJ BOOM LIFT WITH SKYPOWER	E	B		N	N	6		349,687	349,687	349,687	0	12/6/2019	C		1/15/2020
4500316179	M & B ENGINEERED SOLUTIONS INC 75 LAUREL ST CARBONDALE, PA 18407-2106 US	DETERMINE CAUSE OF HIGH VIBRATION ON GAS COMPRESSOR	E	B	5	F	N	1		7,388	0	0	7,388	12/9/2019	O	2/5/2021	
4500316183	CANON SOLUTIONS AMERICA INC 425 N MARTINGALE RD - STE 1650 SCHAUMBURG, IL 60173-2215 US	MULTIFUNCTIONAL COLOR PLOTTERS	E	B	7	F	N	1		107,390	100,022	100,022	7,368	12/9/2019	C		12/8/2020
4500316193	CADY ENTERPRISE INC 1336 FOX HILL RD - PO BOX 154 ULYSSES, PA 16948-9352 US	BEARINGS	E	B	5	F	N	1		41,000	0	0	41,000	12/9/2019	O	4/1/2021	
4500316194	BLUBAKER VENTURES LIMITED 5 CARDEN PLACE ABERDEEN, AB AB10 1UT GB	MAINTENANCE - DMC2 DATA MANAGEMENT CONSOLE	S	1	6	N	N	1		15,266	15,266	0	0	1/1/2020	C		12/31/2020
4500316204	FIRST ENVIRONMENT INC 91 FULTON ST - STE 1 BOONTON, NJ 07005-1942 US	ENVIRONMENTAL ISO GAP ANALYSIS	P	B		N	02	6		131,175	5,000	5,000	126,175	12/3/2019	C		8/25/2020
4500316251	WESCO DISTRIBUTION INC PO BOX 390 SYRACUSE, NY 13201-0390 US	MULTILIN RELAY	E	B	5	N	N	3		14,840	14,620	14,620	220	12/10/2019	C		1/9/2020
4500316257	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	PS59 WILLIAM FLOYD GREENHOUSE LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		15,440	15,440	0	0	11/29/2019	C		6/30/2020

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4500316283	RONCO SPECIALIZED SYSTEMS INC 6310 DAEDALUS RD CICERO, NY 13039-8899 US	SMARTUSE MONITOR	E	B	7	N	N	1		5,083	5,083	5,083	0	12/11/2019	C		10/19/2020
4500316318	APPLIED ECOLOGICAL SERVICES INC 17921 W SMITH RD BRODHEAD, WI 53520-9355 US	POLLINATOR GARDEN LANDSCAPING	S	B		N	N	4		81,533	41,500	41,500	40,033	12/12/2019	C		12/11/2020
4500316321	VOITH HYDRO INC 760 E BERLIN RD YORK, PA 17408-8701 US	STATOR PARTS	E	1	8	F	N	1		53,494	53,494	53,494	0	12/12/2019	C		2/19/2020
4500316361	R P ADAMS DBA FOR ADAMS SFC INC 225 E PARK DR TONAWANDA, NY 14150-7813 US	STRAINER PARTS	E	B	5	N	N	2		9,029	9,029	6,429	0	12/13/2019	C		10/16/2020
4500316369	KESTREL POWER ENGINEERING LLC 9126 N 2150 EAST RD FAIRBURY, IL 61739-9204 US	TESTING MOD-026/027	S	B		F	N	3		81,950	14,250	14,250	67,700	12/13/2019	C		12/13/2020
4500316371	AERODERIVATIVE GAS TURBINE SUPPORT INC 1141 S ROGERS CIR - STE 11 BOCA RATON, FL 33487-2789 US	SPEED SENSORS	E	B	5	F	N	4	*	41,200	41,385	41,385	0	12/13/2019	C		1/22/2020
4500316383	HINKEL EQUIPMENT RENTAL ASSOC INC 2410 HIGH RD HUNTINGDON VALLEY, PA 19006 US	REPAIR OF BRONTO SI 178	S	1	6	F	N	1		8,935	8,935	0	0	12/13/2019	C		12/13/2020
4500316391	ROBERT BROOKE & ASSOCIATES 1465 AXTELL DR STE B TROY, MI 48084-7000 US	BATHROOM PARTITION	E	B	5	N	N	2		6,340	6,340	6,340	0	12/13/2019	C		1/31/2020
4500316392	BRODNER EQUIPMENT INC 3918 LYELL RD ROCHESTER, NY 14606-4398 US	WALK BEHIND MOWER	E	B	5	N	N	2		10,250	10,250	10,250	0	12/13/2019	C		2/20/2020
4500316393	ENVIRONMENTAL SYSTEMS RESEARCH INSTITUTE INC 380 NEW YORK ST REDLANDS, CA 92373-8100 US	MAINTENANCE - ARCGIS	S	B	7	F	N	1		68,625	68,625	0	0	1/1/2020	C		12/31/2020
4500316400	PIERCE STEEL FABRICATORS INC 430 N 7TH ST OLEAN, NY 14760-2330 US	PONTOON AND BOUY BARRELS	E	B		N	N	4		93,650	93,650	93,650	0	12/13/2019	C		10/16/2020
4500316402	KISTNER CONCRETE PRODUCTS INC 8713 READ RD PO BOX 218 EAST PEMBROKE, NY 14056-9204 US	JERSEY BARRIERS	E	B	5	N	N	2		16,248	16,248	16,248	0	12/13/2019	C		10/16/2020
4500316415	BALTIMORE AIRCOIL CO 560 WHITE PLAINS RD TARRYTOWN, NY 10591 US	COOLING TOWER PARTS	E	B	5	F	N	2		15,516	15,516	15,516	0	12/13/2019	C		1/8/2020

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4500316424	PEAKER SERVICES INC 8080 KENSINGTON CT BRIGHTON, MI 48116-8591 US	FUEL	S	2	8	F	N	1		75,000	15,098	15,098	59,902	12/16/2019	C		12/15/2020
4500316441	EATON CORP C/O HASGO POWER EQUIPMENT SALES INC 130 COMMONWEALTH DR WARRENDALE, PA 15086-7501 US	13.8 KV SWGR REPLACEMENT	E	B		F	N	3		25,272,279	877,611	877,611	24,394,668	1/6/2020	O	1/5/2022	
4500316451	YORK LADDER INC 3720 12TH ST LONG ISLAND CITY, NY 11101-6098 US	SCAFFOLDING	E	C	5	N	N	1		22,078	22,077	22,077	1	12/16/2019	C		1/14/2020
4500316454	HITACHI T & D SOLUTIONS INC 7250 MCGINNIS FERRY RD SUWANEE, GA 30024-1245 US	BREAKER SUPPORT	S	2	5	N	N	1		18,025	12,362	12,362	5,663	12/17/2019	C		12/1/2020
4500316457	MIRABITO FUEL GROUP 44 GRAND ST SIDNEY, NY 13838-1183 US	FUEL	E	B	7	N	N	1		6,995	6,982	0	13	12/17/2019	C		1/6/2020
4500316458	MICHELS POWER INC DBA FOR M10 INC 1775 E SHADY LN NEENAH, WI 54956 US	MOSES ADIRONDACK SMART PATH PROJECT CONSTRUCTION SERVICES	C	B		F	N	3		314,274,993	90,875,813	90,875,813	223,399,180	12/18/2019	O	12/17/2024	
4500316489	CDW COMPUTER CENTER INC CDW GOV'T SALES 200/230 N MILWAUKEE AVE VERNON HILLS, IL 60061 US	ADOBE ECHOSIGN RENEWAL - 20 LICENSES	E	B	7	N	N	1		9,180	1,836	1,836	7,344	11/18/2019	O	2/22/2021	
4500316496	GOTTOGO ELECTRIC INC DBA FOR GOTTOGO ENTERPRISES 7865 E MAIN RD LE ROY, NY 14482-9747 US	POTENTIAL TRANSFORMER	E	B	5	N	03	3		45,675	45,675	45,675	0	12/17/2019	C		12/1/2020
4500316508	CADY ENTERPRISE INC 1336 FOX HILL RD - PO BOX 154 ULYSSES, PA 16948-9352 US	GAS COMPRESSOR PARTS	E	B	5	F	N	1	*	31,460	31,619	31,619	0	12/17/2019	C		9/25/2020
4500316519	SPECVIEW CORPORATION 11010 HARBOR HILL DR STE B GIG HARBOR, WA 98332-8953 US	SCADA SOFTWARE	I	2	5	N	N	1	*	5,385	5,409	5,409	0	12/17/2019	C		1/6/2020
4500316545	STEELCASE INC C/O PRENTICE OFFICE ENVIRONMENTS 901 44TH ST SE GRAND RAPIDS, MI 49508-7594 US	OFFICE FURNITURE	E	B	7	N	N	1		9,534	9,534	9,534	0	12/18/2019	C		10/19/2020
4500316546	YOKOGAWA CORPORATION OF AMERICA C/O APPLIED MEASUREMENT & CONTROL 314 HOGAN RD FAIRPORT, NY 14450-8414 US	TELECOMM EQUIPMENT	E	2	5	N	N	1	*	8,859	8,981	8,981	0	12/18/2019	C		4/14/2020

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4500316548	M&E ENGINEERS INC 26 W HIGH ST SOMERVILLE, NJ 08876-2104 US	CONSULTING SERVICES	P	2	8	F	N	1		25,000	3,091	3,091	21,909	12/18/2019	C		6/30/2020
4500316557	POWER LINE SYSTEMS INC 5400 KING JAMES WAY SUITE 300 MADISON, WI 53719-1703 US	PLS CADD LICENSE RENEWAL	I	2	5	F	N	1		15,624	15,624	15,624	0	12/18/2019	C		3/17/2020
4500316564	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	CISCO EQUIPMENT TO SUPPORT THE DIGITAL UTILITY PROGRAM	H	B	7	F	N	2		423,796	423,796	423,796	0	12/18/2019	C		2/21/2020
4500316574	BAKER HUGHES HOLDINGS LLC NEXUS CONTROLS LLC 1800 NELSON RD LONGMONT, CO 80501-6324 US	DC CONTACTOR	E	B	5	F	N	1		16,683	16,683	16,683	0	12/18/2019	C		10/19/2020
4500316577	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		5,858	5,857	0	1	12/20/2019	C		1/6/2020
4500316622	CIR ELECTRICAL CONSTRUCTION CORP 400 INGHAM AVE BUFFALO, NY 14218-2536 US	LED LIGHT INSTALLATION	S	B		N	N	1		60,700	60,700	60,700	0	12/20/2019	C		10/16/2020
4500316627	SS & C TECHNOLOGIES INC 80 LAMBERTON RD - STE 7 WINDSOR, CT 06095-2150 US	DBC FINANCE RENEWAL	S	1	5	N	N	1		13,368	13,368	0	0	12/17/2019	C		12/16/2020
4500316636	NOKIA OF AMERICA CORPORATION 600 MOUNTAIN AVE #700 NEW PROVIDENCE, NJ 07974-2008 US	LTE LAB	H	C	8	F	N	3		95,260	50,850	50,850	44,410	12/20/2019	O	6/30/2021	
4500316642	SS & C TECHNOLOGIES INC 80 LAMBERTON RD - STE 7 WINDSOR, CT 06095-2150 US	PORTIA SOFTWARE MAINTENANCE	S	1	8	N	N	1		56,593	56,593	56,593	0	12/31/2019	C		12/30/2020
4500316649	S & B COMPUTER & OFFICE PRODUCTS INC 17 WOOD RD - STE 7000 ROUND LAKE, NY 12151 US	OFFICE SUPPLIES	E	B	7	N	04	1		50,050	27,516	27,516	22,534	1/1/2020	C		12/31/2020
4500316652	METRO AIR PRODUCTS LLC D/B/A MIH SALES GROUP LLC 20 W 36TH ST RM 700 NEW YORK, NY 10018-9788 US	ROOF FAN PARTS	E	B	5	N	N	1		35,985	35,985	35,985	0	12/20/2019	C		5/11/2020
4500316660	KELLY & HAYES ELECTRICAL SUPPLY OF L I INC 66 SOUTHERN BLVD NESCONSET, NY 11767-1092 US	CABLE	E	B	5	N	N	1		17,693	17,693	17,693	0	12/20/2019	C		2/10/2020
4500316665	PLATTS (S & P GLOBAL PLATTS) DBA FOR S & P GLOBAL INC 2 PENN PLZ - FL 25 NEW YORK, NY 10121-2295 US	ANNUAL RENEWAL - S AND P GLOBAL PLATTS SUBSCRIPTION	S	1	8	N	N	1		442,957	442,957	0	0	11/13/2019	C		11/12/2020

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4500316668	F & F INDUSTRIAL EQUIPMENT CORP 195 TOWER DR MIDDLETOWN, NY 10941-2034 US	INFOSIGHT ID TAG	E	B	5	N	01	1		6,600	6,600	6,600	0	12/20/2019	C		1/16/2020
4500316671	F & F INDUSTRIAL EQUIPMENT CORP 195 TOWER DR MIDDLETOWN, NY 10941-2034 US	STORM TRAILER	E	B	5	N	01	3		14,280	14,137	14,137	143	12/20/2019	C		1/3/2020
4500316675	SHI INTERNATIONAL CORP 290 DAVIDSON AVE SOMERSET, NJ 08873-4145 US	ANNUAL VARIPHY SUBSCRIPTION	S	B	7	F	N	4		12,499	12,499	12,499	0	12/30/2019	C		12/29/2020
4500316677	HUBSTOR INC 515 LEGGET DRIVE SUITE 800 KANATA, ON K2K 3G4 CA	HUBSTOR AZURE SUBSCRIPTION	S	2	6	N	N	1	*	36,573	31,935	31,935	4,638	12/30/2019	C		12/29/2020
4500316678	BARCODES INC DBA FOR BARCODES LLC 200 W MONROE ST - STE 1050 CHICAGO, IL 60606-5122 US	RUGGED ZEBRA TABLET, MAINTENANCE, AND ACCESSORIES	H	B	7	F	N	1		68,042	68,042	68,042	0	12/22/2019	C		3/3/2020
4500316679	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	HP ORACLE SERVERS	H	B	7	F	04	1		62,261	62,261	62,261	0	12/22/2019	C		1/24/2020
4500316687	THE BUFFALO NEWS INC PO BOX 288 TONAWANDA, NY 14151-0288 US	PV ADVERTISING	S	1	5	N	N	1		11,201	11,201	11,201	0	12/23/2019	C		3/26/2020
4500316732	KARYN BURNS ABC LLC 4371 HENNEBERRY RD MANLIUS, NY 13104-8425 US	EDUCATIONAL MATERIALS	E	2	8	N	N	1		60,000	60,000	60,000	0	12/24/2019	C		1/20/2020
4500316744	PINTO CONSTRUCTION SERVICES INC 132 DINGENS ST BUFFALO, NY 14210-2308 US	NORTH UTILITY CORRIDOR UPGRADE	C	B		N	N	1		2,297,259	0	0	2,297,259	3/3/2020	O	3/2/2022	
4500316751	CARAHSOFT TECHNOLOGY CORPORATION SUITE 100 1860 MICHAEL FARADAY DRIV RESTON, VA 20190 US	MAINTENANCE - SAP	S	B	7	N	N	1		664,318	664,318	664,318	0	1/1/2020	C		12/31/2020
4500316758	TEMP-PRESS INC 30 HYTEC CIRCLE ROCHESTER, NY 14606 US	VALVE KITS	E	B	5	N	N	1		23,443	23,343	23,343	100	12/26/2019	C		10/19/2020
4500316759	TEMP-PRESS INC 30 HYTEC CIRCLE ROCHESTER, NY 14606 US	RM STRAINER PARTS	E	B	5	N	N	2		10,098	10,098	10,098	0	12/26/2019	C		10/19/2020
4500316760	CITY ELECTRIC COMPANY DBA FOR COOPERFRIEDMAN ELECTRIC SUP 450 TRACY ST SYRACUSE, NY 13204-2435 US	GRINDER PUMPS	E	B	5	N	N	2		11,280	11,280	11,280	0	12/26/2019	C		10/19/2020
4500316763	ADIRONDACK ENERGY PRODUCTS INC ADIRONDACK PROPANE 17 JUNCTION RD MALONE, NY 12953-4217 US	FUEL	E	B	7	N	01	1	*	6,571	6,577	3,426	0	12/27/2019	C		1/3/2020

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4500316764	THYSSEN ELEVATOR CO 6067 CORPORATE DR EAST SYRACUSE, NY 13057-1082 US	ELEVATOR REPAIRS	S	B	7	N	N	1		6,000	4,251	4,251	1,749	12/27/2019	C		1/21/2020
4500316776	MATHWORKS INC 3 APPLE HILL DR NATICK, MA 01760-2098 US	MAINTENANCE - MATLAB	S	2	5	N	N	1		8,877	8,877	8,877	0	1/1/2020	C		12/31/2020
4500316795	PROTEK INFORMATION TECH SRV LLC 492 MITCHELL DR VALLEY COTTAGE, NY 10989-2208 US	DRAGOS CYBER SECURITY SOLUTION	H	M	8	N	03	1		56,200	56,200	56,200	0	12/27/2019	C		12/26/2020
4500316797	CEC STUYVESANT COVE INC DBA SOLAR ONE 37 W 26TH ST - RM 209 NEW YORK, NY 10010-1129 US	COMMUNITY-BASED ENERGY LITERACY PROGRAM	P	B		N	N	2		64,967	15,590	15,590	49,377	2/1/2020	O	8/31/2021	
4500316856	WNY OCCUPATIONAL HEALTH CARE 621 10TH ST - PO BOX 708 NIAGARA FALLS, NY 14301-1813 US	OFF-SITE EMPLOYEE MEDICAL SERVICES	E	B	5	N	N	2		24,990	11,315	11,315	13,675	1/1/2020	C		12/31/2020
4500316861	CUMMINS NORTHEAST LLC 101 RAILROAD AVE ALBANY, NY 12205 US	GENERATOR PARTS AND REPAIR	E	2	5	N	N	1		5,021	5,021	5,021	0	1/2/2020	C		1/22/2020
4500316869	METROWEST ELECTRIC SALES INC 18 LYMAN ST - STE A WESTBOROUGH, MA 01581-1436 US	ELECTRICAL CABLE	E	B	5	F	N	1	*	11,093	12,037	12,037	0	1/2/2020	C		10/16/2020
4500316888	DLT SOLUTIONS LLC 2411 DULLES CORNER PARK - STE 800 HERNDON, VA 20171-6168 US	SOFTWARE,TRIPWIRE	E	B	7	F	N	1		22,243	22,243	22,243	0	1/2/2020	C		10/31/2020
4500316913	ZINTER HANDLING INC 4313 ROUTE 50 SARATOGA SPRINGS, NY 12866-2914 US	INVERTER,CRANE	E	B	5	N	01	3		11,872	11,872	11,872	0	1/3/2020	C		1/28/2020
4500316919	THE IQ BUSINESS GROUP 1751 PINNACLE DR STE 600 MCLEAN, VA 22102-3033 US	ENTERPRISE CONTENT MANAGEMENT	P	B		F	N	9		681,222	47,030	47,030	634,192	3/23/2020	O	8/10/2021	
4500316921	CITY ELECTRIC COMPANY DBA FOR COOPERFRIEDMAN ELECTRIC SUP 450 TRACY ST SYRACUSE, NY 13204-2435 US	LED LAMPS	E	B	5	N	N	2		49,988	49,925	49,925	63	1/3/2020	C		10/19/2020
4500316934	INTIVITY INC 106 DESPATCH DR - STE 2 EAST ROCHESTER, NY 14445-1448 US	FURNITURE	E	B	7	N	04	1		17,955	17,955	17,955	0	1/3/2020	C		2/26/2020
4500316944	JR MACHINERY ASSOCIATES 456 HINMAN AVE BUFFALO, NY 14216-1019 US	IRONWORKER MACHINE	E	B	5	F	N	1		45,970	45,970	45,970	0	1/3/2020	C		10/16/2020

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4500316963	NATHAN STEEL CORP PO BOX 299 UTICA, NY 13502-2534 US	REBAAR	E	B	5	N	N	2		5,435	5,435	5,435	0	1/6/2020	C		1/24/2020
4500316977	A & G INDUSTRIAL SERVICES INC 19 RICHARDS RD PLYMOUTH, MA 02360-4871 US	CARBON FIBER WRAPPING	S	2	5	N	N	1		15,200	15,200	15,200	0	1/14/2020	C		10/16/2020
4500317000	ROLFE INDUSTRIES INC 2 PARKFORD DR - PO BOX 673 CLIFTON PARK, NY 12065-3234 US	SUMP PUMP AND MOTOR	E	B	6	N	03	1		14,674	14,674	14,674	0	1/7/2020	C		1/7/2020
4500317006	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	SOFTWARE - ACRONIS	I	2	5	N	04	1		42,755	42,755	42,755	0	1/7/2020	C		1/28/2020
4500317017	IBM CORP FORMERLY STERLING COMMERCE CVG NORTH CASTLE DR ARMONK, NY 10504 US	MAINTENANCE - IBM	I	B	7	N	N	1		72,129	69,185	69,185	2,944	1/7/2020	O	1/1/2021	
4500317055	SUEZ WTS USA INC 4636 SOMERTON RD TREVOSE, PA 19053 US	WATER TREATMENT CHEMICALS	E	B	5	F	N	1	*	13,460	13,595	13,595	0	1/8/2020	C		1/27/2020
4500317062	FERRELLGAS LP 5859 STATE RTE 31 VERONA, NY 13478-3713 US	PROPANE	E	B	7	N	N	1		10,762	10,762	10,762	0	1/8/2020	C		1/8/2020
4500317078	COMSOURCE INC 8104 CAZENOVIA WAY MANLIUS, NY 13104 US	UPS BATTERIES	E	B	5	N	N	1		13,758	13,607	13,607	151	1/8/2020	C		1/28/2020
4500317098	VALVE INDUSTRIES INC 4 SLATE CT - APT D-2 WOODLAND PARK, NJ 07424-4247 US	STOCK	E	B	5	N	N	2		12,570	12,570	12,570	0	1/8/2020	C		1/17/2020
4500317104	HEWLETT PACKARD ENTERPRISE CO 3000 HANOVER ST PALO ALTO, CA 94304-1185 US	HPE SERVICE MAINTENANCE	R	2	5	F	N	1		38,581	38,581	38,581	0	1/8/2020	C		2/26/2020
4500317105	HOERBIGER SERVICE INC 12 MCCULLOUGH BLDG. #4 NEW CASTLE, DE 19720 US	PUMP SHAFT	E	B	5	F	N	1	*	9,474	9,565	9,565	0	1/8/2020	C		3/16/2020
4500317106	SIEMENS INDUSTRY INC 10900 WAYZATA BLVD - STE 400 MINNETONKA, MN 55305-5602 US	BARCO CONTROLLER	R	2	5	F	N	1		16,028	0	0	16,028	1/8/2020	O	1/1/2021	
4500317110	DELL MARKETING LP 850 ASBURY DR BUFFALO GROVE, IL 60089-4557 US	MICROSOFT ENTERPRISE ESU FOR WINDOWS SERVER DC 2	E	B	7	F	N	1		15,408	0	0	15,408	1/8/2020	O	1/7/2021	
4500317139	UNDERGROUND SYSTEMS INC 3A TROWBRIDGE DR BETHEL, CT 06801-2858 US	INSTALL TEST USI'S REAL-TIME HPFF CABLE CATHODIC PROTECTION	E	1	8	F	N	1		178,469	59,000	59,000	119,469	1/11/2020	O	12/31/2022	
4500317140	SKM SYSTEMS ANALYSIS INC 1 PEARL ST REDONDO BEACH, CA 90277-3739 US	SKM POWER TOOLS UPGRADE	E	1	6	F	N	1		14,300	14,300	14,300	0	1/9/2020	C		1/13/2020

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4500317141	ROLFE INDUSTRIES INC 2 PARKFORD DR - PO BOX 673 CLIFTON PARK, NY 12065-3234 US	FLOWSERVE PUMP	E	B	6	N	03	3		19,925	19,925	19,925	0	1/9/2020	C		5/8/2020
4500317147	JAMES H MALOY INC 421 ALBANY SHAKER RD - PO BOX 11016 LOUDONVILLE, NY 12211-1815 US	TRENCH DRAIN INSTALLATION	C	B	6	N	01	2		92,490	92,490	92,490	0	1/9/2020	C		11/30/2020
4500317150	CDW COMPUTER CENTER INC CDW GOV'T SALES 200/230 N MILWAUKEE AVE VERNON HILLS, IL 60061 US	RSA IRONKEY ANNUAL SUBSCRIPTION SERVICES	S	B	7	N	N	1		53,868	53,868	53,868	0	1/1/2020	C		12/31/2020
4500317180	EL ELECTRONICS LLC 1800 SHAMES DR WESTBURY, NY 11590-1730 US	NEXUS 1500+ METER	E	C	5	N	N	1	*	8,150	8,210	8,210	0	1/10/2020	C		1/31/2020
4500317195	F & F INDUSTRIAL EQUIPMENT CORP 195 TOWER DR MIDDLETOWN, NY 10941-2034 US	CONDENSOR	E	B	5	F	01	1		5,780	5,722	5,722	58	1/10/2020	C		1/24/2020
4500317198	CADY ENTERPRISE INC 1336 FOX HILL RD - PO BOX 154 ULYSSES, PA 16948-9352 US	GAS COMPRESSOR BEARINGS	E	B	5	F	N	1		41,000	0	0	41,000	1/10/2020	O	4/1/2021	
4500317199	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	DELL DATA PROTECTION (DDPE)	S	B	7	N	04	3		12,532	12,532	12,532	0	11/29/2019	C		11/28/2020
4500317210	CASSONE LEASING INC 1900 LAKELAND AVE RONKONKOMA, NY 11779-7400 US	OFFICE TRAILER RENTAL	E	C	5	N	03	2		18,060	18,060	18,060	0	1/10/2020	C		2/25/2020
4500317211	AVIATION POWER & MARINE LLC 1811 CORPORATE DR BOYNTON BEACH, FL 33426-9086 US	FLAME DETECTORS	E	B	5	F	N	2	*	20,463	20,516	20,516	0	1/10/2020	C		1/22/2020
4500317231	R P ADAMS DBA FOR ADAMS SFC INC 225 E PARK DR TONAWANDA, NY 14150-7813 US	STRAINER PARTS	E	B	5	N	N	2		18,976	18,976	18,976	0	1/13/2020	C		10/16/2020
4500317244	CED BALDWIN HALL CO PO BOX 780758 PHILADELPHIA, PA 19178-0757 US	ELETRICAL MATERIALS	E	B	5	F	N	4		7,191	7,119	7,119	72	1/13/2020	C		3/3/2020
4500317254	POWERRUNNER LLC 145 SOUTH RD BRENTWOOD, NH 03833-6301 US	MAINTENANCE - POWERRUNER MANAGED SERVICES	S	1	8	N	N	1	*	61,750	62,321	62,321	0	12/1/2019	C		11/30/2020
4500317273	DELLAVERSON PC 381 PARK AVE S RM 720 NEW YORK, NY 10016-8831 US	LEGAL SUPPORT FOR UNION NEGOTIATIONS	L	2	8	N	N	1		120,000	120,000	120,000	0	10/1/2019	C		9/30/2020
4500317312	MASS TANK INSPECTION SERVICES LLC 29 ABBEY LN MIDDLEBORO, MA 02346-3230 US	FUEL	E	B	8	F	02	7		62,600	62,600	62,600	0	1/14/2020	C		12/9/2020

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4500317344	DIVAL SAFETY EQUIPMENT INC 1721 NIAGARA ST BUFFALO, NY 14207-3108 US	ANCHOR SHACKLES	E	B	5	F	N	2		12,143	12,143	12,143	0	1/15/2020	C		10/16/2020
4500317369	PHOENIX LIDAR SYSTEMS LLC 10131 NATIONAL BLVD LOS ANGELES, CA 90034-3804 US	UAS WITH LIDAR	E	B		F	N	1		295,541	290,541	290,541	5,000	1/23/2020	O	6/30/2021	
4500317371	GROVE ROOFING SERVICES INC 131 READING ST BUFFALO, NY 14220 US	HOIST BUILDING ROOF REPAIRS	C	B		N	N	2		164,120	0	0	164,120	1/15/2020	C		12/30/2020
4500317378	WASHINGTON COMPUTER SERVICES 225 W 35 ST FL 17 NEW YORK, NY 10001-1991 US	APC-UPS POWER SUPPLY FOR COMPUTER EQUIPMENT	E	B	6	N	N	2		12,862	12,862	12,862	0	1/15/2020	O	1/14/2021	
4500317379	TEREX UTILITIES INC DBA TEREX SERVICES 500 OAKWOOK RD WATERTOWN, SD 57201-4166 US	2020 TEREX TM100 AND TM125 TRACKED AERIAL DEVICES	E	C		F	N	2		1,435,463	0	0	1,435,463	1/15/2020	O	1/31/2021	
4500317381	SAFESPAN SCAFFOLDING LLC 252 FILLMORE AVE TONAWANDA, NY 14150 US	SCAFFOLD	S	2	5	N	N	1		7,000	6,600	6,600	400	1/15/2020	C		12/31/2020
4500317405	COMMUNICATIONS TRAINING ANALYSIS CORPORATION 3120 FAIRVIEW PARK DR STE 600 FALLS CHURCH, VA 22042-4571 US	AMAZON WEB SERVICES	S	B	7	F	N	1		35,443	34,957	34,957	486	1/1/2020	C		8/31/2020
4500317444	GENERAL ELECTRIC INTERNATIONAL INC 1 RIVER RD - BLDG 53-310 SCHENECTADY, NY 12305-2551 US	CONSULTING SERVICES	S	2	8	N	N	1		100,000	77,425	77,425	22,575	1/1/2020	C		12/31/2020
4500317449	HEALTH LOGISTICS RN AND NP ADULT PASSPORT HEALTH OF NEW YORK STATE 2805 WEHRLE DR STE 2 WILLIAMSVILLE, NY 14221-7383 US	FLU SHOTS	P	B	5	N	N	1		12,450	12,450	12,450	0	10/24/2019	C		4/30/2020
4500317450	GRAYBAR ELECTRIC CO INC 229 CHURCH ST ALBANY, NY 12202-1060 US	DISCONNECTS	E	B	6	N	N	3	*	28,620	28,670	28,670	0	1/16/2020	C		1/16/2020
4500317469	FILTREC CORP 5440 LOCKWOOD RD AUBURN, NY 13021-8110 US	AIR COMPRESSOR AND INSTALLATION	E	B	5	N	N	1		22,412	22,412	22,412	0	1/17/2020	C		12/30/2020
4500317473	ELECTRIC POWER GROUP LLC 251 S LAKE AVE STE 300 PASADENA, CA 91101-3055 US	EPDC	R	2	5	F	N	1		11,090	11,090	11,090	0	1/17/2020	O	1/13/2021	

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4500317489	B & H PHOTO VIDEO DBA FOR B&H FOTO & ELECTRONICS CORP 420 9TH AVE NEW YORK, NY 10001-1644 US	TELEVISIONS AND MOUNTING BRACKETS	E	B	5	N	N	2		6,520	6,520	6,520	0	1/17/2020	C		2/25/2020
4500317505	WESCO DISTRIBUTION INC 120 GALLERIA DR CHEEKTOWAGA, NY 14225-5193 US	LED LIGHTS	E	B	5	N	N	2		14,031	14,031	14,031	0	1/17/2020	C		3/30/2020
4500317523	MERCER (US) INC 1166 AVENUE OF THE AMERICAS NEW YORK, NY 10036-2708 US	WORKFORCE PLANNING	P	B		N	N	8		1,848,416	1,603,083	1,603,083	245,333	12/30/2019	O	12/29/2024	
4500317532	FEDRESULTS INC 1900 CAMPUS COMMONS DR - STE 100 RESTON, VA 20191-1535 US	MAINTENANCE - TABLEAU	S	B	7	N	N	1		63,854	63,854	63,854	0	3/16/2020	O	3/15/2021	
4500317533	RESOLVER INC 111 PETER ST STE 804 TORONTO, ON M5V 2H1 CA	MAINTENANCE - RESOLVER GRC	S	1	6	N	N	1		10,609	10,609	10,609	0	1/1/2020	C		12/31/2020
4500317534	ASPEN INC 49 N SAN MATEO DR SAN MATEO, CA 94401-2865 US	MAINTENANCE - ASPEN	S	1	6	N	N	1		9,972	9,972	9,972	0	2/1/2020	O	1/31/2021	
4500317535	SYN-TECH SYSTEMS INC PO BOX 5258 TALLAHASSEE, FL 32314 US	MAINTENANCE - FUEL MASTER	E	1	6	N	N	1		17,625	5,875	5,875	11,750	1/1/2020	O	12/31/2022	
4500317542	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 1870 WINTON RD S - STE 200 ROCHESTER, NY 14618-3960 US	FUEL	E	B	7	N	N	1	*	5,552	5,567	5,567	0	1/20/2020	C		1/20/2020
4500317546	PACKAGE ONE INDUSTRIES LLC 414 UNION ST SCHENECTADY, NY 12305-1107 US	PACKING BOX WEAR RING	E	B	5	N	N	3		7,500	7,500	7,500	0	1/20/2020	C		2/17/2020
4500317556	DIVAL SAFETY EQUIPMENT INC 1721 NIAGARA ST BUFFALO, NY 14207-3108 US	FLOOR GRINDER AND START-UP PACK	E	B	5	N	N	1		5,682	5,682	5,682	0	1/21/2020	C		10/16/2020
4500317588	STEELCASE INC C/O PRENTICE OFFICE ENVIRONMENTS 901 44TH ST SE GRAND RAPIDS, MI 49508-7594 US	OFFICE FURNITURE	E	B	7	N	N	1		11,066	11,066	11,066	0	1/21/2020	C		10/19/2020
4500317602	KIDSOUTANDABOUT LLC 642 KREAG RD STE 201 PITTSFORD, NY 14534-3736 US	POWER VISTA ADVERTISEMENT	S	1	5	N	N	1		5,340	0	0	5,340	1/21/2020	C		12/31/2020
4500317633	MX PETROLEUM CORP PO BOX 638 MASSENA, NY 13662 US	FUEL	E	B	7	N	01	1	*	7,006	7,024	7,024	0	1/22/2020	C		2/6/2020

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4500317636	ADIRONDACK ENERGY PRODUCTS INC ADIRONDACK PROPANE 17 JUNCTION RD MALONE, NY 12953-4217 US	FUEL	E	B	7	N	01	1	*	14,590	14,647	14,647	0	1/22/2020	C		1/22/2020
4500317649	F & F INDUSTRIAL EQUIPMENT CORP 195 TOWER DR MIDDLETOWN, NY 10941-2034 US	LIGNUM VITAE BEARINGS	E	B	5	N	01	3		38,420	38,420	38,420	0	1/22/2020	C		6/4/2020
4500317666	MUTUALINK INC 1269 SOUTH BROAD ST WALLINGFORD, CT 06492-1737 US	MUTUALLINK TO PROVIDE HARDWARE AND SOFTWARE FOR EMERGENCY MGT. COMMUNICATIONS	S	B	7	F	N	1		190,873	190,873	190,873	0	1/22/2020	O	1/21/2021	
4500317719	CARAHSOFT TECHNOLOGY CORP 11493 SUNSET HILLS RD STE 100 RESTON, VA 20190-5328 US	MAINTENANCE - GLOBALSCAPE	S	B	7	N	N	1		20,154	20,154	20,154	0	1/31/2020	O	1/30/2021	
4500317726	PROPHECY AMERICAS INC 8480 E ORCHARD RD STE 4350 GREENWOOD VILLAGE, CO 80111-5020 US	SOFTWARE - SNARE	I	2	5	F	N	1		12,167	12,167	12,167	0	1/24/2020	O	1/23/2021	
4500317751	WESCO DISTRIBUTION INC 120 GALLERIA DR CHEEKTOWAGA, NY 14225-5193 US	EATON DISCONNECTS	E	B	5	N	N	2		28,375	28,375	28,375	0	1/24/2020	C		2/11/2020
4500317754	RELEVANT INDUSTRIAL LLC 1423 E RICHEY RD HOUSTON, TX 77073-3508 US	DEMIN NOX FILTERS	E	B	5	F	N	1		5,448	5,448	5,448	0	1/24/2020	C		3/3/2020
4500317758	AERODERIVATIVE GAS TURBINE SUPPORT INC 1141 S ROGERS CIR - STE 11 BOCA RATON, FL 33487-2789 US	THERMOCOUPLES, GASKETS, BATTERY CHARGER	E	B	5	F	N	2	*	11,312	11,553	11,553	0	1/24/2020	C		3/10/2020
4500317816	IBM CORP FORMERLY STERLING COMMERCE CVG NORTH CASTLE DR ARMONK, NY 10504 US	MAINTENANCE - IBM	R	B	5	N	N	1		13,878	13,878	13,878	0	1/27/2020	C		3/13/2020
4500317820	SIEMENS INDUSTRY INC 10900 WAYZATA BLVD - STE 400 MINNETONKA, MN 55305-5602 US	MAINTENANCE - SPECTRUM	R	2	8	N	N	1		598,155	598,155	598,155	0	1/27/2020	C		4/21/2020
4500317832	CHB INDUSTRIES INC 1300 VETERANS MEMORIAL HWY STE 340 HAUPPAUGE, NY 11788-3078 US	ON-CALL WINDOW FILM SERVICES	S	B	7	N	03	1		100,000	2,475	2,475	97,525	1/28/2020	O	1/27/2021	
4500317857	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	HP 34 INCH DISPLAY MONITORS	H	B	7	F	04	7		79,891	79,891	79,891	0	1/28/2020	C		2/10/2020
4500317870	TRS INC 7314 SCHUYLER RD EAST SYRACUSE, NY 13057-9737 US	REFURBISHMENT OF MTR38 TANKER TRAILER	S	B	5	N	N	2		27,986	0	0	27,986	1/28/2020	C		12/14/2020

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4500317873	POWER DELIVERY CONSULTANTS INC 12 PLAINS RD STE 308 ESSEX, CT 06426-1501 US	HPFF CABLE SYSTEM ASSESSMENT	S	B		F	04	3		199,550	108,349	108,349	91,201	2/28/2020	O	2/27/2021	
4500317876	STUART C IRBY CO 4583 BUCKLEY RD LIVERPOOL, NY 13088-2508 US	TOUGHENED GLASS INSULATORS	E	B		N	N	8		129,690	129,690	129,690	0	1/28/2020	O	1/26/2021	
4500317915	TEMP-PRESS INC 30 HYTEC CIRCLE ROCHESTER, NY 14606 US	SMITH BLAIR CAST LINE CAP	E	B	5	N	N	1		10,255	10,255	10,255	0	1/29/2020	C		10/19/2020
4500317923	CONTROL ASSOCIATES INC 20 COMMERCE DR - PO BOX 279 ALLENDALE, NJ 07401-1600 US	Z500 VALVES	E	B	5	F	N	1	*	17,250	17,575	17,575	0	1/29/2020	C		6/16/2020
4500317926	ELECTRO BATTERY SYSTEMS INC 230 WEST PKWY - UNIT # 3 POMPTON PLAINS, NJ 07444 US	UPS BATTERIES	E	B	5	N	N	5		23,039	23,039	23,039	0	1/29/2020	C		3/3/2020
4500317972	SIEMENS INDUSTRY INC 6075 E MALLOY RD - STE 4 SYRACUSE, NY 13211-2134 US	UPGRADE TO BMS HVAC CONTROL SYSTEM	S	2	5	N	N	1		28,295	0	0	28,295	1/30/2020	O	1/29/2021	
4500317985	F W WEBB CO 6792 TOWNLINE RD SYRACUSE, NY 13214 US	GATE VALVES	E	B	5	F	N	3		6,795	6,659	6,659	136	1/30/2020	C		10/16/2020
4500317993	IVCI LLC 601 OLD WILLETS PATH HAUPPAUGE, NY 11788 US	ADMIN BLDG SMART SCREENS	E	B	5	N	N	2	*	22,911	23,180	23,180	0	1/31/2020	C		2/20/2020
4500318001	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	HP ELITEDESK 360 LAPTOPS, ACCESSORIES AND SERVICES	H	B	7	F	04	5		274,800	274,800	274,800	0	1/31/2020	C		4/24/2020
4500318033	PIERCE STEEL FABRICATORS INC 430 N 7TH ST OLEAN, NY 14760-2330 US	STEEL, REINFORCING	E	B	5	N	N	3		12,380	12,380	12,380	0	2/3/2020	C		4/29/2020
4500318062	MILLER ENERGY INC DBA FOR H M MILLER SALES CO 3200 S CLINTON AVE SOUTH PLAINFIELD, NJ 07080-1424 US	TRANSMITTER AND FLOW METER	E	B	5	F	N	2	*	8,216	8,275	8,275	0	2/3/2020	C		3/31/2020
4500318064	MONROE TRACTOR & IMPLEMENT CO INC 7300 EASTMAN RD N SYRACUSE, NY 13212-2507 US	TWO (2) TALBERT 20 TON TAG ALONG TRAILERS	E	B	6	N	03	2		52,672	52,672	52,672	0	2/3/2020	C		6/23/2020
4500318080	F & F INDUSTRIAL EQUIPMENT CORP 195 TOWER DR MIDDLETOWN, NY 10941-2034 US	NH3 HEATERS	E	B	5	F	01	4		24,870	24,621	24,621	249	2/3/2020	C		6/30/2020
4500318082	WESCO DISTRIBUTION INC 465 NEWELL ST - PO BOX 207 WATERTOWN, NY 13601-2427 US	SACE MATERIAL	E	B	5	N	N	3		6,470	6,470	6,470	0	2/3/2020	C		7/1/2020
4500318126	WELLS TECHNOLOGY INC 4885 WINDSOR CT NW BEMIDJI, MN 56601-7659 US	VENDING RESTOCK	E	B	7	F	04	1		5,590	5,590	5,590	0	2/4/2020	C		2/4/2020

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4500318148	BSI SERVICES & SOLUTIONS (NYC) INC CREATIVE ENVIRONMENT SOLUTIONS 141 W 36TH ST FL 3 NEW YORK, NY 10018-6927 US	GAP ANALYSIS OF SAFETY MANAGEMENT SYSTEM	P	B		N	N	7		143,510	0	0	143,510	2/1/2020	O	1/31/2021	
4500318163	ELECTRIC POWER GROUP LLC 251 S LAKE AVE STE 300 PASADENA, CA 91101-3055 US	RTDMS AND DADANXT SOFTWARE MAINTENANCE AND SUPPORT	S	1	8	F	N	1		210,000	210,000	210,000	0	1/1/2019	O	12/31/2021	
4500318170	COACHS CORNER PO BOX 95 MASSENA, NY 13662-0095 US	SAFETY LUNCHEON	S	B	5	N	N	1		5,943	5,943	5,943	0	2/5/2020	C		2/28/2020
4500318178	ALIANZA SERVICES LLC 74 N BROADWAY - 2ND FL SOUTH NYACK, NY 10960-2628 US	FURNITURE	E	B	7	N	04	1		10,478	10,478	10,478	0	2/5/2020	C		4/30/2020
4500318181	MEGGITT SA ROUTE DE MONCOR 4 FRIBOURG, FR 1701 CH	PROCESSOR CARDS	E	B	5	F	N	1	*	12,392	12,492	12,492	0	2/5/2020	C		7/2/2020
4500318213	HADLEY EXHIBITS INC 1700 ELMWOOD AVE BUFFALO, NY 14207-2408 US	EXHIBIT MAINTENANCE AND REPAIRS	S	1	8	N	N	1		185,678	179,872	179,872	5,806	1/1/2020	C		12/31/2020
4500318220	INDUSTRIAL SUPPORT INC 36 DEPOT ST BUFFALO, NY 14206-2204 US	LIGHTING UPGRADES	E	B		N	N	1		162,531	117,906	117,906	44,625	2/6/2020	C		12/30/2020
4500318233	ABB ENTERPRISE SOFTWARE INC STE 500 400 PERIMETER CENTER TER NE ATLANTA, GA 30346-1231 US	SEALS AND BLAST VALVES	E	B	5	F	N	3		16,780	16,780	16,780	0	2/6/2020	C		2/18/2020
4500318239	AERODERIVATIVE GAS TURBINE SUPPORT INC 1141 S ROGERS CIR - STE 11 BOCA RATON, FL 33487-2789 US	VBV ACTUATORS	E	B	5	F	N	2		24,400	24,400	24,400	0	2/6/2020	C		2/20/2020
4500318246	D & L INSTALLATIONS INC 230 KNICKERBOCKER AVE BOHEMIA, NY 11716-3140 US	MAINTANENCE KIT	E	B	5	N	03	1	*	5,666	5,736	5,736	0	2/6/2020	C		2/28/2020
4500318266	MUTUALINK INC 1269 SOUTH BROAD ST WALLINGFORD, CT 06492-1737 US	MAINTENANCE - MUTUALINK	S	B	7	F	N	1		53,187	53,187	53,187	0	1/1/2020	C		12/31/2020
4500318270	CITY ELECTRIC COMPANY DBA FOR COOPERFRIEDMAN ELECTRIC SUP 450 TRACY ST SYRACUSE, NY 13204-2435 US	ELECTRICAL CABLE	E	B	5	N	N	1		20,400	20,400	20,400	0	2/6/2020	C		10/19/2020
4500318277	RED HAWK FIRE & SECURITY (NY) LLC 6 SKYLINE DR STE 110 HAWTHORNE, NY 10532-8103 US	FIRE SYSTEM INSPECTION SERVICE	S	B	7	N	N	1		32,842	22,842	22,842	10,000	3/1/2020	O	2/28/2021	

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4500318288	CANON SOLUTIONS AMERICA INC 425 N MARTINGALE RD - STE 1650 SCHAUMBURG, IL 60173-2215 US	PLOTTER, CANON	E	B	7	F	N	1		38,807	33,578	33,578	5,229	2/7/2020	C		6/23/2020
4500318294	CEMTEK SYSTEMS INC 1750 BRIELLE AVE - STE B2 OCEAN, NJ 07712-3953 US	CEMTEK PROBES	E	B	5	F	N	1		31,701	31,701	31,701	0	2/7/2020	C		4/23/2020
4500318296	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	ABB PARTS	E	B	6	F	N	3		23,933	10,308	10,308	13,625	2/7/2020	O	1/31/2021	
4500318302	PERRAS EXCAVATING INC 1909 ST HWY 420 MASSENA, NY 13662 US	REHABILITATION OF THE HATCH COVER DECK	C	B		N	N	1		7,339,000	53,756	53,756	7,285,244	2/11/2020	O	2/10/2023	
4500318315	NIAGARA COATINGS SERVICES INC 8025 QUARRY RD NIAGARA FALLS, NY 14304 US	HVAC PROTECTIVE COATING SERVICES	S	B	5	N	N	1		31,800	0	0	31,800	2/7/2020	O	2/6/2021	
4500318328	VETERAN ELECTRICAL SUPPLY INC 864 WILLIS AVE STE 4 ALBERTSON, NY 11507-1930 US	LIGHTS	E	B	5	N	02	1	*	6,360	6,450	6,450	0	2/10/2020	C		2/24/2020
4500318331	HUGHES BROTHERS INC C/O HASGO POWER EQUIP SALES INC 31 W MAIN ST - PO BOX 400 LE ROY, NY 14482 US	FRAMING KIT	E	B	6	F	N	4		13,920	13,920	13,920	0	2/10/2020	C		6/3/2020
4500318338	VOLLAND ELECTRIC EQUIPMENT CORP 75 INNSBRUCK DR CHEEKTOWAGA, NY 14227-2703 US	OCB CONTACTS	E	B		F	N	4		102,000	102,000	102,000	0	2/10/2020	C		10/16/2020
4500318342	STRATEGIC POWER SYSTEMS INC PO BOX 470317 CHARLOTTE, NC 28247-0317 US	ORAP ASSET INSIGHTS	I	1	5	F	N	1		11,200	11,200	11,200	0	2/10/2020	C		4/8/2020
4500318393	VALVE INDUSTRIES INC 4 SLATE CT - APT D-2 WOODLAND PARK, NJ 07424-4247 US	PCB 3414 PARTS	E	B	5	N	N	2		23,170	23,170	23,170	0	2/11/2020	C		3/11/2020
4500318404	ADMAR SUPPLY CO INC STE 1 1950 BRIGHTON HENRIETTA TL RD ROCHESTER, NY 14623-2597 US	EXCAVATOR RENTAL	E	B	5	N	N	1		7,534	7,534	7,534	0	2/11/2020	C		3/26/2020
4500318440	ABB ENTERPRISE SOFTWARE INC STE 500 400 PERIMETER CENTER TER NE ATLANTA, GA 30346-1231 US	POWER TRANSFORMER	E	B		F	N	7		89,750	89,750	89,750	0	2/12/2020	C		5/19/2020
4500318445	STUART C IRBY CO 4583 BUCKLEY RD LIVERPOOL, NY 13088-2508 US	PLP SPLICES	E	B	5	N	N	4		17,366	17,366	17,366	0	2/12/2020	C		3/27/2020
4500318461	PRAXAIR DISTRIBUTION INC 1811 BROADWAY BUFFALO, NY 14212-2032 US	WELDING CABLE	E	B	5	F	N	2		5,895	5,895	5,895	0	2/12/2020	C		10/16/2020

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4500318466	WORTHINGTON COMPRESSOR SERVICES DBA FOR SOUTHERN PARTS&ENG CO LLC 3200 ENGINEERING PKWY ALPHARETTA, GA 30004-7853 US	COOLER COVER FOR COMPRESSOR REPAIR	E	B	5	N	N	1		7,035	7,035	7,035	0	2/12/2020	C		10/16/2020
4500318480	ROSS VALVE MANUFACTURING CO INC 79 102ND ST TROY, NY 12180-1125 US	VALVE PARTS	E	B	5	N	N	2		13,402	13,402	13,402	0	2/13/2020	C		10/16/2020
4500318482	HANES SUPPLY INC 55 JAMES E CASEY DR BUFFALO, NY 14206-2361 US	JIB CRANE PARTS	E	B	5	N	N	2		17,366	17,366	17,366	0	2/13/2020	C		10/19/2020
4500318483	OMICRON ELECTRONICS CORP USA 3550 WILLOWBEND BLVD HOUSTON, TX 77054-1127 US	INSERVICE TEST KIT	E	B	5	F	N	1		13,988	13,988	13,988	0	2/13/2020	C		10/16/2020
4500318501	REXEL USA INC 505 DUKE RD - STE 400 CHEEKTOWAGA, NY 14225-5101 US	MELTRIC PARTS	E	B	5	F	N	2		7,290	7,290	7,290	0	2/13/2020	C		3/3/2020
4500318525	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	CAP FUSE	E	B	6	F	N	3		55,650	55,650	55,650	0	2/13/2020	C		4/8/2020
4500318529	F & F INDUSTRIAL EQUIPMENT CORP 195 TOWER DR MIDDLETOWN, NY 10941-2034 US	EJECTOR INDICATOR	E	B	5	N	01	3		6,124	6,063	6,063	61	2/13/2020	C		3/12/2020
4500318532	WAGNER PRECISION INC 583 DIVISION ST N TONAWANDA, NY 14120-4209 US	4 PIECE PACKING GLAND	E	B	5	N	N	2		5,600	5,600	5,600	0	2/13/2020	C		10/16/2020
4500318533	ACCESS COMPLIANCE LLC 776A WATERVLIET SHAKER RD LATHAM, NY 12110-2209 US	ANNUAL PHYSICALS	S	2	5	N	N	1		35,000	30,838	30,838	4,162	2/13/2020	O	2/12/2021	
4500318538	ABB ENTERPRISE SOFTWARE INC STE 500 400 PERIMETER CENTER TER NE ATLANTA, GA 30346-1231 US	TRANSFORMER	E	C	8	F	N	3		84,440	84,440	84,440	0	2/13/2020	C		10/1/2020
4500318555	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		7,315	6,335	6,335	980	2/18/2020	C		3/18/2020
4500318572	HUBBELL POWER SYSTEMS INC 210 N ALLEN ST CENTRALIA, MO 65240-1302 US	RFL TMX TMR	H	1	5	N	N	1	*	19,298	19,332	19,332	0	2/14/2020	C		5/19/2020
4500318585	EL ELECTRONICS LLC 1800 SHAMES DR WESTBURY, NY 11590-1730 US	NEXUS METERS	E	B	5	N	N	3	*	17,168	17,268	17,268	0	2/14/2020	C		4/16/2020
4500318586	BEYER OF MORRISTOWN LLC 200 RIDGEDALE AVE MORRISTOWN, NJ 07960-4089 US	2020 FORD POLICE INTERCEPTOR HYBRID	E	B	5	F	N	2		43,090	43,090	43,090	0	2/14/2020	C		6/15/2020

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4500318588	TROY BOILER WORKS INC 2800 7TH AVE TROY, NY 12180-1587 US	EMERGENCY REPAIR OF EDTO OIL COOLER	S	2	5	N	01	1		25,440	25,440	25,440	0	2/14/2020	C		4/1/2020
4500318592	HP INC 1501 PAGE MILL RD PALO ALTO, CA 94304-1126 US	HP DESKTOPS AND SERVICES	H	B	7	F	N	1		36,461	36,461	36,461	0	2/21/2020	C		3/10/2020
4500318593	DEVELOPMENT AUTHORITY OF THE NORTH COUNTRY 317 WASHINGTON ST WATERTOWN, NY 13601 US	DARK FIBER REGENERATION	C	2	8	N	N	1		41,600	0	0	41,600	2/21/2020	O	2/20/2021	
4500318615	BEAR ESSENTIALS APPAREL GREGORY J MOORE 97 MAIN ST - STE B SARANAC LAKE, NY 12983-5744 US	FREEZE DRIED MEAL KITS	E	2	5	N	02	1		19,337	19,337	19,337	0	2/18/2020	C		3/4/2020
4500318625	MELTWATER NEWS US INC 225 BUSH ST STE 1000 SAN FRANCISCO, CA 94104-4215 US	MAINTENANCE - MELTWATER	S	2	6	F	N	1		51,750	51,750	51,750	0	2/10/2020	O	2/9/2021	
4500318632	PIERCE STEEL FABRICATORS INC 430 N 7TH ST OLEAN, NY 14760-2330 US	ROTOR GUSSETS	E	B	5	N	N	1		12,900	12,900	12,900	0	2/18/2020	C		4/28/2020
4500318633	CLARK EQUIPMENT CO DBA BOBCAT CO/ DOOSAN PP/ DOOSAN NA 250 EAST BEATON DR - PO BOX 6000 WEST FARGO, ND 58078-2656 US	PORTABLE GENERATOR AND TWO PORTABLE LIGHT TOWERS	E	B	7	F	N	1		96,088	96,088	96,088	0	2/18/2020	C		6/10/2020
4500318638	MILLER ENERGY INC DBA FOR H M MILLER SALES CO 3200 S CLINTON AVE SOUTH PLAINFIELD, NJ 07080-1424 US	LEVEL TRANSMITTER AND PANEL METER	E	2	5	F	N	1		13,306	10,786	10,786	2,520	2/18/2020	O	2/17/2021	
4500318646	DOCPOINT SOLUTIONS LLC 11850 W MARKET PL STE P FULTON, MD 20759-2671 US	SOFTWARE LICENSE - NINTEX	I	B	7	N	N	1		48,995	48,995	48,995	0	2/28/2020	O	2/27/2021	
4500318647	BRENNTAG NORTH AMERICA INC BWE-LLC (NOCO LUBRICANTS) 42 RUMSEY RD EAST HARTFORD, CT 06108-1133 US	MOBIL DTE HEAVY MEDIUM	E	B	5	F	N	4		7,800	7,800	7,800	0	2/19/2020	C		3/2/2020
4500318658	CITY ELECTRIC COMPANY DBA FOR COOPERFRIEDMAN ELECTRIC SUP 450 TRACY ST SYRACUSE, NY 13204-2435 US	LED HIGH BAY LIGHTING	E	B	5	F	N	7		37,480	37,480	37,480	0	2/19/2020	C		10/16/2020
4500318665	LM PARTS LLC ERIC ANDERSON 26 FAYMORE DR AGAWAM, MA 01001-3010 US	EXCITER TURBINE IGNITION	E	B	5	F	N	1		41,985	41,985	41,985	0	2/19/2020	C		3/2/2020

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4500318678	ADIRONDACK ENERGY PRODUCTS INC ADIRONDACK PROPANE 17 JUNCTION RD MALONE, NY 12953-4217 US	FUEL	E	B	7	N	01	1	*	6,431	6,462	6,462	0	2/19/2020	C		2/19/2020
4500318681	NYE AUTOMOTIVE GROUP INC 1479 GENESEE ST ONEIDA, NY 13421 US	AUTOMOTIVE REPLACEMENT PARTS	E	B	5	N	N	3		5,809	5,809	5,809	0	2/19/2020	C		3/2/2020
4500318686	JAGG ELECTRICAL & CONTROL LLC 18 LANCASTER PKWY LANCASTER, NY 14086-9713 US	TEST SWITCH PANEL	E	B	5	N	N	1		8,823	8,823	8,823	0	2/19/2020	C		10/19/2020
4500318695	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		5,412	4,967	4,967	445	2/20/2020	C		3/24/2020
4500318706	COMPETITION UNLIMITED CORP 559 LIVINGSTON ST WESTBURY, NY 11590-2419 US	HARDWOOD TIMBER DUNNAGE	E	B	5	F	N	2		12,190	12,190	12,190	0	2/20/2020	C		10/16/2020
4500318738	EDGETECH DBA FOR EDGEONE LLC 4 LITTLE BROOK RD WEST WAREHAM, MA 02576-1222 US	BUOY RECOVERY SYSTEMS	E	B		F	N	1	*	225,958	226,470	226,470	0	2/20/2020	C		10/16/2020
4500318743	CADY ENTERPRISE INC 1336 FOX HILL RD - PO BOX 154 ULYSSES, PA 16948-9352 US	GAS COMPRESSOR PARTS	E	B	5	F	N	1		10,150	4,830	4,830	5,320	2/20/2020	O	4/1/2021	
4500318768	HANES SUPPLY INC 55 JAMES E CASEY DR BUFFALO, NY 14206-2361 US	GOODALL GENERATOR	E	B	5	N	N	1		10,666	10,666	10,666	0	2/21/2020	C		10/19/2020
4500318772	NATHAN STEEL CORP PO BOX 299 UTICA, NY 13502-2534 US	BREAKER 7202 STEEL SUPPORT FRAMES	E	B	5	N	N	2		16,160	16,160	16,160	0	2/21/2020	C		6/9/2020
4500318834	MX PETROLEUM CORP PO BOX 638 MASSENA, NY 13662 US	FUEL	E	B	7	N	01	1	*	7,312	7,336	7,336	0	2/24/2020	C		2/24/2020
4500318848	SIEMENS INDUSTRY INC 7000 SIEMENS RD WENDELL, NC 27591-8309 US	5KV VACUUM BREAKER	E	1	1	N	N	1		94,510	94,510	94,510	0	2/24/2020	C		6/9/2020
4500318850	MIRABITO FUEL GROUP 44 GRAND ST SIDNEY, NY 13838-1183 US	FUEL	E	B	7	N	N	1		6,631	6,622	6,622	9	2/24/2020	C		3/24/2020
4500318854	CLARK-RELIANCE CORPORATION ENERVAC INTERNATIONAL ULC 280 HOLIDAY INN DR CAMBRIDGE, ON N3C 1Z4 CA	ENERAC E858M OIL FILTRATION TRAILER	E	B		F	N	4		96,377	0	0	96,377	2/28/2020	C		11/5/2020
4500318855	VISTACOM INC 1902 VULTEE ST ALLENTOWN, PA 18103 US	MAINTENANCE - VISTACOM	S	1	6	N	N	1		32,489	32,489	32,489	0	3/1/2020	O	2/28/2021	
4500318857	SANDPOINT CONSULTING ING 2716 COLONIAL WAY BLOOMFIELD HILLS, MI 48304-1625 US	BLACKLINE IMPLEMENTATION CONSULTING SERVICES	P	B		F	N	4		88,500	60,000	60,000	28,500	2/24/2020	C		5/8/2020

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4500318884	BENTLEY NEVADA LLC DBA FOR BAKER HUGHES A GE COMPANY L 1631 BENTLY PKWY S MINDEN, NV 89423-4119 US	SENSOR DEPLOYMENT PARTS	E	1	5	F	N	1		35,279	35,279	35,279	0	2/25/2020	C		4/22/2020
4500318935	SUR-SEAL INC 12 EDGEBORO RD - UNIT 6 EAST BRUNSWICK, NJ 08816-1651 US	STEEL PLATE	E	B	5	F	N	1		8,085	7,925	7,925	160	2/26/2020	C		5/18/2020
4500318939	MILLER ENERGY INC DBA FOR H M MILLER SALES CO 3200 S CLINTON AVE SOUTH PLAINFIELD, NJ 07080-1424 US	TRANSMITTERS - MAGNETROL	E	B	5	F	N	1	*	34,997	35,073	35,073	0	2/26/2020	C		9/1/2020
4500318941	D & L INSTALLATIONS INC 230 KNICKERBOCKER AVE BOHEMIA, NY 11716-3140 US	ATLAS COPCO PARTS	E	B	5	N	03	2	*	9,667	9,929	9,929	0	2/26/2020	C		3/27/2020
4500318952	AERODERIVATIVE GAS TURBINE SUPPORT INC 1141 S ROGERS CIR - STE 11 BOCA RATON, FL 33487-2789 US	LM 6000 PARTS	E	B	5	F	N	3		23,280	21,391	21,391	1,889	2/26/2020	C		3/30/2020
4500318967	FILCO CARTING CORP 197 SNEDIKER AVE BROOKLYN, NY 11207-3320 US	RUBBISH REMOVAL	S	C	5	N	N	1		49,000	14,552	14,552	34,448	2/28/2020	O	2/27/2021	
4500318980	OPEN TEXT INC 2950 S DELAWARE ST SAN MATEO, CA 94403-2199 US	MAINTENANCE - STREAMSERVE	S	1	6	F	N	1		36,014	36,014	36,014	0	5/1/2020	O	4/30/2021	
4500318986	MORBARK LLC PO BOX 1000 WINN, MI 48896-1000 US	2020 MORBARK/RAYCO RG37 TRAC STUMP GRINDER AND TRAILER	E	B	7	F	N	1		28,149	28,149	28,149	0	2/27/2020	C		6/10/2020
4500318989	TWIN CITY GLASS CORP 856 WURLITZER DR N TONAWANDA, NY 14120-3042 US	SECURITY BUILDING GLASS REPLACEMENT	C	B	5	N	N	1		16,139	16,139	16,139	0	2/27/2020	C		11/16/2020
4500319011	GE PACKAGED POWER LLC DBA FOR GENERAL ELECTRIC CO 16415 JACINTOPORT BLVD BLDG "B" HOUSTON, TX 77015 US	CHECK VALVES	E	B	5	F	N	1	*	11,593	11,796	11,796	0	2/27/2020	C		6/10/2020
4500319013	ADAPTEC SOLUTIONS LLC 140 COMMERCE DR ROCHESTER, NY 14623-3504 US	MEZZANINE	E	B	5	N	N	2		5,880	5,880	5,880	0	2/27/2020	C		6/18/2020
4500319036	CLARK EQUIPMENT CO DBA BOBCAT CO/ DOOSAN PP/ DOOSAN NA 250 EAST BEATON DR - PO BOX 6000 WEST FARGO, ND 58078-2656 US	BOBCAT T770 T4 COMPACT LOADER	E	B	7	F	N	1		111,280	111,280	111,280	0	2/28/2020	C		6/11/2020

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4500319043	ROSEMOUNT INC 8200 MARKET BLVD MAIL STATION PK16 CHANHASSEN, MN 55317-9687 US	FLOW METER	E	B	5	F	N	2	*	6,223	6,230	6,230	0	2/28/2020	C		3/11/2020
4500319069	SIEMENS INDUSTRY INC 85 NORTHPOINTE PKWY - STE 8 AMHERST, NY 14228-1886 US	MAINTENANCE - SIEMENS	S	B	7	N	N	1		26,800	24,140	24,140	2,660	3/1/2020	O	2/28/2021	
4500319073	JOHNSON CONTROLS INC 130 JOHN MUIR DR - STE 100 AMHERST, NY 14228-1139 US	SECURITY SYSTEMS MAINTENANCE AGREEMENT	S	B	7	N	N	1		155,981	148,852	148,852	7,129	3/1/2020	O	2/28/2021	
4500319079	OPEN ASSESSMENT TECHNOLOGIES CORP 156 2ND ST SAN FRANCISCO, CA 94105-3724 US	AUTOMATED SERVICES-PRE-EMPLOYMENT TESTING	P	1	5	N	N	1		27,000	27,000	27,000	0	3/9/2020	O	3/8/2021	
4500319080	RIGHTSTAR SYSTEMS DBA FOR RIGHTSTAR INC 1951 KIDWELL DR STE 110 VIENNA, VA 22182-3930 US	MAINTENANCE - BMC FOOTPRINTS	S	1	5	N	N	1		38,000	38,000	38,000	0	3/4/2020	O	3/3/2021	
4500319089	WELLS TECHNOLOGY INC 4885 WINDSOR CT NW BEMIDJI, MN 56601-7659 US	VENDING RESTOCK	E	B	7	F	04	1		7,004	7,004	7,004	0	3/2/2020	C		3/2/2020
4500319090	ADMAR SUPPLY CO INC STE 1 1950 BRIGHTON HENRIETTA TL RD ROCHESTER, NY 14623-2597 US	RENTAL OF JOHN DEERE DOZER AND BOMAG VIBRATORY ROLLER	E	B	5	N	N	5		13,560	11,420	11,420	2,140	3/2/2020	C		6/10/2020
4500319104	DIVAL SAFETY EQUIPMENT INC 1721 NIAGARA ST BUFFALO, NY 14207-3108 US	SAFETY RAILING	E	2	5	N	N	1		8,015	3,023	3,023	4,992	3/2/2020	C		10/16/2020
4500319111	AVIATION SERVICES UNLIMITED LLC PO BOX 629 ORISKANY, NY 13424 US	GENERAL HELICOPTER SERVICES	P	B		N	N	3		57,575	57,575	57,575	0	3/2/2020	O	1/1/2021	
4500319121	VORCOM INTERNET SERVICES 89 EDISON AVE MOUNT VERNON, NY 10550 US	Y-49 FIBER OPTIC DIAGNOSIS AND REPAIR	C	B	1	N	N	3		94,800	91,170	91,170	3,630	3/3/2020	C		8/28/2020
4500319129	EMPIRE CRANE CO LLC 7021 PERFORMANCE DR NORTH SYRACUSE, NY 13212 US	2020 TADANO GR-150XL-3 CRANE	E	B		N	N	2		303,888	303,888	303,888	0	3/2/2020	C		6/8/2020
4500319130	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	METER SWITCH REPLACEMENT PARTS	E	B	5	F	04	1		9,360	9,360	9,360	0	3/2/2020	C		10/16/2020
4500319145	NATHAN STEEL CORP PO BOX 299 UTICA, NY 13502-2534 US	STRUCTURAL STEEL	E	B	5	N	N	2		22,865	22,865	22,865	0	3/2/2020	C		6/9/2020
4500319151	ADVANTEC MANUFACTURING USA INC FREEMAN MARINE E 28336 HUNTER CREEK ROAD GOLD BEACH, OR 97444-9614 US	VESSEL HATCHES	E	B	5	F	N	1	*	8,226	8,525	8,525	0	3/2/2020	C		10/16/2020

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4500319152	LINEMEN'S SUPPLY DIVISION OF BUCKINGHAM MANUFACTURING COMPANY PO BOX 1690 BINGHAMTON, NY 13902-1690 US	HARNESS	E	B	5	N	N	2		13,963	13,963	13,963	0	3/3/2020	C		7/14/2020
4500319182	TURTLE & HUGHES INC 59 MALL DR - PO BOX 9027 COMMACK, NY 11725-9027 US	BREAKER RELAY	E	B	5	N	03	1		18,400	18,400	18,400	0	3/3/2020	C		3/19/2020
4500319195	INTEGRITY POWER SOLUTIONS LLC DAVID CLARIDA 2708 CUMBERLAND DR EDMOND, OK 73034-8372 US	CT7B EXHAUST FRAME REPAIR	S	2	5	F	N	1		22,500	10,100	10,100	12,400	3/3/2020	C		4/20/2020
4500319206	DELL MARKETING LP 850 ASBURY DR BUFFALO GROVE, IL 60089-4557 US	SOFTWARE LICENSE - MICROSOFT WINDOWS SERVER	I	B	7	F	N	1		6,008	6,008	6,008	0	3/3/2020	C		3/4/2020
4500319235	THREETECH ELECTRIC INC 7812 METROPOLITAN AVE MIDDLE VILLAGE, NY 11379-2965 US	LIGHTING UPGRADES	C	B	9	N	04	3		62,453	0	0	62,453	3/4/2020	C		6/30/2020
4500319240	MDI TELECOM CORP SYNCWORKS PO BOX 658 PONTE VEDRA BEACH, FL 32004-0658 US	TIME SYNC CLOCK HARDWARE / SOFTWARE	E	B	6	F	N	2		8,092	8,092	8,092	0	3/4/2020	C		3/10/2020
4500319307	OMICRON ELECTRONICS CORP USA 3550 WILLOWBEND BLVD HOUSTON, TX 77054-1127 US	OMICRON TEST EQUIPMENT CALIBRATION	S	1	5	F	N	1		8,075	8,075	8,075	0	3/5/2020	C		12/31/2020
4500319309	RADIANT RESOURCES 1913 ATLANTIC AVE STE 119 MANASQUAN, NJ 08736-1070 US	MAINTENANCE - SPLUNK	S	B	7	N	03	1		757,812	338,656	338,656	419,156	2/29/2020	O	2/28/2023	
4500319327	ABELE TRACTOR & EQUIPMENT CO INC 72 EVERETT RD ALBANY, NY 12205 US	RENTAL OF CAT D8T DOZER WITH CAB HEAT AND RIPPER ATTACHMENT	E	B	5	N	N	2		49,000	38,000	38,000	11,000	3/5/2020	C		6/10/2020
4500319332	INDUSTRIAL PROTECTION PRODUCTS INC 33 NORTHWESTERN DR SALEM, NH 03079-4809 US	SHOE MOBILE SHOES	E	B	5	N	N	1		6,653	6,653	6,653	0	3/5/2020	C		5/21/2020
4500319352	A & M INDUSTRIAL SUPPLY CO 1414 CAMPBELL ST - PO BOX 1044 RAHWAY, NJ 07065-1044 US	MSA PARTS	E	B		F	N	4		61,271	61,271	61,271	0	3/5/2020	C		4/8/2020
4500319371	EL ELECTRONICS LLC 1800 SHAMES DR WESTBURY, NY 11590-1730 US	SHARK METERS	E	B	5	N	N	1	*	6,129	6,174	6,174	0	3/6/2020	C		3/18/2020
4500319393	GRADE A PETROLEUM CORP 90 EAST HAWTHORNE AVE VALLEY STREAM, NY 11582-1238 US	TURBO OIL DRUMS	E	B	5	N	N	1	*	36,229	36,241	36,241	0	3/6/2020	C		3/27/2020

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4500319394	MILLER ENERGY INC DBA FOR H M MILLER SALES CO 3200 S CLINTON AVE SOUTH PLAINFIELD, NJ 07080-1424 US	FLOW METER	E	B	5	F	N	1	*	5,325	5,532	5,532	0	3/6/2020	C		7/22/2020
4500319401	AMERICAN GOVERNOR CO 27 RICHARD RD IVYLAND, PA 18974-1512 US	GOVERNOR STOCK PARTS	E	B	5	F	N	1		8,939	8,939	8,939	0	3/6/2020	C		10/19/2020
4500319402	VALVE INDUSTRIES INC 4 SLATE CT - APT D-2 WOODLAND PARK, NJ 07424-4247 US	TLEM CABLE	E	B	5	N	N	3		38,250	38,250	38,250	0	3/6/2020	C		5/12/2020
4500319404	EASTERN COMMUNICATIONS INC 48-014 36TH ST LONG ISLAND CITY, NY 11101-1918 US	COMMUNICATION RADIO	E	B	5	N	N	1	*	7,184	7,256	7,256	0	3/6/2020	C		10/19/2020
4500319406	COMMUNICATION SERVICES INC DBA INTERPRETEK 75 HIGHPOWER RD ROCHESTER, NY 14623-3435 US	INTERPRETER SERVICES	P	B	5	N	N	3		8,000	1,448	1,448	6,552	3/6/2020	O	3/6/2021	
4500319407	HAMBURG OVERHEAD DOOR INC 5659 HERMAN HILL RD HAMBURG, NY 14075-6909 US	630 TON ROLLING CRANE DOOR TROUBLESHOOTING	M	B	5	N	N	1		6,925	0	0	6,925	3/6/2020	O	3/5/2021	
4500319412	AVIATION POWER & MARINE LLC 1811 CORPORATE DR BOYNTON BEACH, FL 33426-9086 US	LM 6000 PARTS	E	B	5	F	N	2		20,786	4,941	4,941	15,845	3/6/2020	O	4/1/2021	
4500319449	LAWRENCE VERGALITO DBA CYCLE SHACK 1205 ERIE BLVD W ROME, NY 13440-8303 US	2020 POLOARIS CREW NORTHSTAR EDITION ATV	E	B	5	N	N	2		34,385	34,385	34,385	0	3/9/2020	C		7/29/2020
4500319486	AERODERIVATIVE GAS TURBINE SUPPORT INC 1141 S ROGERS CIR - STE 11 BOCA RATON, FL 33487-2789 US	LM6000 PARTS - OUTAGE	E	B	5	F	N	1		44,000	34,835	34,835	9,165	3/10/2020	C		3/30/2020
4500319491	CARAHSOFT TECHNOLOGY CORPORATION SUITE 100 1860 MICHAEL FARADAY DRIV RESTON, VA 20190 US	SOFTWARE - VIRSIONONE LIFECYCLE	I	B	7	F	N	1		8,821	8,821	8,821	0	4/1/2020	O	3/31/2021	
4500319492	NESCO SALES & RENTALS 3112 EAST STATE RD 124 BLUFFTON, IN 46714-9301 US	RENTAL OF 2020 HOGG AND DAVIS HYDRA 985 REEL TRAILER	E	B	5	F	N	3		24,495	17,656	17,656	6,839	3/10/2020	C		8/3/2020
4500319546	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	HP LAPTOPS, MONITORS, ACCESSORIES AND SERVICES	H	B	7	F	04	1		604,629	604,629	604,629	0	3/11/2020	C		4/24/2020
4500319570	STAPLES CONTRACT&COMMERCIAL INC STAPLES BUSINESS ADVANTAGE 6040 DROTT DR EAST SYRACUSE, NY 13057-2943 US	FURNITURE	E	B	6	N	N	3		23,790	23,038	23,038	752	3/11/2020	C		6/1/2020

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4500319583	APPLIED MEASUREMENT & CONTROLS INC 1246 COMMERCIAL DR # B01 FARMINGTON, NY 14425-8966 US	HEAT EXCHANGER GASKETS	E	B	5	N	01	3		5,867	4,341	4,341	1,526	3/12/2020	C		8/18/2020
4500319626	SUR-SEAL INC 12 EDGEBORO RD - UNIT 6 EAST BRUNSWICK, NJ 08816-1651 US	ARC FLASH LABELS	E	B	5	F	N	3	*	6,222	6,274	6,274	0	3/12/2020	C		3/24/2020
4500319628	SUCCESSFACTORS AN SAP COMPANY STE 1100 1 TOWER PL - FL 11 SOUTH SAN FRANCISCO, CA 94080-1828 US	MAINTENANCE - SAP MOSAIC SUCCESSFACTORS CLOUD	E	2	8	F	N	1		828,948	828,948	828,948	0	1/1/2020	O	12/31/2022	
4500319633	STATE CHEMICAL SOLUTIONS DBA FOR STATE INDUSTRIAL PRODUCTS 5915 LANDERBROOK DR - STE 300 MAYFIELD HEIGHTS, OH 44124-4034 US	DISINFECTANT	E	2	5	F	N	1		14,547	14,547	14,547	0	3/13/2020	C		3/27/2020
4500319650	UNIVERSAL MULTILINK INC 18911 UNION TURNPIKE FLUSHING, NY 11366 US	MAINTENANCE - PLOTTERS	S	2	6	N	04	1		15,038	15,038	15,038	0	1/1/2020	C		12/31/2020
4500319658	S A A LOGISTICS INC 527 TOWNLINE RD STE 301 HAUPPAUGE, NY 11788-2833 US	COURIER/FREIGHT SERVICES	S	2	8	N	N	1		238,816	238,536	238,536	280	3/13/2020	C		11/24/2020
4500319674	ASSETWORKS LLC DBA FOR TRAPEZE SOFTWARE GROUP INC 998 OLD EAGLE SCHOOL RD - STE 1215 WAYNE, PA 19087-1862 US	MAINTENANCE - ASSETWORKS	I	B	7	F	N	1		29,862	29,862	29,862	0	4/1/2020	C		12/30/2020
4500319705	SUEZ WTS USA INC 4636 SOMERTON RD TREVOSE, PA 19053 US	SODIUM HYPOCHLORITE	E	C	5	N	N	1	*	5,832	5,845	5,845	0	3/16/2020	C		4/21/2020
4500319711	CASSONE LEASING INC 1900 LAKELAND AVE RONKONKOMA, NY 11779-7400 US	OFFICE TRAILER RENTAL	E	C	5	N	03	1		7,110	6,893	6,893	217	3/16/2020	C		7/13/2020
4500319714	KONE INC 4736 36TH ST LONG ISLAND CITY, NY 11101-1824 US	KONE ROPE GUIDE REPLACEMENT 45 TON CRANE	S	B	5	F	N	1		13,686	0	0	13,686	3/16/2020	O	3/14/2021	
4500319715	HELWIG CARBON PRODUCTS INC 8900 W TOWER AVE - BOX 240160 MILWAUKEE, WI 53224-9008 US	HELWIG PACKING RING	E	B	5	F	N	3		25,019	25,019	25,019	0	3/16/2020	C		6/15/2020
4500319718	WL CONCEPTS & PRODUCTION 1 BENNINGTON AVE FREEPORT, NY 11520-3953 US	EV DISPLAY AT JACOB JAVITS CENTER FOR AUTO SHOW	E	2	8	N	02	1		334,051	94,226	94,226	239,825	3/16/2020	O	3/15/2021	

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4500319724	SCOTT ELECTRIC SUPPLY INC 3253 WALDEN AVE DEPEW, NY 14043-2821 US	DAM FACE LIGHTING	E	B	5	N	N	1		7,362	7,362	7,362	0	3/17/2020	C		10/19/2020
4500319725	ABELE TRACTOR & EQUIPMENT CO INC 72 EVERETT RD ALBANY, NY 12205 US	RENTAL OF KOBELCO SK140SRLC-5 EXCAVATOR	E	B	5	N	N	5		13,250	13,250	13,250	0	3/17/2020	C		7/10/2020
4500319726	HAMBURG OVERHEAD DOOR INC 5659 HERMAN HILL RD HAMBURG, NY 14075-6909 US	GM OVERHEAD DOOR INSTALLATION	C	B	5	N	N	1		46,200	6,600	6,600	39,600	3/17/2020	C		7/7/2020
4500319728	STATE CHEMICAL SOLUTIONS DBA FOR STATE INDUSTRIAL PRODUCTS 5915 LANDERBROOK DR - STE 300 MAYFIELD HEIGHTS, OH 44124-4034 US	DISINFECTANT	E	C	5	F	N	1		14,547	13,906	13,906	641	3/17/2020	C		3/24/2020
4500319729	H F BROWN MACHINE CO INC 708 STATE ST - PO BOX 849 UTICA, NY 13503 US	COPPER TERMINALS	E	B	5	N	01	2		19,476	19,476	19,476	0	3/17/2020	C		5/19/2020
4500319735	CALL-A-HEAD CORP 304 CROSSBAY BLVD BROAD CHANNEL, NY 11693 US	CONSTRUCTION PORT-A-POTTYS	E	C	5	N	N	1		26,237	8,986	8,986	17,251	3/17/2020	O	3/17/2021	
4500319740	PRISMA PHOTONICS LTD POB 53169 TEL AVIV, 01 6153101 IL	OPGW FIBER SENSOR BASED MONITORING	E	B		F	N	1		55,000	0	0	55,000	3/18/2020	O	3/17/2021	
4500319742	PIERCE STEEL FABRICATORS INC 430 N 7TH ST OLEAN, NY 14760-2330 US	STEEL STRIPS	E	B	5	N	N	1		12,000	12,000	12,000	0	3/18/2020	C		4/30/2020
4500319743	ALLIANCE HOMECARE INC ALLIANCE NURSING DBA ALLIANCE HOME STE 600W 252 W 37TH ST NEW YORK, NY 10018-6636 US	NURSING SERVICES	P	2	1	N	N	1		245,500	208,906	208,906	36,594	3/18/2020	O	3/17/2021	
4500319749	WILLIAMS SCOTSMAN INC 145 CANADA DR EAST SYRACUSE, NY 13057-9744 US	OFFICE TRAILER RENTAL	E	B	8	N	N	1		357,266	357,266	357,266	0	3/18/2020	C		8/1/2020
4500319754	ABELE TRACTOR & EQUIPMENT CO INC 72 EVERETT RD ALBANY, NY 12205 US	RENTAL OF A VOLVO EC160L EXCAVATOR WITH ATTACHMENTS	E	B	5	N	N	4		26,800	26,800	26,800	0	3/19/2020	C		6/19/2020
4500319762	GRAINGER DBA FOR W W GRAINGER INC 505 SAWMILL RIVER RD ELMSFORD, NY 10523-1009 US	EMERGENCY MEALS READY TO EAT	E	C	5	F	N	1		8,528	8,528	8,528	0	3/19/2020	C		6/30/2020
4500319773	UNITED RENTALS (NORTH AMERICA) INC UNITED RENTALS 1401 VISCHER FERRY RD CLIFTON PARK, NY 12065 US	MOBILE SHOWER TRAILERS	E	C	1	N	N	3		1,713,441	1,621,550	1,621,550	91,891	3/20/2020	C		12/31/2020

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4500319778	GREENMAN-PEDERSEN INC 400 RELLA BLVD - STE 207 MONTEBELLO, NY 10901-4256 US	INTAKE DECK REHABILITATION	P	2	8	N	N	1		203,673	133,164	133,164	70,509	3/20/2020	O	3/19/2021	
4500319780	US MOBILE KITCHENS DBA FOR MOBILE CONCEPTS INC 3880 EDOLIN FARMS CT FINKSBURG, MD 21048 US	MOBILE KITCHEN TRAILERS	E	C	1	F	N	6		199,050	197,200	197,200	1,850	3/20/2020	C		4/23/2020
4500319782	ONSOLVE INTERMEDIATE HOLDING CO ONSOLVE LLC 780 W GRANADA BLVD ORMOND BEACH, FL 32174 US	MAINTENANCE - SMART NOTICE	S	1	5	N	N	1		26,500	26,500	26,500	0	3/22/2020	O	3/21/2021	
4500319784	ON THE MEND MEDICAL SUPPLIES AND EQ DBA FOR SPEEDRAIN ENTERPRISES LLC 280 NORTH BEDFORD RD MOUNT KISCO, NY 10549 US	MASKS	E	C	5	N	N	3		24,000	24,000	24,000	0	3/21/2020	C		3/27/2020
4500319787	GRAND AM RECREATIONAL VEHICLES INC 147 MASTIC RD MASTIC BEACH, NY 11951-2412 US	RENTAL OF CAMPERS FOR SEQUESTRATION	E	C	1	N	N	1		737,745	726,155	726,155	11,590	3/22/2020	O	3/20/2021	
4500319792	SUEZ WTS USA INC 4636 SOMERTON RD TREVOSE, PA 19053 US	WATER TREATMENT CORTROL	E	B	5	N	N	1	*	8,525	8,610	8,610	0	3/23/2020	C		4/21/2020
4500319794	AMERICAN VETERAN ENTERPRISE TEAM LLC 595 NEW LOUDON RD LATHAM, NY 12110-4063 US	MASKS	E	M	5	N	02	1		7,000	7,000	7,000	0	3/23/2020	C		4/2/2020
4500319797	UPTRENDS LLC STE 202 1800 NW CORPORATE BVLD BOCA RATON, FL 33431-7336 US	MAINTENANCE - UPTRENDS	E	B	6	F	N	1		19,293	19,293	19,293	0	1/26/2020	O	1/25/2023	
4500319798	COLTON AUTO INC2 3122 NIAGARA FALLS BLVD NORTH TONAWANDA, NY 14120 US	SLEEPER TRAILERS	E	2	1	N	N	1		208,839	208,742	208,742	97	3/23/2020	C		10/16/2020
4500319805	BIDCO MARINE GROUP INC 220 KATHERINE ST BUFFALO, NY 14210-2008 US	GRAVEL REPLENESHMENT PROJECT	C	2	8	N	01	1		64,100	64,100	64,100	0	3/24/2020	C		4/6/2020
4500319806	TRANE U S INC TRANE 4518 COURT SQ LONG ISLAND CITY, NY 11101-2955 US	CHILLER OVERHAUL AND MAINTENANCE	S	B	7	N	N	1		11,531	11,531	11,531	0	3/1/2020	O	2/28/2021	
4500319817	ABB ENTERPRISE SOFTWARE INC 25499 NETWORK PL CHICAGO, IL 60673-1254 US	MUNI METER UPGRADE	E	B	5	F	N	1		45,164	45,164	45,164	0	3/24/2020	C		10/16/2020
4500319821	ARTICULATE GLOBAL INC 244 5TH AVE STE 2960 NEW YORK, NY 10001 US	SOFTWARE LICENSE - ARTICULATE 360	S	1	6	N	N	1		8,638	8,638	8,638	0	4/3/2020	O	4/2/2021	

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4500319825	GUIDEPOINT SECURITY LLC 2201 COOPERATIVE WAY STE 225 HERNDON, VA 20171-3017 US	SOFTWARE LICENSE - INFOBLOX	E	B	7	F	N	1		44,924	44,924	44,924	0	4/6/2020	O	4/5/2023	
4500319830	CALL-A-HEAD CORP 304 CROSSBAY BLVD BROAD CHANNEL, NY 11693 US	RV TRAILER PUMP-OUTS FOR WASTE AND WATER CHANGE OUTS	S	C	5	N	N	1		15,000	15,000	15,000	0	3/25/2020	C		10/23/2020
4500319834	MX PETROLEUM CORP PO BOX 638 MASSENA, NY 13662 US	FUEL	E	B	7	N	01	1	*	5,895	5,923	5,923	0	3/25/2020	C		3/25/2020
4500319838	ISLAND OCCUPATIONAL MEDICAL RES 618 BROADWAY AMITYVILLE, NY 11701-2124 US	TEMPERATURE SCREENING SERVICES	S	1	5	N	N	1		40,000	31,000	31,000	9,000	3/25/2020	O	3/25/2021	
4500319846	DIRECTOR'S DESK LLC ONE LIBERTY PLAZA - 49TH FL NEW YORK, NY 10006-1404 US	SOFTWARE LICENSE - NASDAQ DIRECTORS DESK	S	1	6	N	N	1		24,724	24,724	24,724	0	1/31/2020	O	1/30/2021	
4500319861	BLEVINS SEAWAY MOTORS INC 98 CENTER ST MASSENA, NY 13662-1463 US	RV RENTAL	E	2	1	N	N	1		312,800	285,257	285,257	27,543	3/27/2020	C		11/3/2020
4500319863	COMMUNICATIONS TRAINING ANALYSIS CORPORATION 3120 FAIRVIEW PARK DR STE 600 FALLS CHURCH, VA 22042-4571 US	AMAZON WEB SERVICES	I	B	7	F	N	1		106,000	106,000	106,000	0	4/1/2020	O	3/31/2021	
4500319869	ON THE MEND MEDICAL SUPPLIES AND EQ DBA FOR SPEEDRAIN ENTERPRISES LLC 280 NORTH BEDFORD RD MOUNT KISCO, NY 10549 US	MASKS	E	C	5	N	N	3		24,000	24,000	24,000	0	3/27/2020	C		3/31/2020
4500319871	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	MAINTENANCE - DUO	E	B	8	F	N	2		291,000	291,000	291,000	0	1/31/2020	O	1/30/2021	
4500319873	GEI CONSULTANTS INC PC 400 UNICORN PARK DR WOBURN, MA 01801 US	FERC PART 12D SAFETY INSPECTION	P	B		N	N	4		500,491	27,015	27,015	473,476	3/27/2020	O	12/31/2024	
4500319874	LIVEDATA UTILITY SOLUTIONS INC 810 MEMORIAL DR CAMBRIDGE, MA 02139-4642 US	MAINTENANCE - LIVEDATA	S	1	8	N	N	1		134,066	36,180	36,180	97,886	1/1/2020	O	12/31/2022	
4500319885	RIGHTSTAR SYSTEMS DBA FOR RIGHTSTAR INC 1951 KIDWELL DR STE 110 VIENNA, VA 22182-3930 US	MAINTENANCE - BMC	S	B	7	N	N	1		39,526	39,526	39,526	0	3/26/2020	O	3/25/2021	
4500319889	GUIDEPOINT SECURITY LLC 2201 COOPERATIVE WAY STE 225 HERNDON, VA 20171-3017 US	SOFTWARE LICENSE - CROWDSTRIKE	S	B	7	N	N	1		145,627	145,396	145,396	231	4/2/2020	O	4/1/2021	

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4500319890	SYSCO ALBANY LLC 1 LIEBICH LN HALFMOON, NY 12065-1421 US	ONSITE FOOD AND SUPPLIES	E	2	5	N	N	1		24,900	18,247	18,247	6,653	3/31/2020	C		12/30/2020
4500319911	BIOMARK INC 705 S 8TH ST BOISE, ID 83702-7112 US	EEL LADDER PIT ANTENNAE MONITORING	S	1		N	N	1		65,000	16,793	16,793	48,207	4/1/2020	O	6/2/2025	
4500319916	DEADLINE SOLUTIONS INC 991 CANAL ST SYRACUSE, NY 13210-1203 US	EEL PASSAGEWAY FLOW METER MONITORING	S	1		N	N	1		145,541	14,518	14,518	131,023	4/1/2020	O	6/2/2025	
4500319918	SYSCO LONG ISLAND LLC 199 LOWELL AVE CENTRAL ISLIP, NY 11722-3863 US	EMERGENCY FOOD SUPPLY - SEQUESTERED EMPLOYEES	P	C	1	N	N	1		50,000	35,293	35,293	14,707	4/1/2020	O	3/31/2021	
4500319920	IBM CORP 80 STATE ST - STE 5 ALBANY, NY 12207-2543 US	MAINTENANCE - IBM STERLING GENTRAN	S	1	6	N	N	1		12,000	6,426	6,426	5,574	1/1/2020	C		12/31/2020
4500319922	OPTIV SECURITY INC 1144 15TH ST STE 2900 DENVER, CO 80202-2571 US	MAINTENANCE - PROOFPOINT	S	B	7	F	N	1		25,538	25,538	25,538	0	4/14/2020	O	4/13/2021	
4500319924	LAYER 3 TECHNOLOGIES INC 1645 LYELL AVE STE 200 ROCHESTER, NY 14606-2331 US	MAINTENANCE - SOPHOS	S	B	7	N	03	3		73,060	73,060	73,060	0	3/31/2020	O	3/30/2021	
4500319931	FERRELLGAS LP 5859 STATE RTE 31 VERONA, NY 13478-3713 US	PROPANE	E	B	7	N	N	1		9,702	9,702	9,702	0	4/2/2020	C		4/2/2020
4500319933	PROTEK INFORMATION TECH SRV LLC 492 MITCHELL DR VALLEY COTTAGE, NY 10989-2208 US	CYBER SECURITY - VPN TEST CAPACITY	S	M	6	N	03	1		45,000	45,000	45,000	0	4/2/2020	C		4/6/2020
4500319935	JOHNSON CONTROLS INC 507 E MICHIGAN ST - MAILSTOP M-16 MILWAUKEE, WI 53202-5211 US	SECURITY EQUIPMENT AND SERVICES	S	2	5	F	N	1		6,049	6,049	6,049	0	4/3/2020	C		4/3/2020
4500319937	ON THE MEND MEDICAL SUPPLIES AND EQ DBA FOR SPEEDRAIN ENTERPRISES LLC 280 NORTH BEDFORD RD MOUNT KISCO, NY 10549 US	MASKS	E	2	5	N	N	1		36,000	36,000	36,000	0	4/3/2020	C		4/7/2020
4500319946	SYSCO ALBANY LLC 1 LIEBICH LN HALFMOON, NY 12065-1421 US	FOOD	E	2	5	N	N	1		14,242	14,242	14,242	0	4/3/2020	C		5/29/2020
4500319947	FASTENAL COMPANY 13 OLD SHERMAN TPKE #15 DANBURY, CT 06810 US	MASKS	E	2	5	F	N	1	*	7,940	8,099	8,099	0	4/3/2020	C		6/9/2020
4500319949	SOFTWARE SENSE ENTERPRISES INC 376 BROADWAY - STE L3 SARATOGA SPRINGS, NY 12866 US	MAINTENANCE - PTRPLUS	S	1	8	N	N	1		300,000	25,500	25,500	274,500	3/1/2020	O	2/28/2025	

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4500319951	WAH SING NG NGPLANNING LLC 4 CAMBRIDGE RD HOLMDEL, NJ 07733-2020 US	EGEAS MODEL SUPPORT	S	1	6	N	N	1		34,500	11,000	11,000	23,500	1/1/2020	O	12/31/2022	
4500319963	AMERICAN VETERAN ENTERPRISE TEAM LLC 595 NEW LOUDON RD LATHAM, NY 12110-4063 US	MASKS	E	C	5	N	02	1	*	7,000	7,033	7,033	0	4/6/2020	C		5/4/2020
4500319965	DELL MARKETING LP 850 ASBURY DR BUFFALO GROVE, IL 60089-4557 US	MICROSOFT REMOTE DESKTOP SERVICES	I	B	7	F	N	1		34,635	34,635	34,635	0	4/6/2020	C		4/7/2020
4500319974	A & M INDUSTRIAL SUPPLY CO 1414 CAMPBELL ST - PO BOX 1044 RAHWAY, NJ 07065-1044 US	MASKS AND DISINFECTANTS	E	B	5	F	N	1		7,283	7,283	7,283	0	4/7/2020	C		4/9/2020
4500320004	TYNDALE CO DBA FOR TYNDALE ENTERPRISES INC 5050 APPLEBUTTER RD PIPERSVILLE, PA 18947-1808 US	MASKS	E	2	5	F	N	1		40,800	39,950	39,950	850	4/9/2020	C		6/5/2020
4500320008	MONTEIRO ENDEAVORS LLC DBA FOR DANIEL MONTEIRO 37 N ORANGE AVE STE 500 ORLANDO, FL 32801-2459 US	MAINTENANCE - ARMORTEXT	I	B	5	F	N	3		28,004	28,004	28,004	0	3/25/2020	O	3/24/2021	
4500320012	FOUR SEASONS RV RENTAL LLC 724 OLD LIVERPOOL RD LIVERPOOL, NY 13088-6035 US	RENTAL OF FIVE RECREATIONAL VEHICLES SEQUESTERED EMPLOYEES	E	C	5	N	N	6		38,625	38,625	38,625	0	4/9/2020	C		5/27/2020
4500320013	FERGUSON ENTERPRISES LLC DBA FOR FERGUSON US HOLDINGS INC 612 PIERCE ROAD CLIFTON PARK, NY 12065 US	OCTAVE METER	E	B	5	N	N	3		10,444	10,444	10,444	0	4/9/2020	C		4/21/2020
4500320018	GENERAL ELECTRIC INTERNATIONAL INC 1 RIVER RD - BLDG 53-310 SCHENECTADY, NY 12305-2551 US	MAINTENANCE - GE MULTI AREA PRODUCTION SIMULATION	S	1	8	N	N	1		122,840	122,840	122,840	0	1/21/2020	O	1/20/2021	
4500320038	AIRLINE HYDRAULICS CORP 3557 PROGRESS DR BENSALEM, PA 19020-5896 US	REXROTH KITS AND LOVEJOY COUPLINGS	E	B	5	F	N	2	*	14,379	14,446	14,446	0	4/14/2020	C		7/8/2020
4500320041	MILLER PROCTOR NICKOLAS INC 2 HUDSON ST SLEEPY HOLLOW, NY 10591-0815 US	BOILER SERVICE	S	1	8	N	N	1		250,000	16,610	16,610	233,390	6/1/2020	O	5/31/2023	
4500320043	JOHNSON CONTROLS INC 130 JOHN MUIR DR - STE 100 AMHERST, NY 14228-1139 US	CIP5 WARRANTY	R	1	1	N	N	1		57,220	57,220	57,220	0	4/14/2020	C		6/3/2020
4500320046	CARAHSOFT TECHNOLOGY CORP 11493 SUNSET HILLS RD STE 100 RESTON, VA 20190-5328 US	MAINTENANCE - AVEPOINT	S	B	7	F	N	1		34,665	34,665	34,665	0	5/12/2020	O	5/11/2021	

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4500320048	INTEGRITY POWER SOLUTIONS LLC DAVID CLARIDA 2708 CUMBERLAND DR EDMOND, OK 73034-8372 US	AIRFOIL TAILS	E	1	8	F	N	1		67,500	67,500	67,500	0	4/14/2020	C		5/15/2020
4500320051	CINTAS CORP NO 2 5740 GENESEE ST LANCASTER, NY 14086-9734 US	INDUSTRIAL WIPERS, SORBENT RUGS, FLOOR MATS	S	B		N	N	1		121,500	34,232	34,232	87,268	7/15/2020	O	7/14/2021	
4500320053	SYSCO ALBANY LLC 1 LIEBICH LN HALFMOON, NY 12065-1421 US	FOOD AND SUPPLIES	E	2	5	N	N	1		6,778	6,778	6,778	0	4/15/2020	O	4/1/2021	
4500320064	BENTLY NEVADA LLC BAKER HUGHES A GE COMPANY 1631 BENTLY PKWY S MINDEN, NV 89423-4119 US	BENTLEY NEVADA PARTS	E	B	5	F	N	1	*	13,538	13,608	13,608	0	4/17/2020	C		6/1/2020
4500320075	SHI INTERNATIONAL CORP 5 W BANK ST COLD SPRING, NY 10516-2219 US	MAINTENANCE - ENCASE	I	B	7	F	N	1		24,359	24,359	24,359	0	4/22/2020	C		4/23/2020
4500320076	FEDRESULTS INC 1900 CAMPUS COMMONS DR - STE 100 RESTON, VA 20191-1535 US	MAINTENANCE - TABLEAU	S	B	7	F	N	1		185,280	185,280	185,280	0	6/28/2020	O	6/27/2021	
4500320079	SIEMENS INDUSTRY INC 400 STATE ST SCHENECTADY, NY 12305-2304 US	MAINTENANCE - PPSE GUI	S	1	6	N	N	1		22,075	22,075	22,075	0	1/1/2020	C		12/31/2020
4500320094	HITACHI T & D SOLUTIONS INC 7250 MCGINNIS FERRY RD SUWANEE, GA 30024-1245 US	HITACHI BREAKER OUTAGE SUPPORT	S	1	5	F	N	1		86,940	79,255	79,255	7,685	4/20/2020	C		12/31/2020
4500320095	BUFFALO INDUSTRIAL CHEMICALS INC PO BOX 664 NORTH TONAWANDA, NY 14120 US	COOLING TOWER TREATMENT SERVICES	S	B	5	N	N	1		17,000	10,930	10,930	6,070	4/20/2020	C		11/30/2020
4500320097	EL ELECTRONICS LLC 1800 SHAMES DR WESTBURY, NY 11590-1730 US	NEXUS METER UPGRADES	E	B	5	N	N	2	*	9,842	9,927	9,927	0	4/20/2020	C		5/29/2020
4500320107	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	ZBOOKS, ACCESSORIES AND MAINTENANCE	H	B	7	F	04	3		9,896	9,896	9,896	0	4/20/2020	C		5/15/2020
4500320108	GE DIGITAL LLC DBA FOR GENERAL ELECTRIC CO 41 FARNSWORTH ST BOSTON, MA 02210-1236 US	GE SUPPORT SERVICES	S	1	5	F	N	1		27,913	27,913	27,913	0	4/27/2020	O	4/26/2021	
4500320109	B & H PHOTO VIDEO DBA FOR B&H FOTO & ELECTRONICS CORP 420 9TH AVE NEW YORK, NY 10001-1644 US	MACBOOK PROS	H	B	6	N	N	3		7,245	7,245	7,245	0	4/21/2020	C		4/21/2020
4500320118	CARAHSOFT TECHNOLOGY CORP 11493 SUNSET HILLS RD STE 100 RESTON, VA 20190-5328 US	LINKEDIN LEARNING PRO FOR GOVERMENT LEARNING	I	B	6	F	N	3		48,050	48,050	48,050	0	4/27/2020	O	4/26/2021	

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4500320120	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	MAINTENANCE - F5 BIG-IP	S	B	7	F	N	1		60,742	60,742	60,742	0	4/24/2020	O	4/23/2021	
4500320121	SHI INTERNATIONAL CORP 5 W BANK ST COLD SPRING, NY 10516-2219 US	MAINTENANCE - QUEST	I	B	7	F	N	1		7,004	7,004	7,004	0	4/22/2020	C		10/19/2020
4500320132	DIVAL SAFETY EQUIPMENT INC 1721 NIAGARA ST BUFFALO, NY 14207-3108 US	MASKS	E	2	5	N	N	1	*	16,875	17,081	17,081	0	4/22/2020	C		10/16/2020
4500320136	D & L INSTALLATIONS INC 230 KNICKERBOCKER AVE BOHEMIA, NY 11716-3140 US	AIR COMPRESSOR VALVES	E	B	5	N	03	3	*	6,647	6,773	6,773	0	4/22/2020	C		5/15/2020
4500320139	KOFAX INC 15211 LAGUNA CANYON RD IRVINE, CA 92618-3146 US	MAINTENANCE - READSOFT PROCESS DIRECTOR	S	1	6	N	N	1		20,683	20,683	20,683	0	5/1/2020	O	4/30/2021	
4500320140	KOFAX INC 15211 LAGUNA CANYON RD IRVINE, CA 92618-3146 US	MAINTENANCE - READSOFT CUSTOMIZATION SOFTWARE	S	1	6	N	N	1		17,983	17,983	17,983	0	5/1/2020	O	4/30/2021	
4500320145	FLIGHTSAFETY INTERNATIONAL INC 100 MOONACHIE AVE MOONACHIE, NJ 07074-1819 US	PILOT TRAINING	P	B		F	N	1		300,000	0	0	300,000	4/1/2020	O	3/31/2025	
4500320151	HUBBELL POWER SYSTEMS INC 210 N ALLEN ST CENTRALIA, MO 65240-1302 US	PROTECTION AND CONTROL EQUIPMENT	E	B	5	F	N	1	*	14,817	14,861	14,861	0	4/24/2020	C		6/15/2020
4500320159	FIBER INSTRUMENT SALES INC 161 CLEAR RD ORISKANY, NY 13424-4301 US	1000' WIRE CABLE REEL	E	B	5	N	N	2		10,080	9,737	9,737	343	4/24/2020	C		5/29/2020
4500320167	OPEN TEXT INC 2950 S DELAWARE ST SAN MATEO, CA 94403-2199 US	MAINTENANCE - OPENTEXT	S	B	7	N	N	1		131,231	131,231	131,231	0	7/1/2020	O	6/30/2021	
4500320173	PINNACLE PARTS & SERVICE CORP 18 HICKORY LN BAYVILLE, NJ 08721-2111 US	MARK VI TERMINAL BOARD FOR FEEDER PUMP	E	B	5	F	N	1	*	7,995	8,094	8,094	0	4/27/2020	C		10/29/2020
4500320176	GARTNER INC PO BOX 911319 DALLAS, TX 75391-1319 US	SOFTWARE - GARTNER	S	B	7	F	N	1		238,277	238,277	238,277	0	4/1/2020	O	3/31/2021	
4500320187	ELECTRIC CAR INSIDER DBA FOR CHRISTOPHER ALAN 9740 CAMPO RD SPRING VALLEY, CA 91977-1415 US	EV MODEL COMMUNITY PROGRAM	P	B			N	N	24		21,800	21,800	21,800	0	4/28/2020	C		5/30/2020
4500320192	ON THE MEND MEDICAL SUPPLIES AND EQ DBA FOR SPEEDRAIN ENTERPRISES LLC 280 NORTH BEDFORD RD MOUNT KISCO, NY 10549 US	LYSOL WIPES, DISINFECTANT	E	2	5	N	N	1		8,000	8,000	8,000	0	4/28/2020	C		4/30/2020

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4500320195	S & P GLOBAL MARKET INTELL INC S & P GLOBAL MARKET INTELL LLC 55 WATER ST NEW YORK, NY 10041-0004 US	MAINTENANCE - S AND P INTELLIGENCE	S	1	5	N	N	1		45,198	45,198	45,198	0	4/30/2020	O	4/29/2021	
4500320203	ASI MARINE LP 40 CENTRE DR - STE 3 ORCHARD PARK, NY 14127-4100 US	ZEBRA MUSSEL CONTROL SERVICES	S	B	5	N	N	1		35,500	35,500	35,500	0	4/29/2020	C		12/31/2020
4500320207	FOX FENCE INC 2637 LOCKPORT RD NIAGARA FALLS, NY 14305 US	FENCE REPAIRS AND MAINTENANCE	S	B	5	N	01	1		24,500	8,265	8,265	16,235	4/30/2020	O	4/29/2021	
4500320220	MILLER ENERGY INC DBA FOR H M MILLER SALES CO 3200 S CLINTON AVE SOUTH PLAINFIELD, NJ 07080-1424 US	PRESSURE TRANSMITTER	E	B	5	F	N	3	*	11,842	11,983	11,983	0	4/29/2020	C		8/17/2020
4500320222	HOSELTON CHEVROLET INC 909 FAIRPORT RD EAST ROCHESTER, NY 14445-1991 US	LEASE OF FOUR (4) CHEVROLET EQUINOX AWD SUV'S FOR THREE YEARS	E	B	7	N	N	1		60,912	13,536	13,536	47,376	4/30/2020	O	5/5/2023	
4500320232	A & M INDUSTRIAL SUPPLY CO 1414 CAMPBELL ST - PO BOX 1044 RAHWAY, NJ 07065-1044 US	GAS SUPPLY ACTUATOR	E	B	5	F	N	1		12,245	12,245	12,245	0	4/30/2020	C		6/30/2020
4500320233	ECO-CARE CORP 350 7TH AVE - STE 1501 NEW YORK, NY 10001-1935 US	ULTRAVIOLET (UVC) LIGHT TREATMENT TO HVAC SYSTEMS	S	2	8	N	N	1		166,257	147,247	147,247	19,010	4/30/2020	O	4/29/2021	
4500320237	SIRIUS COMPUTER SOLUTIONS INC 101000 REUNION PLACE STE 500 SAN ANTONIO, TX 78216 US	MAINTENANCE - IBM	S	B	7	N	N	2		134,047	134,047	134,047	0	1/1/2020	C		12/31/2020
4500320238	SIRIUS COMPUTER SOLUTIONS INC 101000 REUNION PLACE STE 500 SAN ANTONIO, TX 78216 US	MAINTENANCE - IBM	S	B	7	N	N	2		713,530	713,530	713,530	0	1/1/2020	C		12/31/2020
4500320243	HITACHI T & D SOLUTIONS INC 7250 MCGINNIS FERRY RD SUWANEE, GA 30024-1245 US	STOCK ITEMS	E	B	6	F	N	3		26,864	6,628	6,628	20,236	5/1/2020	O	6/15/2021	
4500320251	SCHWEITZER ENGINEERING LAB INC C/O ROBINSON SALES INC 100 W SIXH ST - STE 4 MEDIA, PA 19063-2433 US	SEL RELAY	E	B	5	N	N	3		17,920	17,920	17,920	0	5/1/2020	C		5/19/2020
4500320261	THE FRIENDS OF THE ROBERT MOSES STATE PARK NATURE CENTER INC PO BOX 408 MASSENA, NY 13662-0408 US	NICANDRI NATURE CENTER	S	1	3	N	N	1		333,000	293,400	293,400	39,600	4/1/2020	O	3/31/2021	

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4500320262	INSIGHT PUBLIC SECTOR INC 6820 S HARL AVE TEMPE, AZ 85283-4318 US	SOFTWARE - RED HAT LINUX	S	B	7	F	N	2		14,457	14,457	14,457	0	5/4/2020	O	3/11/2021	
4500320263	AUTOMOTIVE RENTALS INC 40001 LEADENHALL RD MOUNT LAUREL, NJ 08054-4611 US	FLEET EQUIPMENT MAINTENANCE CONTRACT	S	B	7	F	N	1		150,000	128,550	128,550	21,450	5/5/2020	C		12/31/2020
4500320279	ADMAR SUPPLY CO INC STE 1 1950 BRIGHTON HENRIETTA TL RD ROCHESTER, NY 14623-2597 US	RENTAL OF WACKER NEUSON EXCAVATOR	E	B	5	N	N	1		15,390	15,390	15,390	0	5/5/2020	C		7/17/2020
4500320283	ABB ENTERPRISE SOFTWARE I 800 HYMUS BOULEVARD ST-LAURENT, PQ H4S 0B5 CA	GSU COPPER COIL RETROFITTING	E	B		F	N	1		4,614,232	1,916,240	1,916,240	2,697,992	5/5/2020	O	12/31/2022	
4500320295	CAREER CONCEPTS INC DBA CCI CONSULTING 721 ARBOR WAY-STE 180-HILLCREST II BLUE BELL, PA 19422-1977 US	EXECUTIVE COACHING SERVICES	P	2	5	F	N	1		30,000	11,700	11,700	18,300	1/1/2020	C		12/31/2020
4500320321	FALMAT INC 1873 DIAMOND STREET SAN MARCOS, CA 92078-5128 US	CRESCENT SUB CABLE	E	2	8	F	N	1		85,586	85,586	85,586	0	5/8/2020	C		6/30/2020
4500320323	A & M INDUSTRIAL SUPPLY CO 1414 CAMPBELL ST - PO BOX 1044 RAHWAY, NJ 07065-1044 US	MASKS	E	B	5	F	N	1		9,399	9,399	9,399	0	5/6/2020	C		12/15/2020
4500320326	JESSALYN ROSE CLARY c/o 123 MAIN ST WHITE PLAINS, NY 10601	NURSING SERVICES	P	2	1	N	N	1		198,000	110,140	110,140	87,860	5/7/2020	O	5/6/2021	
4500320330	VAN KOOY TRANSFORMER SERVICES INC 128 GLEN ROAD HAMILTON, ON L8S 3M9 CA	GSU FACTORY ACCEPTANCE TEST WITNESS	S	B	5	F	N	3		29,555	19,460	19,460	10,095	5/7/2020	O	5/6/2021	
4500320339	COURTNEY PATTERSON c/o 123 MAIN ST WHITE PLAINS, NY 10601	NURSING SERVICES	P	2	1	N	N	2		198,000	88,712	88,712	109,288	5/7/2020	O	5/6/2021	
4500320342	CARAHSOFT TECHNOLOGY CORP 11493 SUNSET HILLS RD STE 100 RESTON, VA 20190-5328 US	MAINTENANCE - DATABRICKS	I	B	7	N	N	1		225,354	225,354	225,354	0	5/7/2020	O	5/7/2023	
4500320344	SUNY COBLESKILL FOUNDATION ROOM 200 KNAPP HALL - SUNY COBLESKI COBLESKILL, NY 12043 US	FISH STOCKING	S	2	6	N	N	1		15,000	15,000	15,000	0	5/7/2020	C		6/18/2020
4500320355	JAMES H MALOY INC 421 ALBANY SHAKER RD - PO BOX 11016 LOUDONVILLE, NY 12211-1815 US	FLASHBOARD REMOVAL AND INSTALLATION	C	B		N	01	2		141,125	141,125	141,125	0	4/1/2020	O	3/31/2023	
4500320358	TELEDYNE INSTRUMENTS INC TELENDYNE IMPULSE 9855 CARROLL CANYON RD SAN DIEGO, CA 92131-1103 US	CS SUB CABLE CONNECTORS	E	2	8	F	N	1		55,000	51,395	51,395	3,605	6/22/2020	C		12/31/2020

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4500320359	COMPULINK TECHNOLOGIES INC 260 W 39TH ST - STE 302 NEW YORK, NY 10018-4434 US	CISCO EQUIPMENT FOR NETWORK FIBER CONNECTIVITY	H	B	7	F	04	3		23,427	23,427	23,427	0	5/8/2020	C		5/20/2020
4500320364	DAIKIN APPLIED AMERICAS INC DBA DAIKIN APPLIED 13600 INDUSTRIAL PARK BLVD MINNEAPOLIS, MN 55441-3743 US	MICROTECH II CONTROL PANEL	E	B	5	F	N	1		32,500	32,500	32,500	0	5/11/2020	C		6/2/2020
4500320365	INSTRUMENT TRANSFORMER EQUIPMENT CORP PO BOX 129 MONROE, NC 28111-0129 US	METERING UNITS	E	B	5	F	N	2		26,268	26,268	26,268	0	5/11/2020	C		10/19/2020
4500320371	GLOBALSTAR INC GLOBALSTAR USA LLC 461 S MILPITAS BLVD MILPITAS, CA 95035-5485 US	GLOBALSTAR SATELLITE PHONE SERVICES	S	1	8	F	N	1		112,849	111,666	111,666	1,183	4/16/2020	O	4/15/2021	
4500320381	COMPULINK TECHNOLOGIES INC 260 W 39TH ST - STE 302 NEW YORK, NY 10018-4434 US	MAINTENANCE - NETSCOUT	S	B	6	N	04	2		15,636	15,636	15,636	0	6/1/2020	O	5/31/2021	
4500320382	NETWORK & SECURITY TECHNOLOGIES INC 161 N MIDDLETOWN RD PEARL RIVER, NY 10965-2030 US	CYBER ASSESSMENT AND TESTING	S	B		N	N	20		35,450	35,439	35,439	11	5/12/2020	C		7/31/2020
4500320390	KONECRANES INC 1020 LEHIGH STATION RD HENRIETTA, NY 14467-9369 US	KONE CRANES WELD INSPECTION	P	1	5	F	N	1		39,148	23,489	23,489	15,659	5/12/2020	O	5/11/2021	
4500320397	SOURCE IT TECHNOLOGIES LLC KARA HOMAN 24 EAST AVE - STE 244 NEW CANAAN, CT 06840-5529 US	SOFTWARE LICENSE - COMMVAULT	S	B	7	F	03	1		183,915	183,915	183,915	0	3/31/2020	O	3/30/2021	
4500320398	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	RARITAN EQUIPMENT	H	B	6	F	04	4		5,334	5,334	5,334	0	5/12/2020	C		6/8/2020
4500320426	ON THE MEND MEDICAL SUPPLIES AND EQ DBA FOR SPEEDRAIN ENTERPRISES LLC 280 NORTH BEDFORD RD MOUNT KISCO, NY 10549 US	LYSOL WIPES	E	2	5	F	N	1		19,950	19,950	19,950	0	5/13/2020	C		5/28/2020
4500320453	ABB ENTERPRISE SOFTWARE INC STE 500 400 PERIMETER CENTER TER NE ATLANTA, GA 30346-1231 US	HIGH VOLTAGE ELECTRICAL PARTS	E	B		F	N	1		79,317	0	0	79,317	5/15/2020	O	2/28/2021	
4500320454	LEAD DATA TECHNOLOGIES INC PO BOX 295 NANUET, NY 10954-0295 US	EBS RENEWAL	R	1	8	N	N	1		53,372	53,372	53,372	0	5/15/2020	C		5/26/2020
4500320465	MILLER ENERGY INC DBA FOR H M MILLER SALES CO 3200 S CLINTON AVE SOUTH PLAINFIELD, NJ 07080-1424 US	LEVEL INDICATOR AND TRANSMITTER	E	B	5	F	N	1		9,662	9,662	9,662	0	5/18/2020	C		10/26/2020

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4500320478	ALEXANDRA LICASTRO c/o 123 MAIN ST WHITE PLAINS, NY 10601	NURSING SERVICES	P	2	1	N	N	1		75,000	65,920	65,920	9,080	5/19/2020	C		10/16/2020
4500320496	SISU ENERGY & ENVIRONMENTAL SUITE 1005 5801 E 41ST STREET TULSA, OK 74135 US	PLATINUM CO CATALYST	E	B		F	N	1		305,991	305,991	305,991	0	5/19/2020	C		11/5/2020
4500320510	AMERICAN VETERAN ENTERPRISE TEAM LLC 595 NEW LOUDON RD LATHAM, NY 12110-4063 US	MASKS	E	2	5	N	02	1	*	6,500	6,546	6,546	0	5/20/2020	C		5/26/2020
4500320515	SOUTH ATLANTIC MARINE SERVICES INC 342 COLD SPRING RD SYOSSET, NY 11791 US	MASKS	E	2	5	N	03	1	*	18,000	18,286	18,286	0	5/20/2020	C		10/19/2020
4500320516	SOUTH ATLANTIC MARINE SERVICES INC 342 COLD SPRING RD SYOSSET, NY 11791 US	COVID-19 SUPPLIES	E	B	5	N	03	1	*	13,210	13,410	13,410	0	5/20/2020	C		6/8/2020
4500320521	MILLER ENERGY INC DBA FOR H M MILLER SALES CO 3200 S CLINTON AVE SOUTH PLAINFIELD, NJ 07080-1424 US	PHOSPHATE ANALYZER AND PARTS	E	B	5	F	N	1	*	12,767	12,932	12,932	0	5/20/2020	C		7/22/2020
4500320529	OTIS ELEVATOR CO 1 ODELL PLZ - STE 120 YONKERS, NY 10701-1415 US	ELEVATOR MAINTENANCE	M	B		N	N	5		483,000	2,250	2,250	480,750	6/5/2020	O	6/4/2025	
4500320543	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	SOFTWARE LICENSE - CISCO	E	B	7	N	04	2		8,572	8,572	8,572	0	5/21/2020	C		5/27/2020
4500320553	LEXISNEXIS RISK SOLUTIONS FL INC. 1000 ALDERMAN DR ALPHARETTA, GA 30005-4101 US	SOFTWARE LICENSE - ACCURINT ACCESS	S	B	5	N	N	1		17,800	6,302	6,302	11,498	5/1/2020	O	4/30/2021	
4500320556	AIR ENGINEERING FILTERS INC 530 NEPPERHAN AVE YONKERS, NY 10701-6659 US	AIR FILTERS	E	B	8	N	N	1		13,584	13,472	13,472	112	5/22/2020	O	5/21/2021	
4500320580	PERRAS EXCAVATING INC 1909 ST HWY 420 MASSENA, NY 13662 US	BOAT LAUNCH REHABILITATION	C	B		N	N	4		3,053,952	805,841	805,841	2,248,111	5/26/2020	O	5/25/2021	
4500320597	ABB INC EXCITER 23000 HARVARD RD CLEVELAND, OH 44122-7234 US	POWER SUPPLY ADAPTER	E	B	6	F	N	1		8,000	8,000	8,000	0	5/27/2020	C		5/27/2020
4500320606	FOX FENCE INC 2637 LOCKPORT RD NIAGARA FALLS, NY 14305 US	SECURITY GATE REPLACEMENT PARTS	E	B	5	N	01	3		5,594	5,594	5,594	0	5/27/2020	C		6/3/2020
4500320609	POWERGEM LLC 632 PLANK RD - STE 101 CLIFTON PARK, NY 12065-4883 US	SOFTWARE - POWERGEM FOR TRANSMISSION ADEQUACY	I	2	8	F	N	1		61,800	61,800	61,800	0	6/1/2020	O	5/31/2021	

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4500320614	HAYES PUMP INC 295 FAIRFIELD AVE FAIRFIELD, NJ 07004-3833 US	ECONOMIZER PUMP	E	B	5	F	N	2		8,748	8,748	8,748	0	5/27/2020	C		7/30/2020
4500320617	ABB ENTERPRISE SOFTWARE INC 305 GREGSON DR CARY, NC 27511-6496 US	MAINTENANCE - ABB MACH2 SYSTEM	S	1	8	N	N	1		167,730	83,865	83,865	83,865	11/1/2019	C		10/31/2020
4500320648	GRAYBAR ELECTRIC CO INC 229 CHURCH ST ALBANY, NY 12202-1060 US	I AND C RELAY	E	B	5	N	N	3		8,681	8,681	8,681	0	5/29/2020	C		10/19/2020
4500320649	AMETEK POWER INSTRUMENTS 255 N UNION ST ROCHESTER, NY 14605-2644 US	ANNUNCIATOR PUMP SKID	E	B	5	N	N	2		6,366	6,366	6,366	0	5/29/2020	C		10/19/2020
4500320650	AMETEK POWER INSTRUMENTS 255 N UNION ST ROCHESTER, NY 14605-2644 US	JEMSTAR METERS	E	B	5	N	N	1	*	24,699	24,804	24,804	0	5/29/2020	C		7/8/2020
4500320679	CIVIL AND ENVIROMENTAL CONSULTANTS OF NEW YORK INC 908 NIAGARA FALLS BVLD NORTH TONAWANDA, NY 14120-2019 US	ZEBRA MUSSEL TESTING SERVICES	S	B	5	N	N	1		15,000	12,750	12,750	2,250	6/1/2020	O	5/31/2021	
4500320685	N C C SYSTEMS INC PO BOX 670 POTSDAM, NY 13676 US	FIRE EXTINGUISHER REFILL/REPLACEMENT	E	B	5	N	02	1		18,050	10,526	10,526	7,524	6/1/2020	O	5/31/2021	
4500320698	CARRIER NORTHEAST INC 1401 ERIE BLVD E SYRACUSE, NY 13210 US	PORTABLE AIR PURIFICATION SYSTEMS	E	C	8	N	N	3		940,109	603,621	603,621	336,488	6/1/2020	O	5/31/2021	
4500320700	VALVE INDUSTRIES INC 4 SLATE CT - APT D-2 WOODLAND PARK, NJ 07424-4247 US	ARCING, CONTACT	E	B	5	N	N	3		38,448	38,448	38,448	0	6/1/2020	C		6/9/2020
4500320720	GOODWAY TECHNOLOGIES CORP 420 WEST AVE STAMFORD, CT 06902-6384 US	DISINFECTING SYSTEM	E	2	5	F	N	1		6,175	6,175	6,175	0	6/2/2020	C		7/30/2020
4500320765	TYNDALE CO DBA FOR TYNDALE ENTERPRISES INC 5050 APPLEBUTTER RD PIPERSVILLE, PA 18947-1808 US	MASKS	E	2	5	F	N	1		8,500	8,500	8,500	0	6/4/2020	C		6/8/2020
4500320777	EAGLE EYE POWER SOLUTIONS LLC 4031 W KIEHNAUE AVE MILWAUKEE, WI 53209-3022 US	WAREHOUSE STOCK	E	B	5	F	N	4	*	9,998	10,118	10,118	0	6/4/2020	C		6/29/2020
4500320781	POWERCOMM SOLUTIONS LLC 15 MINNEAKONING RD - STE 311 FLEMINGTON, NJ 08822-5751 US	COMMUNICATIONS ANALYZER	E	2	5	N	N	1		10,950	10,950	10,950	0	6/4/2020	C		6/16/2020
4500320795	SIEMENS INDUSTRY INC 10900 WAYZATA BLVD - STE 400 MINNETONKA, MN 55305-5602 US	VOLTAGE REGULATOR	E	B	5	F	N	3		49,992	0	0	49,992	6/5/2020	O	1/20/2021	
4500320813	WELLS TECHNOLOGY INC 4885 WINDSOR CT NW BEMIDJI, MN 56601-7659 US	VENDING RESTOCK	E	B	7	F	04	1		9,291	9,291	9,291	0	6/5/2020	C		6/5/2020

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4500320839	MATHWORKS INC 3 APPLE HILL DR NATICK, MA 01760-2098 US	MAINTENANCE - MATLAB	S	2	5	F	N	11		18,435	18,435	18,435	0	7/1/2020	O	6/30/2021	
4500320862	THYSSEN ELEVATOR CO 6067 CORPORATE DR EAST SYRACUSE, NY 13057-1082 US	ELEVATOR/ESCALATOR INSPECTIONS	S	B	5	N	N	2		14,203	14,203	14,203	0	6/10/2020	C		9/4/2020
4500320866	SOMMERFIELD WILDLIFE CONTROL ROBERT H SOMMERFIELD 28 S GRASSE RIVER RD MASSENA, NY 13662-3234 US	ANIMAL REMOVAL SERVICES	S	B	5	N	N	1		10,000	1,980	1,980	8,020	6/10/2020	O	6/9/2021	
4500320916	WESTERN OILFIELFDS SUPPLY COMPANY DBA RAIN FOR RENT 3404 STATE RD BAKERSFIELD, CA 93308-4538 US	ECONTAIN SPILLBERM	E	B	5	F	N	1		11,340	11,340	11,340	0	6/11/2020	C		10/19/2020
4500320925	MICROSOFT CORP 3000 BAYPORT DR - STE 480 TAMPA, FL 33607 US	MAINTENANCE - MICROSOFT	S	B	7	N	N	1		154,310	154,310	154,310	0	6/28/2020	O	6/27/2021	
4500320928	HITACHI T & D SOLUTIONS INC 7250 MCGINNIS FERRY RD SUWANEE, GA 30024-1245 US	STOCK - HVB PARTS	E	B	5	N	N	3		30,923	30,923	30,923	0	6/12/2020	O	1/1/2021	
4500320939	AMERICAN GOVERNOR CO 27 RICHARD RD IVYLAND, PA 18974-1512 US	WOODWARD GOVERNOR PARTS	E	B	5	F	N	1		8,120	8,120	8,120	0	6/17/2020	C		10/16/2020
4500320957	VALVE INDUSTRIES INC 4 SLATE CT - APT D-2 WOODLAND PARK, NJ 07424-4247 US	CARTRIDGE ELEMENT STAINER	E	B	5	F	N	1		5,552	5,552	5,552	0	6/15/2020	C		10/16/2020
4500320974	LEAD DATA TECHNOLOGIES INC PO BOX 295 NANUET, NY 10954-0295 US	MAINTENANCE - CHECKPOINT	S	B	7	N	N	1		614,054	614,054	614,054	0	6/29/2020	O	6/28/2021	
4500320990	FORRESTER RESEARCH INC 60 ACORN PARK DR CAMBRIDGE, MA 02140-2303 US	SOFTWARE - FORRESTER IT ADVISORY SERVICE	S	B	5	F	N	1		10,519	10,519	10,519	0	5/27/2020	O	5/26/2021	
4500320992	DATASPLICE LLC 414 E OAK ST FORT COLLINS, CO 80524-2950 US	SOFTWARE LICENSE - DATASPLICE	I	B	5	F	N	1		24,921	24,921	24,921	0	1/1/2020	C		12/31/2020
4500320993	CDW COMPUTER CENTER INC CDW GOV'T SALES 200/230 N MILWAUKEE AVE VERNON HILLS, IL 60061 US	SOFTWARE LICENSE - ADOBE SIGN	S	B	7	N	N	1		98,024	98,024	98,024	0	2/22/2020	O	2/21/2021	
4500320994	LEAD DATA TECHNOLOGIES INC PO BOX 295 NANUET, NY 10954-0295 US	CHECKPOINT NETWORK SECURITY EQUIPMENT AND SERVICES	S	B	7	N	N	1		557,187	557,187	557,187	0	6/16/2020	O	6/15/2021	
4500321012	AERODERIVATIVE GAS TURBINE SUPPORT INC 1141 S ROGERS CIR - STE 11 BOCA RATON, FL 33487-2789 US	FLOW WATER INJECTION CONVERTER	E	B	5	F	N	1	*	30,760	30,859	30,859	0	6/16/2020	C		9/3/2020

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4500321039	TRINOVA INC 4485 LAUGHLIN DR S MOBILE, AL 36693-5646 US	SEAL HEATERS	E	B	6	F	N	3		8,456	8,456	8,456	0	6/16/2020	C		8/20/2020
4500321042	DELL MARKETING LP C/O DELL USA LP ONE DELL WAY MS RR3-58 ROUND ROCK, TX 78664-7000 US	MAINTENANCE - ADOBE CREATIVE CLOUD	I	B	5	F	N	1		26,318	26,318	26,318	0	6/5/2020	O	6/4/2021	
4500321058	HITACHI T & D SOLUTIONS INC 7250 MCGINNIS FERRY RD SUWANEE, GA 30024-1245 US	INTERUPPTER PARTS	E	B	5	F	N	1		30,279	30,279	30,279	0	6/17/2020	C		10/19/2020
4500321093	LIGHTNING MECHANICAL 65 NEWARK WAY MAPLEWOOD, NJ 07040-3309 US	SECURITY HVAC	E	2	5	F	N	1		36,377	36,377	36,377	0	6/18/2020	C		12/30/2020
4500321095	ACTION BATTERY WHOLESALERS INC DBA BAE BATTERIES USA 484 COUNTY ROAD VV SOMERSET, WI 54025-9031 US	DC POWER SYSTEM	E	B	5	F	N	3		7,205	7,205	7,205	0	6/18/2020	C		8/4/2020
4500321133	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	CISCO EQUIPMENT AND CHECKPOINT UPGRADE	H	B	7	F	N	4		166,653	166,653	166,653	0	6/19/2020	C		7/10/2020
4500321143	MILLER ENERGY INC DBA FOR H M MILLER SALES CO 3200 S CLINTON AVE SOUTH PLAINFIELD, NJ 07080-1424 US	PRESSURE TRANSMITTERS	E	B	5	F	N	2	*	10,637	10,874	10,874	0	6/22/2020	C		8/11/2020
4500321149	ABB ENTERPRISE SOFTWARE INC STE 500 400 PERIMETER CENTER TER NE ATLANTA, GA 30346-1231 US	BUSHING	E	B	5	F	N	1		17,940	0	0	17,940	6/22/2020	O	4/1/2021	
4500321150	TEMP-PRESS INC 30 HYTEC CIRCLE ROCHESTER, NY 14606 US	AIR COMPRESSOR	E	B	5	N	N	1		7,407	7,407	7,407	0	6/22/2020	C		10/30/2020
4500321155	CARE SECURITY SYSTEM INC 9 HEMION RD MONTEBELLO, NY 10901-4928 US	DELTA BARRIERS MAINTANENCE	E	B	5	N	N	1		35,380	0	0	35,380	6/22/2020	O	4/1/2021	
4500321157	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	MAINTENANCE - MONGODB	S	B	7	N	N	4		19,727	19,727	19,727	0	6/24/2020	O	6/23/2021	
4500321170	MIRACLE SOFTWARE SYSTEMS INC 45625 GRAND RIVER AVE NOVI, MI 48374-1309 US	MAINTENANCE - IBM POWER SOFTWARE	E	B	7	F	N	1		32,680	32,680	32,680	0	6/23/2020	O	6/30/2021	
4500321174	LAKELANDS CONCRETE PRODUCTS INC 7520 E MAIN ST LIMA, NY 14485-9731 US	PRECAST CONCRETE FOUNDATIONS	E	B	5	N	N	1		7,652	7,652	7,652	0	6/23/2020	C		10/16/2020

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4500321189	DRANETZ DBA FOR DRANETZ TECHNOLOGIES INC 1000 NEW DURHAM RD STE 188 EDISON, NJ 08818-2368 US	POWER ANALYZER	E	B	6	F	N	3	*	7,279	7,319	7,319	0	6/23/2020	C		7/20/2020
4500321211	ELECTRONIC DRIVES & CONTROLS INC 17 EASTMANS RD PARSIPPANY, NJ 07054-3702 US	75HP MOTOR	E	B	5	F	N	1		11,485	11,485	11,485	0	6/23/2020	C		9/21/2020
4500321215	SCALABLE NETWORK TECHNOLOGIES INC 6059 BRISTOL PKWY STE 200 CULVER CITY, CA 90230-6624 US	MAINTENANCE - EXATA	E	1	8	F	N	1		55,930	55,930	55,930	0	7/10/2020	O	7/9/2023	
4500321222	JOE JOHNSON EQUIPMENT LLC 62 LAGRANGE AVE ROCHESTER, NY 14613-1569 US	RENTAL OF 2020 VACTOR PARDIGM HXX VAC TRUCK	E	B	6	N	N	1		46,000	46,000	46,000	0	6/24/2020	C		11/23/2020
4500321241	RED WING BUSINESS ADVANTAGE ACCOUNT DBA FOR MULTI SERVICE TECH SOLUTION 6354 TRANSIT RD DEPEW, NY 14043-1072 US	SAFETY FOOTWEAR	E	B	5	N	N	3		15,000	14,401	14,401	599	6/24/2020	O	6/23/2021	
4500321242	DIVAL SAFETY EQUIPMENT INC 1721 NIAGARA ST BUFFALO, NY 14207-3108 US	SAFETY FOOTWEAR	E	B	5	N	N	3		24,500	18,013	18,013	6,487	6/24/2020	O	6/23/2021	
4500321244	SAF-GARD SAFETY SHOE CO 1285 MANHEIM PIKE LANCASTER, PA 17601 US	SAFETY FOOTWEAR	E	B	5	F	N	3		10,000	9,505	9,505	495	6/24/2020	O	6/23/2021	
4500321255	A & G INDUSTRIAL SERVICES INC 19 RICHARDS RD PLYMOUTH, MA 02360-4871 US	CARBON FIBER WRAP REPAIR SERVICES	S	B	5	N	N	2		24,386	0	0	24,386	6/24/2020	O	2/28/2021	
4500321256	BRISTOL HARBOR GROUP INC 99 POPPASQUASH RD UNIT H BRISTOL, RI 02809-1018 US	HAVASU II CRANE BARGE SURVEY AND ASSESMENT	S	B	5	N	N	1		19,400	19,400	19,400	0	6/24/2020	C		12/30/2020
4500321286	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	DXPERIENCE SOFTWARE SUBSCRIPTION	I	B	5	F	N	1		8,032	8,032	8,032	0	6/3/2020	O	6/2/2021	
4500321289	HITACHI T & D SOLUTIONS INC 7250 MCGINNIS FERRY RD SUWANEE, GA 30024-1245 US	HITACHI PARTS	E	B	5	F	N	1		6,817	6,817	6,817	0	6/25/2020	C		10/20/2020
4500321300	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	MAINTENANCE - ZOOM	S	B	5	F	N	1		12,542	12,542	12,542	0	6/2/2020	O	6/1/2021	
4500321306	OLDCASTLE PRECAST INC 1002 15TH ST SW - STE 110 AUBURN, WA 98001-6502 US	TRENCH MATERIAL	E	B	5	N	N	3		33,677	33,677	33,677	0	6/26/2020	O	1/1/2021	

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4500321319	FEDTEK INC 12700 BLACK FOREST LN STE 202 WOODBRIDGE, VA 22192-5306 US	MAINTENANCE - WEBTRENDS	S	B	7	N	N	1		11,033	11,033	11,033	0	6/27/2020	O	6/26/2021	
4500321328	DOBLE ENGINEERING CORP 123 FELTON ST MARLBOROUGH, MA 01752 US	MAINTENANCE - RTS	R	1	6	F	N	1		13,300	13,300	13,300	0	6/26/2020	O	6/1/2021	
4500321340	JPJ ELECTRONICS COMMUNICATIONS INC 1 W WHITESBORO ST YORKVILLE, NY 13495 US	RADIO UPGRADES	E	B		N	N	3		120,351	0	0	120,351	6/29/2020	O	6/28/2021	
4500321365	D & L INSTALLATIONS INC 230 KNICKERBOCKER AVE BOHEMIA, NY 11716-3140 US	AIR COMPRESSOR	E	B	5	N	03	1		22,098	22,098	22,098	0	6/29/2020	C		8/30/2020
4500321367	NORTH AMERICAN VAN LINES INC 101 EAST WASHINGTON BLVD STE 100 FORT WAYNE, IN 46802-3145 US	MOVING AND RELOACTION SERVICES	S	B		N	N	3		175,000	6,339	6,339	168,661	7/1/2020	O	6/30/2023	
4500321369	ARNOFF MOVING AND STORAGE INC 1282 DUTCHESS TPKE POUGHKEEPSIE, NY 12603-1175 US	MOVING AND STORAGE RELOCATION SERVICES	S	B		N	N	3		175,000	0	0	175,000	7/1/2020	O	6/30/2025	
4500321381	VALVE INDUSTRIES INC 4 SLATE CT - APT D-2 WOODLAND PARK, NJ 07424-4247 US	TEFLON NOZZLE	E	B	5	N	N	3		9,410	9,410	9,410	0	6/30/2020	C		7/8/2020
4500321386	HANES SUPPLY INC 55 JAMES E CASEY DR BUFFALO, NY 14206-2361 US	JIB CRANE	E	B	5	N	N	2		11,958	11,958	11,958	0	6/30/2020	C		10/19/2020
4500321387	ROLFE INDUSTRIES INC 2 PARKFORD DR - PO BOX 673 CLIFTON PARK, NY 12065-3234 US	JOCKEY PUMP REBUILDS	E	B	5	N	03	1		46,863	31,678	31,678	15,185	6/30/2020	O	2/5/2021	
4500321422	GEOKON INC 48 SPENCER ST LEBANON, NH 03766-1363 US	INCLINOMETERS	E	B	6	F	N	3		5,882	5,882	5,882	0	7/1/2020	C		7/30/2020
4500321429	DIVAL SAFETY EQUIPMENT INC 1721 NIAGARA ST BUFFALO, NY 14207-3108 US	ANCHOR SHACKLE	E	B	5	N	N	2		20,788	20,788	20,788	0	7/1/2020	C		10/19/2020
4500321442	GREENMAN-PEDERSEN INC 400 RELLA BLVD - STE 207 MONTEBELLO, NY 10901-4256 US	FIRE SUPPRESSION SYSTEM	A	1	8	N	N	1		28,621	28,621	28,621	0	7/1/2020	O	6/30/2021	
4500321460	RELEVANT INDUSTRIAL LLC 1423 E RICHEY RD HOUSTON, TX 77073-3508 US	NOX FILTERS	E	B	5	F	N	1		26,662	26,662	26,662	0	7/2/2020	C		8/17/2020
4500321462	MILLER ENERGY INC DBA FOR H M MILLER SALES CO 3200 S CLINTON AVE SOUTH PLAINFIELD, NJ 07080-1424 US	PRESSURE TRANSMITTER	E	B	5	F	N	1	*	7,037	7,158	7,158	0	7/2/2020	C		9/10/2020

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4500321465	WELLS TECHNOLOGY INC 4885 WINDSOR CT NW BEMIDJI, MN 56601-7659 US	VENDING RESTOCK	E	B	7	F	04	1		5,875	5,875	5,875	0	7/2/2020	C		7/2/2020
4500321474	ARMOURED ONE LLC 386 N MIDLER AVE SYRACUSE, NY 13206-2276 US	SECURITY FILM INSTALLATION	S	B	5	N	N	3		12,786	12,786	12,786	0	7/2/2020	O	1/1/2021	
4500321478	READY2GO RESTROOM TRAILERS 1208 BALSAM DR IMPERIAL, PA 15126-1167 US	SHOWER TRAILERS FOR THE SITES SEQUESTRATION	E	C	1	F	N	8		841,428	841,428	841,428	0	7/3/2020	C		10/28/2020
4500321479	HEMLOCK HILL RV SALES INC 2123 MERIDEN-WATERBURY TURNPIKE SOUTHINGTON, CT 06489 US	TRAILER TYPE RV'S FOR SITE SEQUESTRATION	E	C	1	F	N	8		681,744	653,469	653,469	28,275	7/3/2020	C		11/16/2020
4500321484	UPSTATE KAYAK RENTALS 67 ISLAND VIEW RD COHOES, NY 12047-4929 US	KAYAK RENTAL STAYCATION PROGRAM	S	M	5	N	N	1		49,560	49,560	49,560	0	7/5/2020	C		7/5/2020
4500321485	CHITTENANGO LANDING CANAL BOAT MUSEUM 717 LAKEPORT RD CHITTENANGO, NY 13037-9524 US	BIKE AND EQUIPMENT RENTAL STAYCATION PROGRAM	S	M	5	N	N	1		21,828	21,828	21,828	0	7/5/2020	C		7/5/2020
4500321486	FUZZY GUPPIES INC 1278 WATERLOO GENEVA RD WATERLOO, NY 13165 US	KAYAK AND PADDLEBOARD RENTAL STAYCATION PROGRAM	S	M	5	N	N	1		44,512	44,512	44,512	0	7/17/2020	C		9/7/2020
4500321520	HOFFMAN BOOTS INC 100 EAST RIVERSIDE AVE KELLOGG, ID 83837-2362 US	SAFETY FOOTWEAR	E	B	5	F	N	4		10,000	5,326	5,326	4,674	7/7/2020	O	7/6/2021	
4500321524	GENESEE WATERWAYS CENTER 149 ELMWOOD AVRE ROCHESTER, NY 14611-4119 US	KAYAKING RENTAL AND WHITEWATER KAYAKING INSTRUCTION STAYCATION	S	M	5	N	N	1		21,651	21,651	21,651	0	7/7/2020	C		7/7/2020
4500321527	HD SUPPLY CONSTRUCTION SUPPLY LTD 3400 CUMBERLAND BLVD SE ATLANTA, GA 30339 US	SEALANT	E	B	6	F	N	2		9,960	9,937	9,937	23	7/7/2020	C		7/7/2020
4500321545	CAPITAL DISTRICT TRANSPORTATION AUTHORITY 110 WATERVLIET AVE ALBANY, NY 12206-2026 US	BICYCLE RENTAL STAYCATION PROGRAM	S	C	9	N	N	1		40,000	0	0	40,000	7/7/2020	C		7/7/2020
4500321546	MERLINONE INC 17 WHITNEY RD QUINCY, MA 02169-4309 US	MAINTENANCE - MERLINONE	S	1	6	F	N	1		25,575	25,575	25,575	0	1/1/2020	O	12/31/2021	
4500321577	ROLFE INDUSTRIES INC 2 PARKFORD DR - PO BOX 673 CLIFTON PARK, NY 12065-3234 US	WASH PUMP	E	B	5	N	03	1		26,280	26,280	26,280	0	7/8/2020	C		12/10/2020
4500321609	WORLDWIDE TRAVEL STAFFING LIMITED 2829 SHERIDAN DR TONAWANDA, NY 14150-9420 US	NURSING SERVICES	P	B	5	N	N	1		20,000	20,000	20,000	0	7/9/2020	C		9/9/2020

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4500321636	MX PETROLEUM CORP PO BOX 638 MASSENA, NY 13662 US	FUEL	E	B	7	N	01	1	*	6,569	6,598	6,598	0	7/27/2020	C		7/27/2020
4500321675	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	HITACHI EQUIPMENT - ACI SYSTEMS	S	B	7	F	04	2		6,440	6,440	6,440	0	7/10/2020	C		7/23/2020
4500321679	HEALTH LOGISTICS RN AND NP ADULT PASSPORT HEALTH OF NEW YORK STATE 2805 WEHRLE DR STE 2 WILLIAMSVILLE, NY 14221-7383 US	FLU SHOTS	P	B	6	N	N	1		25,813	21,250	21,250	4,563	7/11/2020	C		11/30/2020
4500321680	DELL MARKETING LP 850 ASBURY DR BUFFALO GROVE, IL 60089-4557 US	SOFTWARE UPGRADE - MICROSOFT	E	B	7	F	N	1		442,746	442,746	442,746	0	9/9/2020	O	6/30/2021	
4500321681	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	CISCO EQUIPMENT COMMUNICATIONS BACKBONE	H	B	7	F	04	3		65,256	65,256	65,256	0	7/12/2020	C		10/28/2020
4500321700	ALIGN COMMUNICATION INC 55 BORAD ST 6TH FL NEW YORK, NY 10004-2551 US	DISASTER RECOVER RELOCATION	S	2	8	N	N	1		83,329	83,329	83,329	0	7/13/2020	C		10/23/2020
4500321746	RARITAN GROUP INC PO BOX 10120 NEW BRUNSWICK, NJ 08906-0120 US	AUMA ACTUATOR	E	B	5	F	N	1		5,622	5,494	5,494	128	7/14/2020	C		9/25/2020
4500321756	VAN BORTEL FORD INC FAIRPORT FORD MERGED WITH VAN BORTE 71 MARSH RD EAST ROCHESTER, NY 14445 US	FORD F150 XL 4X4 CREW CAB SHORT BOX PICK-UP	E	2	6	N	N	1		35,214	35,214	35,214	0	7/14/2020	C		7/21/2020
4500321765	SMARTUSE SOLUTIONS INC 45 PLACE CHARLES-LE MOYNE #105 LONGUEUIL, PQ J4K 5G5 CA	MAINTENANCE - SMARTUSE	E	2	8	F	N	1		160,788	160,788	160,788	0	7/15/2020	O	12/31/2021	
4500321776	LEBERGE & CURTIS INC 6334 US HIGHWAY 11 CANTON, NY 13617-3968 US	RENTAL OF JOHN DEERE 130G EXCAVATOR WITH BUCKETS	E	B	5	N	N	4		13,500	9,000	9,000	4,500	7/15/2020	C		10/26/2020
4500321796	MIRACLE SOFTWARE SYSTEMS INC 45625 GRAND RIVER AVE NOVI, MI 48374-1309 US	MAINTENANCE - IBM	S	B	7	N	N	2		37,144	37,144	37,144	0	7/1/2020	O	6/30/2021	
4500321812	UNITED RENTALS (NORTH AMERICA) INC UNITED RENTALS 7178 SCHUYLER RD EAST SYRACUSE, NY 13057-9743 US	RENTAL OF TWO 600S TELESCOPIC BOOM LIFTS	E	B	5	N	N	4		8,950	4,959	4,959	3,991	7/16/2020	C		8/10/2020

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4500321832	PRENTICE OFFICE ENVIRONMENTS INC 472 FRANKLIN ST BUFFALO, NY 14202 US	SOLAR SHADES	E	B	5	N	N	1		15,538	15,538	15,538	0	7/16/2020	C		10/19/2020
4500321833	BUFFALO COMPUTER GRAPHICS INC 4185 BAYVIEW RD BLASDELL, NY 14219-2732 US	BUFFALO COMPUTER GRAPHICS HOSTED DISASTER LAN	E	B	7	N	N	1		469,821	92,964	92,964	376,857	4/17/2020	O	4/16/2025	
4500321849	LM PARTS LLC ERIC ANDERSON 26 FAYMORE DR AGAWAM, MA 01001-3010 US	SOLENOID VALVE - WATER DRAIN	E	B	5	F	N	3	*	5,985	6,050	6,050	0	7/17/2020	C		8/7/2020
4500321852	A & M INDUSTRIAL SUPPLY CO 1414 CAMPBELL ST - PO BOX 1044 RAHWAY, NJ 07065-1044 US	FLOW SWITCH	E	B	5	F	N	2		6,166	6,166	6,166	0	7/17/2020	C		12/30/2020
4500321853	HANES SUPPLY INC 55 JAMES E CASEY DR BUFFALO, NY 14206-2361 US	ICE BOOM HARDWARD	E	B	5	F	N	1		49,956	40,856	40,856	9,100	7/17/2020	C		10/16/2020
4500321856	RBC LUBRON BEARING SYSTEMS INC 10620 LAWSON RIVER AVE FOUNTAIN VALLEY, CA 92708-6913 US	LINK PIN BUSHINGS	E	B	5	F	N	2		21,800	0	0	21,800	7/17/2020	C		11/4/2020
4500321865	ELECTRO RENT CORP 6060 SEPULVEDA BLVD VAN NUYS, CA 91411-2525 US	DOBLE TEST SET RENTAL	E	2	5	F	N	1	*	14,700	13,926	13,926	774	7/17/2020	C		11/30/2020
4500321872	CLARUSTEC INC 347 PLAINFIELD AVE - STE 104 EDISON, NJ 08817-3163 US	STAFF AUGMENTATION	W	2	5	F	N	1		56,250	50,625	50,625	5,625	7/13/2020	C		9/30/2020
4500321897	EATON CORP C/O HASGO POWER EQUIPMENT SALES INC 130 COMMONWEALTH DR WARRENDALE, PA 15086-7501 US	DC BATTERY SYSTEM UPGRADES	E	B	5	F	N	1		35,000	35,000	35,000	0	7/20/2020	C		10/16/2020
4500321898	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	765KV BREAKER MATERIAL	E	B	5	F	N	3		10,270	10,270	10,270	0	7/20/2020	C		10/27/2020
4500321915	ABB ENTERPRISE SOFTWARE INC 305 GREGSON DR CARY, NC 27511-6496 US	ABB SPARE PARTS	E	B		F	N	7		384,975	0	0	384,975	7/20/2020	O	4/30/2021	
4500321917	IMMIXTECHNOLOGY INC 8444 WESTPARK DR - STE 200 MCLEAN, VA 22102-5112 US	MOBILE COMMUNICATIONS-SW MOBILE HOSTING SVC	S	B	7	N	N	1		41,898	41,898	41,898	0	8/11/2020	O	8/10/2021	
4500321920	FLOW SCIENCE INC 683 HARKLE RD - STE A SANTA FE, NM 87505-4750 US	MAINTENANCE - FLOW 3D - CFD	S	1	6	N	N	1		21,160	21,160	21,160	0	7/31/2020	O	7/30/2021	
4500321942	WESCO DISTRIBUTION INC 500 PRIME PL HAUPPAUGE, NY 11788-5305 US	REACTRANS BREATHERS	E	B	5	N	N	1		33,352	0	0	33,352	7/21/2020	O	2/19/2021	

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4500321955	GOVERNMENT MARKETING & PROCUREMENT LLC 13350 RANCH RD 12 WIMBERLEY, TX 78676-5304 US	SECUVULNERABILITY	R	2	5	N	N	1		42,317	42,317	42,317	0	7/21/2020	O	1/1/2021	
4500321961	DILO COMPANY INC 11642 PYRAMID DR ODESSA, FL 33556-3449 US	SF6 GAS ANALYZER	E	B	6	F	N	1		28,050	28,050	28,050	0	7/21/2020	C		7/21/2020
4500321970	PRECISION PROCESS EQUIPMENT INC 2111 LIBERTY DR NIAGARA FALLS, NY 14304-3744 US	ANDALE STRAINER PARTS	E	B	5	N	N	2		6,778	6,778	6,778	0	7/22/2020	C		10/19/2020
4500321971	TATE ANDALE LLC 1941 LANSDOWNE RD BALTIMORE, MD 21227 US	ANDALE STRAINER PARTS	E	B	5	F	N	2		6,192	6,192	6,192	0	7/22/2020	C		10/19/2020
4500321993	RTS SOLUTIONZ INC SOLUTIONZ OR SOLUTIONZ INC 85 SCHMITT BVLD FARMINGDALE, NY 11735-1403 US	MEETING TECHNOLOGY SOLUTION ASSESSMENT	P	B			N	N	6		28,220	9,877	9,877	18,343	7/22/2020	C		10/31/2020
4500322007	IVCI LLC 601 OLD WILLETS PATH HAUPPAUGE, NY 11788 US	MEETING TECHNOLOGY SOLUTION ASSESSMENT	P	B			N	N	6		38,625	0	0	38,625	7/22/2020	C		10/31/2020
4500322014	AFL TELECOMMUNICATIONS INC 170 RIDGEVIEW CENTER CIRCLE DUNCAN, SC 29334-9635 US	SINGLE ACTING PRESS	E	B	5	N	N	3		10,283	10,283	10,283	0	7/22/2020	O	1/1/2021	
4500322040	ABB ENTERPRISE SOFTWARE INC STE 500 400 PERIMETER CENTER TER NE ATLANTA, GA 30346-1231 US	CAPACITOR	E	B	5	F	N	2		10,416	10,416	10,416	0	7/23/2020	C		10/22/2020
4500322048	SNAP ON INCORPORATED IDSC HOLDING LLC SNAP ON INDUSTRIAL 3011 IL ROUTE 176 CRYSTAL LAKE, IL 60014-2256 US	SNAP ON TOOLS	E	B	7	F	N	1		13,226	13,226	13,226	0	7/23/2020	C		10/19/2020
4500322057	BARCODES INC DBA FOR BARCODES LLC 200 W MONROE ST - STE 1050 CHICAGO, IL 60606-5122 US	RUGGED ZEBRA TABLET, MAINTENANCE, AND ACCESSORIES	H	B	7	F	N	1		68,814	68,814	68,814	0	7/23/2020	C		9/3/2020
4500322088	LOGMEIN USA INC 320 SUMMER ST BOSTON, MA 02210-1701 US	LASTPASS SOFTWARE	I	1	5	F	N	1		6,500	6,500	6,500	0	8/1/2020	O	7/31/2021	
4500322096	NESCO SALES & RENTALS 3112 EAST STATE RD 124 BLUFFTON, IN 46714-9301 US	RENTAL OF A POWERTRAXX 105' TRACKED AERIAL LIFT	E	B	5	F	N	2		45,316	39,038	39,038	6,278	7/27/2020	C		10/28/2020
4500322097	GRAYBAR ELECTRIC CO INC 229 CHURCH ST ALBANY, NY 12202-1060 US	LED LIGHTS	E	B	5	F	N	3		45,712	45,712	45,712	0	7/27/2020	C		8/27/2020

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4500322108	GRADE A PETROLEUM CORP 90 EAST HAWTHORNE AVE VALLEY STREAM, NY 11582-1238 US	TURBO OIL DRUMS	E	B	5	N	N	1	*	43,718	43,742	43,742	0	7/27/2020	C		9/2/2020
4500322183	BUFFALO PUMPS INC 874 OLIVER ST NORTH TONAWANDA, NY 14120 US	BUFFALO PUMPS GT LO PUMP REFURBISHMENT	S	1	5	N	N	1		12,930	0	0	12,930	7/28/2020	O	4/1/2021	
4500322206	BARRETT PAVING MATERIALS INC 7971 STATE HIGHWAY 56 NORWOOD, NY 13668-3252 US	STONE, MOD 7111	E	B	7	N	N	1		16,338	16,336	16,336	2	7/29/2020	C		10/22/2020
4500322227	BARRETT PAVING MATERIALS INC 7971 STATE HIGHWAY 56 NORWOOD, NY 13668-3252 US	CRUSHER RUN PILE AT MASSENA SUB	E	B	7	N	N	1		5,170	5,170	5,170	0	7/29/2020	C		8/10/2020
4500322228	D & L INSTALLATIONS INC 230 KNICKERBOCKER AVE BOHEMIA, NY 11716-3140 US	ONE YEAR SERVICE CONTACT FOR ATLAS COPCO EQUIPMENT AND SERVICE	S	M	8	N	03	1		200,860	140,565	140,565	60,295	7/29/2020	O	7/28/2021	
4500322236	KELLYS CONCRETE PUMPING LLC 2908 EAST ROAD BOONVILLE, NY 13309 US	CONCRETE PUMP TRUCK	E	B	5	N	N	1		11,200	6,400	6,400	4,800	7/29/2020	C		10/4/2020
4500322243	NIAGARA UNIVERSITY PO BOX 1936 NIAGARA UNIVERSITY, NY 14109-1936 US	UNIVERSITY GROUNDS MAINTENANCE AGREEMENT	S	2	8	N	N	1		466,500	88,000	88,000	378,500	6/1/2020	O	5/31/2025	
4500322262	UNITED RENTALS (NORTH AMERICA) INC UNITED RENTALS 7178 SCHUYLER RD EAST SYRACUSE, NY 13057-9743 US	RENTAL 125' LIFT	E	1	5	N	N	1		5,411	5,411	5,411	0	7/29/2020	C		8/11/2020
4500322263	ASANA INC 1550 BRYANT ST #200 SAN FRANCISCO, CA 94103-4853 US	ASANA ENTERPRISE SUBSCRIPTION	S	2	8	N	N	1		85,381	85,381	85,381	0	7/31/2020	O	2/28/2021	
4500322267	BRENNTAG NORTH AMERICA INC BWE-LLC (NOCO LUBRICANTS) 42 RUMSEY RD EAST HARTFORD, CT 06108-1133 US	HYDRAULIC OIL	E	B	5	F	N	3		6,825	6,825	6,825	0	7/30/2020	C		8/17/2020
4500322292	BENFIELD CONTROL AND POWER 55 LAFAYETTE AVE WHITE PLAINS, NY 10603 US	SHOWER TRAILER TRANSFORMERS	E	C		N	N	5		56,471	56,471	56,471	0	7/30/2020	C		12/30/2020
4500322312	STRITT & PRIEBE INC 37 CLYDE AVE BUFFALO, NY 14215 US	GATE VALVES	E	2	5	N	N	1		7,918	7,918	7,918	0	7/30/2020	C		10/19/2020
4500322315	DELL MARKETING LP 850 ASBURY DR BUFFALO GROVE, IL 60089-4557 US	MS TRUE-UP LICENSING RECONCILIATIONS	S	B	7	F	N	1		110,742	110,742	110,742	0	6/30/2020	C		12/31/2020
4500322316	USABLENET INC 142 W 57TH ST - FL 7 NEW YORK, NY 10019-3300 US	MAINTENANCE - USEABLE NET	S	2	6	N	N	1		9,877	9,877	9,877	0	8/1/2020	O	7/31/2021	

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4500322317	ICL-IP AMERICA INC 622 EMERSON RD CREVE COEUR, MO 63141-6742 US	FRYQUEL PLUS CHEMICAL	E	B	5	F	N	1	*	19,388	19,710	19,710	0	7/30/2020	C		10/29/2020
4500322345	DIGITAL REALTY TRUST LP TELX- NEW YORK LLC 4 EMBARCADERO CTR 3200 SAN FRANCISCO, CA 94111-4188 US	DISASTER RECOVERY SITE	E	2	8	N	N	1		263,257	247,163	247,163	16,094	5/1/2020	O	4/30/2021	
4500322346	BROOK ANCO CORP 7536 W MURRAY DR CICERO, NY 13039-9773 US	MACHINE SHOP EQUIPMENT READOUTS	E	B	5	N	N	1		49,462	49,462	49,462	0	7/31/2020	C		12/30/2020
4500322377	PREFERRED MATERIALS LLC 1765 NEW RD NIAGARA FALLS, NY 14304-1547 US	CONCRETE	E	B	5	N	N	1		5,565	5,565	5,565	0	8/3/2020	C		10/16/2020
4500322396	KINSLEY GROUP INC KINSLEY POWER SYSTEMS 14 CONNECTICUT SOUTH DR EAST GRANBY, CT 06026 US	GENERATOR LOAD BANK MAINTENANCE	S	B		F	N	1		500,000	0	0	500,000	8/10/2020	O	8/9/2025	
4500322408	IRIS POWER LP 3110 AMERICAN DR MISSISSAUGA, ON L4V 1T2 CA	PD, FLUX, DATA COLLECTION	E	B	5	F	N	1		40,000	0	0	40,000	8/3/2020	O	8/3/2021	
4500322415	ADIRONDACK ENERGY PRODUCTS INC ADIRONDACK PROPANE 17 JUNCTION RD MALONE, NY 12953-4217 US	FUEL	E	B	7	N	01	1	*	5,774	5,804	5,804	0	8/3/2020	C		8/26/2020
4500322417	UPSTONE MATERIALS INC 111 QUARRY RD PLATTSBURGH, NY 12901 US	CONCRETE, 4000PSI	E	B	7	N	N	1		14,035	11,497	11,497	2,538	8/3/2020	C		10/9/2020
4500322445	SEATTLE SOFTWARE LTD TRADING AS ORBUS SOFTWARE FL 3 111 BUCKINGHAM PALACE RD LONDON, LO SW1W 05R GB	MAINTENANCE - ORBUS	S	B	7	F	N	1		39,066	39,066	39,066	0	8/4/2020	O	8/3/2021	
4500322458	R B U'REN EQUIPMENT INC 1120 CONNECTING RD NIAGARA FALLS, NY 14304-0426 US	RENTAL SCISSOR LIFT	E	2	5	N	N	1	*	5,230	5,241	5,241	0	8/4/2020	C		11/30/2020
4500322465	RELEVANT INDUSTRIAL LLC 1423 E RICHEY RD HOUSTON, TX 77073-3508 US	NOX FILTERS	E	B	5	F	N	1		31,500	31,500	31,500	0	8/4/2020	C		9/10/2020
4500322476	HAFCO FOUNDRY & MACHINE CO INC 301 GREENWOOD AVE MIDLAND PARK, NJ 07432-1484 US	SHEAR PINS	E	B	5	F	N	1		18,600	0	0	18,600	8/5/2020	O	3/5/2021	

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4500322490	CITY ELECTRIC COMPANY DBA FOR COOPERFRIEDMAN ELECTRIC SUP 450 TRACY ST SYRACUSE, NY 13204-2435 US	CABLE	E	B	5	N	N	3		11,800	11,800	11,800	0	8/5/2020	C		8/28/2020
4500322502	R P ADAMS DBA FOR ADAMS SFC INC 225 E PARK DR TONAWANDA, NY 14150-7813 US	ANTHONY STRAINER	E	B	5	N	N	2		10,397	10,397	10,397	0	8/5/2020	C		10/16/2020
4500322522	DEJERO LABS INC 410 ALBERT ST UNIT 200 WATERLOO, ON N2L 3V3 CA	ANNUAL LEASING OF LIVE VIDEO STREAMING	S	1	6	N	N	1		17,100	17,100	17,100	0	5/1/2020	O	4/30/2021	
4500322525	FILTRATION UNLTD LLC PO BOX 226 AKRON, NY 14001-0226 US	MERV 13 FILTERS	E	B	6	N	N	3		9,349	9,349	9,349	0	8/6/2020	C		8/6/2020
4500322532	CONTINENTAL BRAKE EQUIPMENT CO INC 6N630 ILLINOIS ST SAINT CHARLES, IL 60174-6613 US	BRAKE SHOES	E	B	5	F	N	1		18,954	18,954	18,954	0	8/6/2020	C		10/30/2020
4500322536	F & F INDUSTRIAL EQUIPMENT CORP 195 TOWER DR MIDDLETOWN, NY 10941-2034 US	TRANSFORMER STOCK	E	B	5	N	01	6		13,750	13,750	13,750	0	8/6/2020	C		11/17/2020
4500322543	GRAYBAR ELECTRIC CO INC 6605 DEERE RD SYRACUSE, NY 13206-1325 US	CONDUIT	E	B	5	N	N	4		5,487	5,487	5,487	0	8/6/2020	C		8/26/2020
4500322548	WESCO DISTRIBUTION INC 465 NEWELL ST - PO BOX 207 WATERTOWN, NY 13601-2427 US	DISCONNECTS SWITCHES	E	B	6	N	N	3		18,800	18,800	18,800	0	8/6/2020	C		8/6/2020
4500322550	CED BALDWIN HALL CO PO BOX 780758 PHILADELPHIA, PA 19178-0757 US	ELECTRICAL MATERIALS FOR TRAILER HOOK UPS	E	B	6	F	N	3		9,290	9,197	9,197	93	8/6/2020	C		8/6/2020
4500322563	UNITED RENTALS (NORTH AMERICA) INC UNITED RENTALS 7178 SCHUYLER RD EAST SYRACUSE, NY 13057-9743 US	EMERGENT RENTAL LARGE AIR COMPRESSOR	E	2	5	N	N	1		7,990	4,020	4,020	3,970	8/6/2020	C		10/26/2020
4500322585	WELLS TECHNOLOGY INC 4885 WINDSOR CT NW BEMIDJI, MN 56601-7659 US	VENDING MATERIALS RESTOCK	E	B	5	F	04	1		7,523	7,523	7,523	0	8/7/2020	C		8/7/2020
4500322591	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	MAINTENANCE - HITACHI	S	B	7	N	04	4		62,523	62,523	62,523	0	7/1/2020	C		9/30/2020
4500322594	JAMESON ROOFING CO INC 3649 LAKE SHORE DR E DUNKIRK, NY 14048-9778 US	LPGP HOIST ROOF REPAIRS	C	B	5	N	N	2		35,150	35,150	35,150	0	8/7/2020	C		11/30/2020
4500322598	CANDELA SYSTEMS CORP 168 OLD SAW MILL RIV RD HAWTHORNE, NY 10532-1515 US	BEDFORD HEALTH LIGHTING UPGRADE	C	B	8	N	04	3		62,453	58,343	58,343	4,110	8/7/2020	O	8/6/2021	

POWER AUTHORITY OF THE STATE OF NEW YORK
ANNUAL REPORT OF PROCUREMENT CONTRACTS
REQUIRED BY N.Y. PUBLIC AUTHORITIES LAW, SECTION 2879

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4500322609	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	IT HARDWARE	H	B	5	F	N	2		7,563	7,563	7,563	0	8/7/2020	O	8/6/2021	
4500322614	TONY ROTELLA'S BODY SHOP INC DBA TONY ROTELLA'S ACC & TIRE CTR 450 HORAN RD SYRACUSE, NY 13209-9639 US	INSTALL ACCESSORIES FORD F150	E	B	5	N	N	1		13,392	13,392	13,392	0	8/7/2020	C		10/8/2020
4500322617	NATURE'S WAY ENVIRONMENTAL CONSULTANTS & CONTRACTORS INC 3553 CRITTENDEN RD ALDEN, NY 14004-8551 US	ANIMAL BURROW GROUTING	S	B	5	N	03	2		15,315	12,795	12,795	2,520	8/10/2020	C		10/16/2020
4500322627	BEYER OF MORRISTOWN LLC 200 RIDGEDALE AVE MORRISTOWN, NJ 07960-4089 US	2020 FORD INTERCEPTOR	E	B	7	F	N	1		42,669	0	0	42,669	8/10/2020	C		12/28/2020
4500322637	VERIZON CONNECT NWF INC 9868 SCRANTON RD SAN DIEGO, CA 92121 US	GPS TELEMATICS SERVICES	S	B	7	F	N	1		89,045	8,377	8,377	80,668	8/11/2020	O	6/30/2021	
4500322640	CUSTOM TRUCK ONE SOURCE RENTALS LLC DBA FOR CUSTOM TRUCK ONE SOURCE LP PO BOX 2652 CINNAMINSON, NJ 08077-5652 US	RENTAL OF A ELLIOTT D105 DIGGER DERRICK	E	B	5	F	N	1		12,100	10,500	10,500	1,600	8/10/2020	C		10/9/2020
4500322645	PRECISION PIPELINE SOLUTIONS LLC 617 LITTLE BRITAIN RD STE 200 NEW WINDSOR, NY 12553 US	GAS VALVE MAINTENANCE	E	B	5	N	N	2		13,194	8,194	8,194	5,000	8/10/2020	C		10/28/2020
4500322647	V&R ENERGY SYSTEMS RESEARCH INC 11824 DARLINGTON AVE STE 101 LOS ANGELES, CA 90049 US	MAINTENANCE - PHYSICAL OPERATIONS MARGIN	S	1	6	N	N	1		18,000	18,000	18,000	0	7/1/2020	O	6/30/2021	
4500322656	PDS CONSULTANTS INC KORRECT OPTICAL 22 RAINBOW TRL SPARTA, NJ 07871-1723 US	PRESCRIPTION SAFETY EYEWEAR	E	B	5	F	N	1		6,473	4,811	4,811	1,662	8/11/2020	C		12/31/2020
4500322657	CLARK-RELIANCE CORPORATION ENERVAC INTERNATIONAL ULC 280 HOLIDAY INN DR CAMBRIDGE, ON N3C 1Z4 CA	RENTAL OF EHV-2000 OIL FILTRATION TRAILER	E	2	5	F	N	1		12,400	7,400	7,400	5,000	8/11/2020	C		9/25/2020
4500322709	STELLAR SERVICES INC 70 W 36TH ST - RM 702 NEW YORK, NY 10018-1258 US	MAINTENANCE - INFOBLOX	S	M	6	N	04	1		11,633	11,633	11,633	0	7/1/2020	O	2/15/2021	
4500322721	NETBRAIN TECHNOLOGIES INC 15 NETWORK DR BURLINGTON, MA 01803-2756 US	MAINTENANCE - NETBRAIN	S	2	5	F	N	2		9,630	9,630	9,630	0	8/17/2020	O	8/16/2021	

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4500322726	APPLIED INSPECTION SERVICES INC 153 WALES AVE TONAWANDA, NY 14150-2507 US	NON-DESTRUCTIVE TESTING	S	B	5	N	N	2		28,625	1,725	1,725	26,900	9/1/2020	O	8/31/2021	
4500322743	OPTIV SECURITY INC 1144 15TH ST STE 2900 DENVER, CO 80202-2571 US	PROOFPOINT SECURITY SERVICES	S	B	7	N	N	1		176,834	176,834	176,834	0	9/18/2020	O	9/17/2021	
4500322744	DLT SOLUTIONS LLC 2411 DULLES CORNER PARK - STE 800 HERNDON, VA 20171-6168 US	EMAIL MIGRATION SERVICES BY QUEST	S	B	7	N	N	1		40,000	40,000	40,000	0	8/15/2020	O	8/14/2021	
4500322766	ABB ENTERPRISE SOFTWARE INC 305 GREGSON DR CARY, NC 27511-6496 US	BREAKER INSPECTION	P	2	5	F	N	1		24,661	24,661	24,661	0	8/13/2020	C		11/30/2020
4500322773	GRAVITY PRO CONSULTING LLC SYLVANA COCHE 21 VIA LAMPARA SAN CLEMENTE, CA 92673-7054 US	2020 GRAVITY PRO SOFTWARE LICENSES	I	2	5	F	03	1		12,706	12,706	12,706	0	8/4/2020	O	8/3/2021	
4500322779	ATLAS DEVICES LLC 21 ALPHA RD SUITE 202 CHELMSFORD, MA 01824 US	POWERED ASCENDERS	E	B		F	N	1		273,765	246,308	246,308	27,457	8/14/2020	O	7/31/2021	
4500322782	J&M CORPORATE PAINTER INC 3652 LEE RD #733 JEFFERSON VALLEY, NY 10535-7541 US	ON-CALL PAINTING SERVICES	S	M	8	N	03	1		50,000	3,885	3,885	46,115	8/13/2020	O	8/12/2021	
4500322785	WESCO DISTRIBUTION INC PO BOX 390 SYRACUSE, NY 13201-0390 US	SHOWER TRAILER EQUIPMENT	E	B	5	N	N	1		34,556	8,036	8,036	26,520	8/13/2020	O	1/12/2021	
4500322789	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	HP NOTEBOOKS, MONITORS AND SERVICES FOR THE DIGITAL WORKFORCE	H	B	7	F	04	5	*	870,173	834,928	834,928	35,245	8/13/2020	C		10/25/2020
4500322827	PREMIER TRUCK RENTAL LLC 9138 BLUFFTON RD FORT WAYNE, IN 46809-3057 US	RENTAL 2 FORD F550 WORK TRUCKS	E	B	5	F	N	2		26,400	24,675	24,675	1,725	8/14/2020	C		12/23/2020
4500322828	ENVIRONMENT ONE CORP 2773 BALLTOWN RD NISKAYUNA, NY 12309-1090 US	STOCK REPLENISHMENT	E	B	5	F	N	1	*	10,326	10,336	10,336	0	8/14/2020	C		9/3/2020
4500322829	ENTERPRISE TECHNOLOGY SOLUTIONS INC 323 W HUNTER LN FREMONT, CA 94539-6308 US	MAINTENANCE - REDBOX CALL RECORDING	S	B	6	N	N	2		30,931	30,931	30,931	0	8/15/2020	O	8/14/2021	
4500322831	COMPULINK TECHNOLOGIES INC 260 W 39TH ST - STE 302 NEW YORK, NY 10018-4434 US	HP ZBOOKS, MAINTENANCE, AND DOCKING STATIONS	H	B	7	F	04	3		58,657	58,657	58,657	0	8/16/2020	C		9/22/2020
4500322841	A & M INDUSTRIAL SUPPLY CO 1414 CAMPBELL ST - PO BOX 1044 RAHWAY, NJ 07065-1044 US	GAS SUPPLY ACTUATOR	E	B	5	F	N	1		12,245	12,245	12,245	0	8/17/2020	C		10/14/2020

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4500322843	AMERICAN GOVERNOR CO 27 RICHARD RD IVYLAND, PA 18974-1512 US	PILOT VALVE	E	B	5	F	N	1		9,656	0	0	9,656	8/17/2020	O	3/29/2021	
4500322855	G & W ELECTRIC CO C/O POWER SALES GROUP 175 ANDOVER ST - STE 105 DANVERS, MA 01923-1443 US	SHELF LIFE SPARE PARTS	E	B	5	F	N	3		11,746	11,746	11,746	0	8/17/2020	C		10/26/2020
4500322866	INDOOR AIR TECHNOLOGIES INC 61 SCHOOL STREET STE B VICTOR, NY 14564-1420 US	CLEANING, DUCT WORK	S	B	5	N	N	2		8,400	8,400	8,400	0	8/17/2020	C		9/19/2020
4500322887	EXECUTIVE INFORMATION SYSTEMS LLC 6901 ROCKLEDGE DR STE 600 BETHESDA, MD 20827-0076 US	MAINTENANCE - SAS	S	B	5	F	N	1		10,554	10,554	10,554	0	8/31/2020	O	8/30/2021	
4500322888	ASPEN INC 49 N SAN MATEO DR SAN MATEO, CA 94401-2865 US	ASPEN NEW LICENSES	I	1	6	F	N	1		24,028	23,993	23,993	35	8/17/2020	C		8/28/2020
4500322896	GAS TURBINE CONTROLS CORP 6 SKYLINE DR - STE 150 HAWTHORNE, NY 10532-8102 US	REPAIR RTD CARDS	E	B	5	F	N	2		10,416	10,416	10,416	0	8/18/2020	C		9/21/2020
4500322897	TRANE U S INC TRANE 15 TECHNOLOGY PL EAST SYRACUSE, NY 13057-9713 US	HVAC UNIT PARTS	E	B	7	N	N	1		24,877	0	0	24,877	8/18/2020	C		8/31/2020
4500322926	HUBBELL POWER SYSTEMS INC 210 N ALLEN ST CENTRALIA, MO 65240-1302 US	RELAY,PROTECTION	E	B	5	F	N	1		48,420	48,420	48,420	0	8/18/2020	C		10/16/2020
4500322931	CDW LLC CDW GOVERNMENT LLC, CDW GOVERNMENT 230 N MILWAUKEE AVE VERNON HILLS, IL 60061-4304 US	MAINTENANCE - MCAFEE SKYHIGH	S	B	7	N	N	1		95,300	95,300	95,300	0	9/19/2020	O	9/18/2021	
4500322932	IVCI LLC 601 OLD WILLETS PATH HAUPPAUGE, NY 11788 US	MEETING TECHNOLOGY SOLUTION ASSESSMENT	E	B		N	N	6		18,876	18,876	18,876	0	8/18/2020	C		12/31/2020
4500322935	CARAHSOFT TECHNOLOGY CORP 11493 SUNSET HILLS RD STE 100 RESTON, VA 20190-5328 US	HOSTING SERVICES	S	B	7	N	N	1		17,845	17,845	17,845	0	8/24/2020	O	8/23/2021	
4500322936	SIGA OT SOLUTIONS INC 1013 CENTRE RD STE 403B WILMINGTON, DE 19805-1270 US	MAINTENANCE - SIGA GUARD	S	1	6	N	N	1		29,858	29,858	29,858	0	8/1/2020	O	7/31/2021	
4500322958	SKYWORKS LLC 100 THIELMAN DR BUFFALO, NY 14206-2359 US	RENTAL OF JLG 340AJ BOOM LIFT	E	2	5	N	N	1		6,034	6,034	6,034	0	8/19/2020	C		12/7/2020
4500323001	SMIT TRANSFORMATOREN BV DBA FOR ROYAL SMIT TRANSFORMERS BV GROENESTRAAT 336 NIJMEGEN, 02 6531 JC NL	AUTOTRANSFORMERS	E	B		F	N	5		7,339,641	0	0	7,339,641	9/1/2020	O	2/28/2023	

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4500323022	SHELBY CRUSHED STONE INC 10830 BLAIR RD MEDINA, NY 14103 US	ASPHALT AND STONE	E	B	7	N	N	1		18,606	12,686	12,686	5,920	8/20/2020	C		10/2/2020
4500323025	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	MAINTENANCE - WEBEX	S	B	7	N	N	4		160,800	160,800	160,800	0	7/31/2020	O	7/30/2021	
4500323033	SUR-SEAL INC 12 EDGEBORO RD - UNIT 6 EAST BRUNSWICK, NJ 08816-1651 US	STOCK REPLENISHMENT	E	C	5	F	N	1		11,425	11,425	11,425	0	8/20/2020	C		10/31/2020
4500323036	ARBORCHEM PRODUCTS INC 943 NIXON DR MECHANICSBURG, PA 17055 US	HERBICIDE ACCORD	E	B	5	F	N	3		6,250	6,250	6,250	0	8/21/2020	C		8/26/2020
4500323051	GODWIN PUMPS OF AMERICA 8039 OAK ORCHARD RD BATAVIA, NY 14020 US	PUMP RENTAL	E	2	5	N	N	1		19,593	6,773	6,773	12,820	8/21/2020	C		12/30/2020
4500323054	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	MAINTENANCE - F5-BIG-IP	S	B	7	F	N	1		345,698	338,828	338,828	6,870	8/21/2020	O	8/20/2021	
4500323065	MORPAC INDUSTRIES INC 117 FRONTAGE RD N - STE A PACIFIC, WA 98047-1052 US	GRAVITY SPACER CART	E	2	5	N	N	1		17,238	17,213	17,213	25	8/21/2020	C		11/18/2020
4500323071	CONSERVE ELECTRICAL SUPPLY CORP 39-05 CRESCENT ST LONG ISLAND CITY, NY 11101-1025 US	TRAY CABLE FOR OUTAGE	E	C	5	N	N	1		10,250	9,750	9,750	500	8/21/2020	C		10/29/2020
4500323082	COVINGTON & BURLING LLP 1 FRONT ST SAN FRANCISCO, CA 94111 US	LEGAL SERVICES	L	2	9	F	N	1		40,000	0	0	40,000	8/21/2020	O	8/20/2021	
4500323084	OPEN TEXT PUBLIC SECTOR SOLUTIONS INC 4075 WILSON BVLD STE 450 ARLINGTON, VA 22203-1797 US	OPEN TEXT MANAGED SUPPORT SERVICES	S	B	7	N	N	1		158,527	51,519	51,519	107,008	8/31/2020	O	4/2/2021	
4500323100	DAVIS-ULMER SPRINKLER CO INC 7633 EDGECOMB DR LIVERPOOL, NY 13088 US	GSU POWER PANEL	E	1	5	N	N	1		59,165	28,398	28,398	30,767	8/24/2020	O	2/26/2021	
4500323110	CROWN CASTLE INTERNATIONAL CORP CROWN CASTLE FIBER LLC 80 CENTRAL ST STE 200 BOXBOROUGH, MA 01719-1245 US	COMMUNICATIONS BACKBONE	T	B		F	N	1		1,243,945	0	0	1,243,945	8/18/2020	O	8/17/2040	

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4500323121	NOKIA OF AMERICA CORPORATION 600 MOUNTAIN AVE #700 NEW PROVIDENCE, NJ 07974-2008 US	PRIVATE WIRELESS BACKBONE SERVICE PILOT	S	B		N	N	11		975,046	0	0	975,046	9/3/2020	O	9/2/2021	
4500323130	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	SPARE STOCK	E	B	5	F	N	3		21,030	21,030	21,030	0	8/25/2020	C		9/8/2020
4500323142	CHOCTAW-KAUL DISTRIBUTION COMPANY 3540 VINEWOOD AVE DETROIT, MI 48208-2363 US	HEX HEAD CAP SCREWS	E	B	5	F	N	1	*	6,760	6,847	6,847	0	8/25/2020	C		10/2/2020
4500323149	AT & T CORP 1 ATT WAY BEDMINSTER, NJ 07921-2694 US	PRIVATE WIRELESS BACKBONE SERVICE PILOT	S	B		N	N	11		125,080	0	0	125,080	9/3/2020	O	3/2/2021	
4500323154	TURBINE TRENDS LLC PO BOX 26 SPOTSWOOD, NJ 08884-0026 US	VBV DUCT BOLTS	E	B	5	F	N	2	*	5,208	5,276	5,276	0	8/25/2020	C		9/15/2020
4500323165	GREENMAN-PEDERSEN INC 400 RELLA BLVD - STE 207 MONTEBELLO, NY 10901-4256 US	ENG SERVICES CONCRETE FLOOR REHAB	A	B		N	N	2		61,000	12,200	12,200	48,800	8/26/2020	O	2/28/2021	
4500323168	SKYWORKS LLC 100 THIELMAN DR BUFFALO, NY 14206-2359 US	RENTAL 80' BOOM LIFT	E	B	5	N	N	2		7,000	3,772	3,772	3,228	8/26/2020	C		10/5/2020
4500323182	TEMP-PRESS INC 30 HYTEC CIRCLE ROCHESTER, NY 14606 US	HEAT EXCHANGER	E	B	5	N	N	1		16,838	16,838	16,838	0	8/26/2020	C		10/19/2020
4500323248	TRENCH LTD C/O HASGO POWER EQUIP SALES INC 31 WEST MAIN ST - PO BOX 400 LE ROY, NY 14482 US	TRANSFORMERS	E	B	6	N	N	2		9,750	9,750	9,750	0	8/27/2020	C		8/27/2020
4500323274	EAST COAST ACCESS 23 FRYTOWN RD NEWVILLE, PA 17241-9706 US	DRILL HOLES FOR TRANSMISSION GROUP	S	B	6	F	N	3		37,667	36,917	36,917	750	8/27/2020	C		9/22/2020
4500323288	DAVID WILSON DBA DOCUFI LLC 7056 E WHISPERING MESQUITE TRL SCOTTSDALE, AZ 85266-7053 US	SOFTWARE LICENSE - DOCUFI	I	2	6	F	N	1		13,488	13,488	13,488	0	8/31/2020	O	8/27/2021	
4500323299	CED BALDWIN HALL CO PO BOX 780758 PHILADELPHIA, PA 19178-0757 US	ALLEN BRADLEY HARDWARE	E	B	5	F	N	3		14,960	14,960	14,960	0	8/28/2020	C		11/19/2020
4500323333	R S CRUM & CO 1181 GLOBE AVE MOUNTAINSIDE, NJ 07092-0209 US	FITTINGS	E	C	5	F	N	3		5,861	5,861	5,861	0	8/31/2020	C		9/25/2020
4500323359	LAYER 3 TECHNOLOGIES INC 1645 LYELL AVE STE 200 ROCHESTER, NY 14606-2331 US	EXTERNAL AND INTERNAL PENETRATION TEST	S	M	8	N	03	1		110,000	110,000	110,000	0	9/15/2020	O	9/14/2021	

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4500323388	WILLIAMS SCOTSMAN INC 145 CANADA DR EAST SYRACUSE, NY 13057-9744 US	TRAILER RENTAL	E	B		N	N	1		117,554	25,902	25,902	91,652	9/1/2020	O	9/30/2023	
4500323407	EMERGENCY ONE DBA FOR ANDERSON MEDICAL PC 40 HURLEY AVE KINGSTON, NY 12401-3738 US	ANNUAL PHYSICALS	P	M	5	N	04	1		50,000	0	0	50,000	9/1/2020	O	3/31/2021	
4500323411	BARRETT PAVING MATERIALS INC 7971 STATE HIGHWAY 56 NORWOOD, NY 13668-3252 US	STONE, CRUSHER RUN	E	B	7	N	N	1	*	5,072	5,074	5,074	0	9/1/2020	C		9/1/2020
4500323416	CAREER CONCEPTS INC DBA CCI CONSULTING 721 ARBOR WAY-STE 180- HILLCREST II BLUE BELL, PA 19422-1977 US	EMPLOYEE COACHING AND ASSESSMENT	P	2	6	F	N	1		36,350	36,350	36,350	0	9/1/2020	O	8/31/2021	
4500323417	GRADE A PETROLEUM CORP 90 EAST HAWTHORNE AVE VALLEY STREAM, NY 11582-1238 US	EASTMAN TURBO OIL	E	B	5	N	N	1	*	16,373	16,385	16,385	0	9/1/2020	C		10/9/2020
4500323418	MAUREEN DATA SYSTEMS INC 307 W 38TH ST RM 1801 NEW YORK, NY 10018-6510 US	MAINTENANCE - TENABLE	S	M	8	N	03	1		85,410	85,410	85,410	0	9/28/2020	O	9/27/2021	
4500323433	INTIVITY INC 106 DESPATCH DR - STE 2 EAST ROCHESTER, NY 14445-1448 US	HYDRAULIC FITTINGS AND HOSES	E	B	5	N	04	1		11,448	11,447	11,447	1	9/2/2020	C		9/25/2020
4500323434	VALVE INDUSTRIES INC 4 SLATE CT - APT D-2 WOODLAND PARK, NJ 07424-4247 US	WELL STATION UPGRADE	E	B	5	N	N	1		36,504	36,504	36,504	0	9/2/2020	C		10/26/2020
4500323435	OMICRON ELECTRONICS CORP USA 3550 WILLOWBEND BLVD HOUSTON, TX 77054-1127 US	CAMPANO 100 PACKAGE AND LICENSING	E	1	5	N	N	1		14,395	14,395	14,395	0	9/2/2020	C		10/14/2020
4500323437	PATTERSON-STEVENS INC 400 SAWYER AVE TONAWANDA, NY 14150-7755 US	TRANSFORMER DECK JOINT REPAIRS	S	B		N	N	2		538,837	482,337	482,337	56,500	9/2/2020	O	5/1/2021	
4500323442	CITY ELECTRIC COMPANY DBA FOR COOPERFRIEDMAN ELECTRIC SUP 450 TRACY ST SYRACUSE, NY 13204-2435 US	SWITCHYARD FUSES	E	B	5	N	N	3		11,333	11,333	11,333	0	9/2/2020	C		10/30/2020
4500323449	GOPOWER INC 239 HIGH ST MEDFORD, MA 02155-3706 US	HPFF CABLE EVALUATION	P	B		F	N	4		711,290	0	0	711,290	9/2/2020	O	6/30/2021	
4500323452	CITY ELECTRIC COMPANY DBA FOR COOPERFRIEDMAN ELECTRIC SUP 450 TRACY ST SYRACUSE, NY 13204-2435 US	LIGHT FIXTURES	E	B	5	F	N	3		15,413	15,413	15,413	0	9/2/2020	C		12/30/2020

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4500323467	EATON CORP C/O HASGO POWER EQUIPMENT SALES INC 130 COMMONWEALTH DR WARRENDALE, PA 15086-7501 US	REMOTE CHARGING STATION	E	2	5	N	N	1		11,165	11,165	11,165	0	9/3/2020	C		9/18/2020
4500323475	AVIATION POWER & MARINE LLC 1811 CORPORATE DR BOYNTON BEACH, FL 33426-9086 US	TEMPERATURE SENSOR	E	B	5	F	N	1	*	16,223	16,240	16,240	0	9/3/2020	C		10/1/2020
4500323490	C G POWERTECH INC 216 NEWARK POMPTON TPKE PEQUANNOCK, NJ 07440-1326 US	SEAL RING AND DISC SEAL KIT	E	B	5	F	N	1	*	8,166	8,258	8,258	0	9/3/2020	C		12/15/2020
4500323514	ROCKWELL COLLINS INC & SUBSIDIARIES 400 COLLINS RD NE CEDAR RAPIDS, IA 52498-0505 US	THE FUSION INTEGRATED FLIGHT DECK NAVIGATION DATABASE	I	1	5	F	N	1		12,300	12,300	12,300	0	8/1/2020	O	7/31/2021	
4500323520	SUEZ WTS USA INC 4636 SOMERTON RD TREVOSE, PA 19053 US	CHEMICALS, WATER TREATMENT	E	B	5	N	N	1	*	13,460	13,595	13,595	0	9/4/2020	C		11/17/2020
4500323537	ORACLE AMERICA INC 500 ORACLE PKWY REDWOOD CITY, CA 94065-1677 US	MAINTENANCE - ORACLE PRIMAVERA	S	B	7	N	N	1		39,925	9,981	9,981	29,944	8/6/2020	O	8/5/2021	
4500323539	AMERICAN GOVERNOR CO 27 RICHARD RD IVYLAND, PA 18974-1512 US	WOODWARD GOVERNOR PARTS	E	B	5	F	N	1		15,986	15,986	15,986	0	9/4/2020	C		10/19/2020
4500323548	CDW LLC CDW GOVERNMENT LLC, CDW GOVERNMENT 230 N MILWAUKEE AVE VERNON HILLS, IL 60061-4304 US	RSA SECURE TECH SUPPORT	S	B	7	N	N	1		17,462	17,462	17,462	0	7/1/2020	O	6/30/2021	
4500323560	WORLDWIDE TRAVEL STAFFING LIMITED 2829 SHERIDAN DR TONAWANDA, NY 14150-9420 US	NURSING SERVICES	P	2	5	N	N	1		36,250	36,250	36,250	0	9/9/2020	O	9/1/2021	
4500323563	GAS TURBINE CONTROLS CORP 6 SKYLINE DR - STE 150 HAWTHORNE, NY 10532-8102 US	MARK VI BOARD	E	B	5	F	N	1	*	15,073	15,167	15,167	0	9/8/2020	C		9/21/2020
4500323568	D & L INSTALLATIONS INC 230 KNICKERBOCKER AVE BOHEMIA, NY 11716-3140 US	HMI PLC	E	B	5	N	03	1	*	5,337	5,390	5,390	0	9/8/2020	C		10/1/2020
4500323570	WELLS TECHNOLOGY INC 4885 WINDSOR CT NW BEMIDJI, MN 56601-7659 US	VENDING RESTOCK	E	B	7	F	04	1		6,037	6,037	6,037	0	9/8/2020	C		9/8/2020
4500323582	GRAYBAR ELECTRIC CO INC 229 CHURCH ST ALBANY, NY 12202-1060 US	TRANSFORMER	E	B	5	N	N	1		6,500	6,500	6,500	0	9/8/2020	C		10/19/2020
4500323583	TECHNICAL BUILDING SERVICES INC 12 E COMMERCE DR BALLSTON SPA, NY 12020 US	ENERGY MANAGEMENT SYSTEM REPAIR AND MAINTENANCE	E	B	7	N	N	1		100,000	0	0	100,000	9/8/2020	O	9/7/2021	

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4500323584	METROWEST ELECTRIC SALES INC 18 LYMAN ST - STE A WESTBOROUGH, MA 01581-1436 US	ELECTRIC CABLE	E	B	5	F	N	1	*	5,400	5,485	5,485	0	9/8/2020	C		10/23/2020
4500323588	GEXPRO DBA REXEL USA INC 5500 MAIN ST - STE 301 WILLIAMSVILLE, NY 14221-6737 US	GE RELAY	E	B	5	F	N	2		16,812	16,812	16,812	0	9/9/2020	C		12/30/2020
4500323589	DOBLE ENGINEERING CORP 123 FELTON ST MARLBOROUGH, MA 01752 US	CIRCUIT BREAKER ANALYZER	E	B	5	F	N	1		32,560	32,560	32,560	0	9/9/2020	C		10/16/2020
4500323620	IVCI LLC 601 OLD WILLETS PATH HAUPPAUGE, NY 11788 US	VIDEO EQUIPMENT AND PHONES FOR UTICA ZOO	T	B	5	N	N	3		184,613	17,186	17,186	167,427	9/1/2020	O	8/31/2021	
4500323657	MITCHELL 1 PO BOX 509044 SAN DIEGO, CA 92150-9044 US	MAINTENANCE - FLEET SNAP-ON SNAPKEY	S	2	5	F	N	1		22,761	22,761	22,761	0	9/11/2020	O	9/10/2021	
4500323673	NEW YORK STATE TECHNOLOGY ENTERPRISE CORP 99 OTIS ST #2 ROME, NY 13441-4713 US	LTE WIRELESS BACKBONE PROGRAM SUPPORT SERVICES	P	B	7	N	N	11		445,959	3,685	3,685	442,274	9/11/2020	O	9/10/2021	
4500323675	KELLY & HAYES ELECTRICAL SUPPLY OF L I INC 66 SOUTHERN BLVD NESCONSET, NY 11767-1092 US	BATTERY CHARGER SENS	E	B	5	N	N	2		8,173	8,173	8,173	0	9/10/2020	C		11/13/2020
4500323680	CDW LLC CDW GOVERNMENT LLC, CDW GOVERNMENT 230 N MILWAUKEE AVE VERNON HILLS, IL 60061-4304 US	RED HAT PREMIUM LINUX SUBSCRIPTION	S	B	7	N	N	2		27,203	27,203	27,203	0	7/27/2020	O	5/5/2021	
4500323683	JAMES H MALOY INC 421 ALBANY SHAKER RD - PO BOX 11016 LOUDONVILLE, NY 12211-1815 US	HINCKLEY TAILRACE ABUTMENT REPAIR PROJECT	C	B			N	01	2		1,349,000	0	0	1,349,000	9/14/2020	O	9/13/2021	
4500323711	OAK RIDGE HAULING LLC 307 WHITE ST DANBURY, CT 06810-6934 US	CARTING SERVICES	S	B	7	F	N	1		10,000	5,806	5,806	4,194	7/15/2020	C		11/30/2020
4500323718	C D PERRY LLC PO BOX 866 TROY, NY 12181-0866 US	ROOF AND CONCRETE DEMOLITION AND RECONSTRUCTION	C	B			N	01	1		210,776	0	0	210,776	9/11/2020	C		12/31/2020
4500323729	ABB ENTERPRISE SOFTWARE INC STE 500 400 PERIMETER CENTER TER NE ATLANTA, GA 30346-1231 US	FRASER SUBSTATION SPARE PARTS	E	B	8	N	N	7		272,766	0	0	272,766	9/11/2020	O	10/29/2021	
4500323730	ACCIPITER RADAR CORPORATION 40 CENTRE STE 3 ORCHARD PARK, NY 14127-4100 US	HYPERSPIKE ACOUSTIC HAILING DEVICE	E	1	8	F	N	1		56,360	0	0	56,360	9/11/2020	O	2/28/2021	

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4500323764	AERODERIVATIVE GAS TURBINE SUPPORT INC 1141 S ROGERS CIR - STE 11 BOCA RATON, FL 33487-2789 US	ACCELEROMETERS	E	B	5	F	N	2	*	39,161	39,226	39,226	0	9/14/2020	C		9/24/2020
4500323765	DOWD BATTERY CO INC 1571 BRONSON RD GRAND ISLAND, NY 14072-2910 US	BATTERIES	E	B	6	N	01	1		5,953	5,953	5,953	0	9/14/2020	C		9/14/2020
4500323798	TRANE U S INC TRANE 4518 COURT SQ LONG ISLAND CITY, NY 11101-2955 US	CHILLER OVERHAUL AND MAINTENANCE	S	B	7	N	N	1		8,724	8,724	8,724	0	9/15/2020	O	9/14/2021	
4500323853	MILTON CAT 4610 E SAILE DR BATAVIA, NY 14020-1017 US	MARINE VESSEL ENGINE REBUILD PARTS	E	1	8	N	N	1		100,000	91,336	91,336	8,664	9/16/2020	O	2/28/2021	
4500323854	WINN CONSTRUCTION SERVICES INC 74 HUDSON RIVER RD WATERFORD, NY 12188-1900 US	DAM CONCRETE REPAIR	C	B		N	N	3		3,327,000	0	0	3,327,000	9/23/2020	O	12/31/2021	
4500323876	CAREER CONCEPTS INC DBA CCI CONSULTING 721 ARBOR WAY-STE 180-HILLCREST II BLUE BELL, PA 19422-1977 US	FOCUS GROUP PROJECT	P	2	5	N	N	1		9,000	8,261	8,261	739	9/17/2020	C		12/31/2020
4500323877	HITACHI T & D SOLUTIONS INC 7250 MCGINNIS FERRY RD SUWANEE, GA 30024-1245 US	INTERRUPTER SPARE PARTS	E	B	5	F	N	1		11,184	11,184	11,184	0	9/17/2020	C		10/9/2020
4500323880	CITY ELECTRIC COMPANY DBA FOR COOPERFRIEDMAN ELECTRIC SUP 450 TRACY ST SYRACUSE, NY 13204-2435 US	TRANSFORMER	E	B	5	N	N	2		24,000	24,000	24,000	0	9/17/2020	C		11/27/2020
4500323883	MONTANA DATACOM 3515 11TH ST LONG ISLAND CITY, NY 11106-5013 US	RADWELL SENSORS	E	C	5	N	03	1	*	19,819	19,851	19,851	0	9/17/2020	C		12/31/2020
4500323887	HITACHI T & D SOLUTIONS INC 7250 MCGINNIS FERRY RD SUWANEE, GA 30024-1245 US	OVERHAUL, BREAKER	E	1		F	N	1		104,811	82,552	82,552	22,259	9/17/2020	C		11/30/2020
4500323909	GRADE A PETROLEUM CORP 90 EAST HAWTHORNE AVE VALLEY STREAM, NY 11582-1238 US	EASTMAN TURBO OIL	E	B	5	N	N	1		14,573	14,573	14,573	0	9/17/2020	C		10/1/2020
4500323914	CARDIAC LIFE PRODUCTS INC PO BOX 25755 ROCHESTER, NY 14625-0755 US	AED PROGRAM MANAGEMENT PRIME PACKAGE	S	B	7	N	03	1		39,593	0	0	39,593	9/17/2020	O	7/31/2021	
4500323944	HUBBELL POWER SYSTEMS INC 210 N ALLEN ST CENTRALIA, MO 65240-1302 US	OEM TECH SUPPORT	S	2	5	F	N	1		18,000	10,000	10,000	8,000	9/18/2020	O	8/31/2021	

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4500323953	PORT CONTAINERS LLC PO BOX 66834 WASHINGTON, DC 20035-6834 US	SIDE SHIPPING CONTAINERS FOR STORAGE	E	B	5	F	N	1		21,490	21,490	21,490	0	9/18/2020	C		10/2/2020
4500323958	WILLIAMS SCOTSMAN INC 145 CANADA DR EAST SYRACUSE, NY 13057-9744 US	OFFICE TRAILER RENTAL	E	B	6	N	N	1		9,713	4,333	4,333	5,380	9/18/2020	C		9/18/2020
4500323970	DELL MARKETING LP 850 ASBURY DR BUFFALO GROVE, IL 60089-4557 US	SOFTWARE LICENSE - AZURE	S	B	7	F	N	1		109,512	109,512	109,512	0	1/1/2020	C		5/31/2020
4500323976	CANON SOLUTIONS AMERICA INC 425 N MARTINGALE RD - STE 1650 SCHAUMBURG, IL 60173-2215 US	MAINTENANCE - CANON OCE COLORWAVE 650	S	B	7	N	N	1		17,256	17,256	17,256	0	9/1/2019	C		8/31/2020
4500323991	POREX CLEANROOM PRODUCTS INC FG CLEAN WIPES 2255 WESTOVER RD CHICOPEE, MA 01022-1060 US	STOCK WIPING CLOTHS	E	B	5	F	N	3		14,076	14,076	14,076	0	10/7/2020	C		10/19/2020
4500323996	KONE INC ONE KONE CT MOLINE, IL 61265 US	MONTHLY ELEVATOR SERVICE	S	B	6	N	N	3		11,485	3,139	3,139	8,346	9/21/2020	O	9/15/2021	
4500324031	WINSHUTTLE LLC 19820 N CREEK PARKWAY STE 200 BOTHELL, WA 98011-8227 US	MAINTENANCE - WINSHUTTLE	S	2	5	F	N	1		12,851	12,851	12,851	0	10/22/2020	O	10/21/2021	
4500324072	OPEN ACCESS TECHNOLOGY INTERNATIONAL INC 3660 TECHNOLOGY DR MINNEAPOLIS, MN 55418-1015 US	TAGGING SERVICES	S	1	5	F	N	1		5,556	5,347	5,347	209	9/23/2020	O	6/10/2021	
4500324106	W B MASON CO INC 59 CENTRE ST - PO BOX 111 BROCKTON, MA 02303-0111 US	RECYCLED COPIER PAPER	E	B	7	N	N	1		16,990	0	0	16,990	9/23/2020	O	9/22/2021	
4500324118	POWERTECH LABS INC 12388-88TH AVE SURREY, BC V3W 7R7 CA	MAINTENANCE - POWERTECH	S	1	6	N	N	1		28,250	28,250	28,250	0	10/15/2020	O	10/14/2021	
4500324133	BOLTTECH MANNINGS INC 311 W MAIN ST ROCKAWAY, NJ 07866-3317 US	PREHEAT SERVICES	S	B	6	F	N	3		7,087	0	0	7,087	9/24/2020	O	1/31/2021	
4500324164	RELEVANT INDUSTRIAL LLC 1423 E RICHEY RD HOUSTON, TX 77073-3508 US	NOX FILTERS	E	B	5	F	N	1		18,302	5,902	5,902	12,400	9/24/2020	C		11/17/2020
4500324175	BRONSTEIN CONTAINER CO INC 1313 RAMS GULCH RD JAMESVILLE, NY 13078 US	55 GALLON STEEL DRUMS	E	B	5	N	N	3		9,161	9,161	9,161	0	9/25/2020	C		10/7/2020
4500324184	HERC RENTALS INC 4578 BUCKLEY RD LIVERPOOL, NY 13088-2509 US	RENTAL GENERATOR	E	2	5	N	N	1		6,201	6,201	6,201	0	9/25/2020	C		10/16/2020
4500324185	STUART C IRBY CO 4583 BUCKLEY RD LIVERPOOL, NY 13088-2508 US	GROUND SET FITTINGS	E	B	5	N	N	2		5,804	5,804	5,804	0	9/25/2020	C		12/30/2020

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4500324194	CB TRUCK BODIES & EQUIPMENT INC 809 STATE HIGHWAY 41 SMITHVILLE FLATS, NY 13841 US	2021 FORD F550 WORK TRUCK	E	B		N	N	2		99,396	0	0	99,396	9/25/2020	O	1/18/2021	
4500324198	DLT SOLUTIONS LLC 2411 DULLES CORNER PARK - STE 800 HERNDON, VA 20171-6168 US	MAINTENANCE - AUTODESK	S	2	6	N	N	1		8,134	8,134	8,134	0	9/25/2020	O	9/24/2021	
4500324202	ABB ENTERPRISE SOFTWARE INC STE 500 400 PERIMETER CENTER TER NE ATLANTA, GA 30346-1231 US	345KV CAPACITOR BANK CIRCUIT BREAKERS	E	B		F	N	2		1,043,077	0	0	1,043,077	9/25/2020	O	9/25/2021	
4500324210	GENERAL ELECTRIC INTERNATIONAL INC 1 RIVER RD - BLDG 53-310 SCHENECTADY, NY 12305-2551 US	GE MAPS TRAINING AND SUPPORT	S	2	8	N	N	1		67,000	42,000	42,000	25,000	10/12/2020	O	10/11/2021	
4500324214	JOHNSON CONTROLS INC 130 JOHN MUIR DR - STE 100 AMHERST, NY 14228-1139 US	SERVICE AGREEMENT	S	B	7	N	N	1		56,435	56,435	56,435	0	9/30/2020	O	9/30/2021	
4500324231	ORKIN PEST CONTROL DBA FOR ROLLINS INC 537 QUEENSBURY AVE QUEENSBURY, NY 12804-7613 US	PEST CONTROL SERVICES	S	B	6	N	N	1		14,300	0	0	14,300	10/15/2020	O	10/14/2021	
4500324260	MX PETROLEUM CORP PO BOX 638 MASSENA, NY 13662 US	FUEL	E	B	7	N	01	1	*	7,065	7,094	7,094	0	9/23/2020	C		9/23/2020
4500324261	ADIRONDACK ENERGY PRODUCTS INC ADIRONDACK PROPANE 17 JUNCTION RD MALONE, NY 12953-4217 US	FUEL	E	B	7	N	01	1		9,743	8,883	8,883	860	9/28/2020	C		9/28/2020
4500324267	ABB ENTERPRISE SOFTWARE INC 305 GREGSON DR CARY, NC 27511-6496 US	POWERVAC CIRCUIT BREAKER	E	B		F	N	2		63,500	0	0	63,500	9/28/2020	O	4/1/2021	
4500324302	GRAYBAR ELECTRIC CO INC 6605 DEERE RD SYRACUSE, NY 13206-1325 US	HMI TOUCH SCREEN MONITOR	E	B	5	N	N	5		6,376	6,376	6,376	0	9/29/2020	C		10/7/2020
4500324306	AMERICAN ROCK SALT CO LLC DBA FOR AMERICAN ROCK SALT HOLDING PO BOX 190 MOUNT MORRIS, NY 14510-0190 US	SALT	E	B	7	N	N	1		101,585	46,547	46,547	55,038	9/29/2020	O	4/30/2021	
4500324311	AN ITALIAN AFFAIR 339 EAST ORVIS ST MASSENA, NY 13662 US	MEALS	E	B	6	N	N	3		10,000	0	0	10,000	9/29/2020	O	9/28/2021	
4500324313	COACHS CORNER PO BOX 95 MASSENA, NY 13662-0095 US	MEALS	E	B	6	N	N	3		10,000	0	0	10,000	9/29/2020	O	9/28/2021	

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4500324339	MWW GROUP LLC 1250 BROADWAY 3RD FLOOR NEW YORK, NY 10001-3701 US	SOCIAL MEDIA STRATEGY	P	B		N	N	17		168,500	79,511	79,511	88,989	10/1/2020	O	2/28/2021	
4500324340	TRACEY ROAD EQUIP INC 6803 MANLIUS CENTER RD EAST SYRACUSE, NY 13057 US	RENTAL OF CARLSON CP-85 PAVER	E	B	5	N	N	1		11,200	11,200	11,200	0	9/29/2020	C		10/29/2020
4500324348	JEFFERSON CONCRETE CORP 22850 MURROCK CIR WATERTOWN, NY 13601-5081 US	JERSEY BARRIERS	E	B	5	N	01	1		9,216	9,216	9,216	0	9/30/2020	C		9/30/2020
4500324349	EATON CORP C/O HASGO POWER EQUIPMENT SALES INC 130 COMMONWEALTH DR WARRENDALE, PA 15086-7501 US	DISTRIBUTION PANELS	E	B		F	N	3		39,173	39,173	39,173	0	9/30/2020	C		11/23/2020
4500324367	COMPULINK TECHNOLOGIES INC 260 W 39TH ST - STE 302 NEW YORK, NY 10018-4434 US	MAINTENANCE - NETSCOUT	S	B	6	N	04	2		31,151	31,151	31,151	0	9/30/2020	O	9/29/2021	
4500324375	HITACHI T & D SOLUTIONS INC 7250 MCGINNIS FERRY RD SUWANEE, GA 30024-1245 US	INTERRUPTER REPAIR KIT	E	B	6	F	N	4		28,616	28,616	28,616	0	9/30/2020	C		10/21/2020
4500324385	BLOOMVILLE DISPOSAL SERVICE DBA FOR G HAYNES HOLDINGS INC 51971 STATE HWY 10 BLOOMVILLE, NY 13739 US	WASTE REMOVAL SERVICES	S	B	6	N	01	5		40,000	9,036	9,036	30,964	9/30/2020	O	9/30/2021	
4500324396	GLOBAL INDUSTRIES INC C/O HUMMELS 17 W STOW RD MARLTON, NJ 08053-3116 US	OFFICE FURNITURE	E	B	7	N	N	1		6,215	0	0	6,215	10/1/2020	O	1/12/2021	
4500324407	F & F INDUSTRIAL EQUIPMENT CORP 195 TOWER DR MIDDLETOWN, NY 10941-2034 US	NORPLEX MICARTA RESIN PACKING RING	E	B	6	N	01	3		10,860	10,860	10,860	0	10/1/2020	C		12/14/2020
4500324438	OVE ARUP & PARTNERS PC 77 WATER ST NEW YORK, NY 10005-4401 US	CANAL PEDESTRIAN BRIDGE	A	B		N	N	10		1,600,000	22,922	22,922	1,577,078	10/1/2020	O	9/30/2025	
4500324445	OIL SKIMMERS INC DBA FOR OSI ENVIRONMENTAL LLC 12800 YORK RD - STE G NORTH ROYALTON, OH 44133-3682 US	OIL SKIMMER	E	B	5	F	N	3	*	10,126	10,409	10,409	0	10/2/2020	C		11/30/2020
4500324464	CANON SOLUTIONS AMERICA INC 300 COMMERCE SQUARE BLVD BURLINGTON, NJ 08016 US	44 INCH IPFTX 4000	E	B	7	N	N	1		14,163	0	0	14,163	10/2/2020	O	4/30/2021	
4500324477	INDEPENDENT NURSING CARE LLC PO BOX 489 WEST FALLS, NY 14170-0489 US	NURSING SERVICES	P	2	8	N	N	1		327,600	60,676	60,676	266,924	10/2/2020	O	3/31/2021	
4500324478	JOHNSON CONTROLS INC 130 JOHN MUIR DR - STE 100 AMHERST, NY 14228-1139 US	SERVICE AGREEMENT	P	2	5	N	N	1		42,728	42,728	42,728	0	10/2/2020	C		10/15/2020

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4500324490	CARAHSOFT TECHNOLOGY CORP 11493 SUNSET HILLS RD STE 100 RESTON, VA 20190-5328 US	RSA SERVICES	P	2		N	N	1		150,000	0	0	150,000	10/19/2020	O	10/18/2021	
4500324492	DLT SOLUTIONS LLC 2411 DULLES CORNER PARK - STE 800 HERNDON, VA 20171-6168 US	MAINTENANCE - AUTODESK	S	2	8	N	N	1		110,177	110,177	110,177	0	10/28/2020	O	10/27/2021	
4500324493	AKAMAI TECHNOLOGIES INC 150 BROADWAY CAMBRIDGE, MA 02142-1055 US	MAINTENANCE - PROLEXIC SECURITY SERVICES	S	B	7	N	N	1		101,660	0	0	101,660	12/1/2020	O	11/30/2021	
4500324517	WELLS TECHNOLOGY INC 4885 WINDSOR CT NW BEMIDJI, MN 56601-7659 US	VENDING RESTOCK	E	B	7	F	04	1		7,725	7,725	7,725	0	10/5/2020	C		10/5/2020
4500324519	CED BALDWIN HALL CO PO BOX 780758 PHILADELPHIA, PA 19178-0757 US	CIRCUIT BREAKERS	E	B	5	F	N	5		9,023	9,023	9,023	0	10/5/2020	C		11/18/2020
4500324527	COMPULINK TECHNOLOGIES INC 260 W 39TH ST - STE 302 NEW YORK, NY 10018-4434 US	HP LAPTOPS	H	B	6	N	04	2		25,536	25,536	25,536	0	10/5/2020	C		10/5/2020
4500324541	OMICRON ELECTRONICS CORP USA 3550 WILLOWBEND BLVD HOUSTON, TX 77054-1127 US	CP TEST CARDS AND SOFTWARE	E	1	8	N	N	1		63,157	63,157	63,157	0	10/5/2020	C		12/7/2020
4500324557	ISLAND OCCUPATIONAL MEDICAL RES 618 BROADWAY AMITYVILLE, NY 11701-2124 US	COVID-19 TESTING	S	2	5	N	N	1	*	70,000	63,550	63,550	6,450	10/6/2020	O	4/30/2021	
4500324587	GRAYBAR ELECTRIC CO INC 6605 DEERE RD SYRACUSE, NY 13206-1325 US	HOLE REPAIR	E	B	5	N	N	4		9,911	9,911	9,911	0	10/6/2020	C		10/19/2020
4500324592	TEMP-PRESS INC 30 HYTEC CIRCLE ROCHESTER, NY 14606 US	RELIEF VALVE	E	B	5	N	N	2		6,115	6,115	6,115	0	10/6/2020	C		11/13/2020
4500324593	PRECISION PROCESS EQUIPMENT INC 2111 LIBERTY DR NIAGARA FALLS, NY 14304-3744 US	ANDALE SPINDLE STRAINER	E	B	5	N	N	2		6,778	6,778	6,778	0	10/6/2020	C		12/29/2020
4500324594	SHELBY CRUSHED STONE INC 10830 BLAIR RD MEDINA, NY 14103 US	STONE FOR LPGP RIP RAP REPAIRS	E	B	7	N	N	2		62,379	32,001	32,001	30,378	10/6/2020	C		10/9/2020
4500324601	ACLARA TECHNOLOGIES LLC 945 HORNET DR HAZELWOOD, MO 63042-2309 US	MAINTENANCE - ACLARA	S	1	8	F	N	1		76,244	76,244	76,244	0	4/1/2020	O	3/31/2021	
4500324626	AMERICAN ROCK SALT CO LLC DBA FOR AMERICAN ROCK SALT HOLDING PO BOX 190 MOUNT MORRIS, NY 14510-0190 US	SALT	E	B	7	N	N	1		41,594	6,238	6,238	35,356	10/7/2020	O	8/31/2021	

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ANNUAL REPORT OF PROCUREMENT CONTRACTS
REQUIRED BY N.Y. PUBLIC AUTHORITIES LAW, SECTION 2879

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4500324669	POWERSYS INC 2791 RESEARCH DR ROCHESTER HILLS, MI 48309-3575 US	MAINTENANCE - EMPT	I	1	6	F	N	1		13,170	13,170	13,170	0	9/16/2020	O	1/28/2021	
4500324675	BUB'S ENTERPRISES LLC DALE EARL 3893 STATE ROUTE 11 MALONE, NY 12953-3725 US	SNOW REMOVAL	S	B	5	N	01	1		14,500	0	0	14,500	10/8/2020	O	5/31/2021	
4500324678	TMT CONTRACTORS INC 1484 US HIGHWAY 11 GOUVERNEUR, NY 13642-3407 US	SNOW REMOVAL	E	B	5	N	01	1		20,000	1,320	1,320	18,680	10/8/2020	O	5/31/2021	
4500324716	JOHNSON CONTROLS INC 130 JOHN MUIR DR - STE 100 AMHERST, NY 14228-1139 US	SECURITY SYSTEMS MAINTENANCE	S	B	7	N	N	1		66,630	66,630	66,630	0	10/1/2020	O	9/30/2021	
4500324720	CADENZA INNOVATION 100 RESERVE RD STE G400 DANBURY, CT 06810-5267 US	ELECTRIC CONNECTION CODE COMPLIACE	S	2	5	F	N	1	*	23,111	23,111	23,111	0	10/11/2020	O	10/10/2021	
4500324726	UPLAND SOFTWARE INC 401 CONGRESS AVE STE 1850 AUSTIN, TX 78701-3788 US	MOBILE COMMUNICATIONS SERVICES	S	1	6	N	N	1		15,485	4,212	4,212	11,273	8/11/2020	O	8/10/2021	
4500324758	KONECRANES INC 1020 LEHIGH STATION RD HENRIETTA, NY 14467-9369 US	CRANE COLLECTORS AND SHOES	E	B	6	N	N	1		14,820	0	0	14,820	10/13/2020	C		10/13/2020
4500324790	TYNDALE CO DBA FOR TYNDALE ENTERPRISES INC 5050 APPLEBUTTER RD PIPERSVILLE, PA 18947-1808 US	SAFETY FOOTWEAR	E	2	8	F	N	1		75,750	401	401	75,349	10/14/2020	O	10/13/2021	
4500324794	THYSSEN ELEVATOR CO 6067 CORPORATE DR EAST SYRACUSE, NY 13057-1082 US	ESCALATOR REPAIR	S	B	7	N	N	1		11,120	8,208	8,208	2,912	10/14/2020	C		10/15/2020
4500324803	CONTROL COMPONENTS INC AN IMI COMPANY 22591 AVENIDA EMPRESA RANCHO SANTA MARGARITA, CA 92688 US	HRH SKYVENT SPARES	E	B		F	N	1		191,806	0	0	191,806	10/14/2020	O	4/1/2021	
4500324822	HOLISTIC INCLUSION CONSULTING LLC 1301 WALL ST W LYNDHURST, NJ 07071-3514 US	DIVERSITY, INCLUSION AND EQUITY POLICIES AND PROCEDURE DEVELOPMENT	P	2		N	N	1		499,800	66,432	66,432	433,368	10/19/2020	O	10/18/2021	
4500324843	CANON SOLUTIONS AMERICA INC 425 N MARTINGALE RD - STE 1650 SCHAUMBURG, IL 60173-2215 US	MAINTENANCE - CANON OCE COLORWAVE	S	B	7	N	N	1		5,996	5,996	5,996	0	3/1/2020	O	2/28/2021	
4500324844	AMETEK POWER INSTRUMENTS 255 N UNION ST ROCHESTER, NY 14605-2644 US	HIGH POWER AMPLIFIER	E	C	6	N	N	3		22,720	22,720	22,720	0	10/14/2020	C		11/30/2020
4500324861	GRAYBAR ELECTRIC CO INC 229 CHURCH ST ALBANY, NY 12202-1060 US	DAM FACE LIGHTS	E	B	5	N	N	3		37,798	37,798	37,798	0	10/15/2020	C		11/13/2020

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4500324864	TP WOODSIDE INC 60 LAWRENCE BELL DR WILLIAMSVILLE, NY 14221-7074 US	HUMIDIFIERS	E	B	5	N	N	1		20,688	20,688	20,688	0	10/15/2020	C		11/30/2020
4500324866	SCOTT ELECTRIC SUPPLY INC 3253 WALDEN AVE DEPEW, NY 14043-2821 US	LED FIXTURES	E	B	5	N	N	1		12,960	12,765	12,765	195	10/15/2020	C		11/30/2020
4500324882	ABELE TRACTOR & EQUIPMENT CO INC 72 EVERETT RD ALBANY, NY 12205 US	RENTAL OF A KOBELCO SK300LC EXCAVATOR WITH THUMB	E	B	5	N	N	2		10,000	0	0	10,000	10/15/2020	C		11/13/2020
4500324885	PRAXAIR DISTRIBUTION INC 39 OLD RIDGEBURY RD DANBURY, CT 06810-5108 US	FUME EXTRACTOR	E	B	5	N	N	2		10,100	0	0	10,100	10/15/2020	O	1/12/2021	
4500324886	IBM CORP FORMERLY STERLING COMMERCE CVG NORTH CASTLE DR ARMONK, NY 10504 US	IBM EMS AIX	I	2	5	N	N	1		20,462	20,462	20,462	0	10/15/2020	C		11/16/2020
4500324888	ROMMEL FENCE LLC 17 RAILROAD ST POLAND, NY 13431 US	FENCE REPAIRS	C	B	5	N	03	2		12,700	0	0	12,700	10/15/2020	O	10/14/2021	
4500324889	VALVE INDUSTRIES INC 4 SLATE CT - APT D-2 WOODLAND PARK, NJ 07424-4247 US	STOCK - PCB PARTS	E	B	5	N	N	1		51,737	40,502	40,502	11,235	10/15/2020	C		11/3/2020
4500324891	DOBLE ENGINEERING CORP C/O ELECTRICOM INC 4327 KENCREST DR SYRACUSE, NY 13215 US	SYSTEM SIMULATOR	R	2	5	N	N	1		42,500	42,500	42,500	0	10/15/2020	C		11/6/2020
4500324912	SERVOCON ASSOCIATES INC SERVICONALPHA 167 EXPO RD FISHERSVILLE, VA 22939-2308 US	SPEED RATIO VALVE OVERHAUL	S	2	5	F	N	1		32,790	31,290	31,290	1,500	10/16/2020	O	2/16/2021	
4500324921	STRITT & PRIEBE INC 37 CLYDE AVE BUFFALO, NY 14215 US	NIBCO GATE VALVE	E	B	5	N	N	1		10,131	10,030	10,030	101	10/16/2020	C		11/6/2020
4500324931	SHI INTERNATIONAL CORP 5 W BANK ST COLD SPRING, NY 10516-2219 US	MAINTENANCE - IRONNET	I	B	7	N	N	1		2,471,208	133,668	133,668	2,337,540	10/16/2020	O	12/31/2023	
4500324932	WILLIAMS SCOTSMAN INC 901 S BOND STE STE 600 BALTIMORE, MD 21231-3348 US	TRAILER FOR COVID SCREENING	E	B	5	F	N	3		7,428	7,428	7,428	0	10/16/2020	C		11/3/2020
4500324935	NEUROLEADERSHIP INSTITUTE INC 115 E 57TH ST FL 11 NEW YORK, NY 10022-2120 US	TRAINING VIDEO LICENSES	E	2		N	N	1		314,000	60,250	60,250	253,750	10/19/2020	O	10/18/2023	
4500324942	CEMTEK SYSTEMS INC 1750 BRIELLE AVE - STE B2 OCEAN, NJ 07712-3953 US	GAS REGULATORS	E	B	5	F	N	2		6,300	6,300	6,300	0	10/19/2020	C		12/15/2020

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4500324951	PYOTT-BOONE ELECTRONICS PBE GROUP 1459 WITTENS MILL RD NORTH TAZEWELL, VA 24630-8373 US	LTE EXPANSION	S	1	8	N	N	1		313,669	64,836	64,836	248,833	10/19/2020	O	5/1/2021	
4500324956	SIMMERS CRANE DESIGN & SERVICES CO DBA FOR POLLOCK REASEARCH & DESIGN 1134 SALEM PKWY SALEM, OH 44460-1063 US	BRAKES, THRUSTOR	E	B	5	F	N	2		32,340	0	0	32,340	10/19/2020	C		12/10/2020
4500324993	CED BALDWIN HALL CO PO BOX 780758 PHILADELPHIA, PA 19178-0757 US	ALLEN BRADLEY CONTROL SWTICHES	E	B	5	F	N	3		14,813	14,813	14,813	0	10/20/2020	C		12/1/2020
4500325007	OIL FILTRATION SYSTEMS LLC 135 ENTERPRISE PKWY BOERNE, TX 78006-8634 US	TURBINE OIL PURIFIER	E	B		F	N	4		112,750	0	0	112,750	10/21/2020	O	3/29/2021	
4500325019	KELLY & HAYES ELECTRICAL SUPPLY OF L I INC 66 SOUTHERN BLVD NESCONSET, NY 11767-1092 US	HEATERS	E	B	5	N	N	2		24,771	24,771	24,771	0	10/20/2020	C		11/9/2020
4500325030	CLARK EQUIPMENT CO DBA BOBCAT CO/ DOOSAN PP/ DOOSAN NA 250 EAST BEATON DR - PO BOX 6000 WEST FARGO, ND 58078-2656 US	BOBCAT 5600 TOOLCAT	E	B	7	F	N	1		68,479	0	0	68,479	10/20/2020	O	1/7/2021	
4500325051	MVA POWER INC 1 HOLLY RD MONTREAL QC, PQ H3X 3K6 CA	OCB CONTACTS	E	B		F	N	4		140,750	25,134	25,134	115,616	10/21/2020	O	3/31/2021	
4500325058	LIFE SCIENCE LABORATORIES INC 5854 BUTTERNUT DR EAST SYRACUSE, NY 13057-9513 US	SAMPLING, ENVIRONMENTAL SERVICES	S	B	5	N	01	3		40,000	0	0	40,000	10/23/2020	O	10/22/2021	
4500325069	TATE ANDALE LLC 1941 LANSDOWNE RD BALTIMORE, MD 21227 US	ANDALE STRAINER PARTS	E	B	5	F	N	1		19,874	0	0	19,874	10/21/2020	O	4/23/2021	
4500325076	ANIXTER INC 2301 PATRIOT BLVD GLENVIEW, IL 60026 US	LED HIGHBAY LIGHTS	E	B	6	F	N	6		22,032	0	0	22,032	10/21/2020	C		10/21/2020
4500325089	OPEN TEXT INC 2950 S DELAWARE ST SAN MATEO, CA 94403-2199 US	MAINTENANCE - OPENTEXT	S	1	5	F	N	1		18,056	18,056	18,056	0	12/1/2020	O	11/30/2021	
4500325107	AP LAUNDRY & DRY CLEANERS 40 CATHERINE ST MALONE, NY 12953-1904 US	LAUNDERING SERVICES	S	B	5	N	N	1		7,000	882	882	6,118	11/2/2020	O	11/1/2021	
4500325113	AP LAUNDRY & DRY CLEANERS 40 CATHERINE ST MALONE, NY 12953-1904 US	LAUNDERING SERVICES	S	B	5	N	N	1		6,500	0	0	6,500	11/2/2020	O	11/1/2021	

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4500325124	TURBINE TRENDS LLC PO BOX 26 SPOTSWOOD, NJ 08884-0026 US	BOLT SETS - CLAM SHELL	E	B	5	F	N	3	*	5,208	5,375	5,375	0	10/22/2020	C		11/5/2020
4500325128	SHELBY CRUSHED STONE INC 10830 BLAIR RD MEDINA, NY 14103 US	STONE FOR B PUMP STORAGE	E	B	7	N	N	1		5,714	0	0	5,714	10/22/2020	C		10/27/2020
4500325140	PRO EQUIP INC 919 HIGHWAY 33 - STE 25 FREEHOLD, NJ 07728-8468 US	HEAT EXCHANGER PLATE	E	C	5	F	N	3		26,013	0	0	26,013	10/22/2020	O	2/12/2021	
4500325149	LEARNING TECHNOLOGIES GROUP INC PEOPLEFLUENT INC 434 FAYETTEVILLE ST STE 900 RALEIGH, NC 27601-3005 US	MAINTENANCE - ORGPUBLISHER	S	1	5	F	N	1		7,516	7,516	7,516	0	11/1/2020	O	10/31/2021	
4500325156	SHI INTERNATIONAL CORP 5 W BANK ST COLD SPRING, NY 10516-2219 US	MAINTENANCE - SOLARWINDS	S	B	7	N	N	1		79,398	79,398	79,398	0	11/21/2020	O	11/20/2021	
4500325174	AVIATION POWER & MARINE LLC 1811 CORPORATE DR BOYNTON BEACH, FL 33426-9086 US	WATER INJ TUBE AND PRESSURE SWITCHES	E	B	5	F	N	3	*	6,469	6,517	6,517	0	10/23/2020	C		11/24/2020
4500325177	NYS DEPARTMENT OF TRANSPORTATION 50 WOLF RD ALBANY, NY 12232-2645 US	FIRE ISLAND REEFING	S	C	9	N	N	1		538,251	0	0	538,251	10/23/2020	C		10/23/2020
4500325178	NORTHLAND TRAILERS LLC 9280 RIVER RD MARCY, NY 13403-2069 US	CARGO TRAILER FOR DRONE	E	B	5	N	N	1		6,850	0	0	6,850	10/23/2020	O	1/10/2021	
4500325182	WILLIAMS SCOTSMAN INC 145 CANADA DR EAST SYRACUSE, NY 13057-9744 US	TRAILER FOR COVID SCREENING	E	B	7	N	N	1		49,256	13,720	13,720	35,536	10/23/2020	O	3/31/2021	
4500325183	BRUCE WEAKLEY HAULING BRUCE WEAKLEY PO BOX 403 POLAND, NY 13431-0403 US	VEHICLE TRANSPORT	S	B	5	N	N	1		6,500	5,500	5,500	1,000	10/23/2020	C		10/27/2020
4500325186	ABELE TRACTOR & EQUIPMENT CO INC 72 EVERETT RD ALBANY, NY 12205 US	RENTAL OF D8T DOZER WITH CAB, HEAT AND RIPPER ATTACHMENT	E	B	5	N	N	2		27,000	16,000	16,000	11,000	10/23/2020	C		12/15/2020
4500325187	NESCO SALES & RENTALS 3112 EAST STATE RD 124 BLUFFTON, IN 46714-9301 US	RENTAL HYDRA 985 REEL TRAILER	E	B	5	F	N	2		17,230	11,657	11,657	5,573	10/23/2020	C		12/15/2020
4500325233	DELTA X RESEARCH INC PO BOX 42083 OAK BAY AVENUE VICTORIA, BC V8R 6T4 CA	TRANSFORMER OIL ANALYST (TOA4) SUBSCRIPTION	S	1	6	F	N	1		27,371	27,371	27,371	0	10/26/2020	O	8/13/2021	
4500325240	MAC CONSULTING LP DBA ALLIANCE CONSULTING GROUP 101 E PARK BLVD - STE 220 PLANO, TX 75074-5483 US	DEPRICATION STUDY	P	B			N	N	4		62,766	977	977	61,789	11/2/2020	O	5/7/2021	

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4500325241	HELBERG ELECTRICAL SUPPLY LLC 12B FILMORE PL FREEPORT, NY 11520-3365 US	TRANSFORMERS	E	B	6	N	04	2		29,426	0	0	29,426	10/26/2020	C		10/26/2020
4500325242	CDW LLC CDW GOVERNMENT LLC, CDW GOVERNMENT 230 N MILWAUKEE AVE VERNON HILLS, IL 60061-4304 US	SOFTWARE LICENSE - ADOBE SIGN	S	B	7	N	N	1		6,346	0	0	6,346	10/27/2020	O	2/21/2021	
4500325320	E-MAX INSTRUMENTS INC 13 INVERNESS WAY S ENGLEWOOD, CO 80112 US	HARDWARE, WINDOWS UPGRADE	E	1	5	F	N	1		9,024	0	0	9,024	10/28/2020	C		12/21/2020
4500325321	FEDRESULTS INC 1900 CAMPUS COMMONS DR - STE 100 RESTON, VA 20191-1535 US	SOFTWARE LICENSE - TABLEAU	S	B	7	F	N	1		9,678	9,678	9,678	0	10/28/2020	O	6/27/2021	
4500325330	CONTINUUM SYSTEMS DBA FOR RTB INC 2401 BURNET AVE SYRACUSE, NY 13206-3029 US	ANNUAL COVERAGE	R	2	5	N	N	1		7,424	7,424	7,424	0	10/28/2020	O	10/20/2021	
4500325336	SHELBY CRUSHED STONE INC 10830 BLAIR RD MEDINA, NY 14103 US	BLACKTOP	E	B	7	N	N	1		6,436	6,082	6,082	354	10/28/2020	C		11/9/2020
4500325365	PRAXAIR DISTRIBUTION INC 1811 BROADWAY BUFFALO, NY 14212-2032 US	WELDING SUPPLIES	E	B	5	N	N	2		6,734	5,695	5,695	1,039	10/29/2020	O	2/5/2021	
4500325371	PIERCE STEEL FABRICATORS INC 430 N 7TH ST OLEAN, NY 14760-2330 US	WICKET GATE PLATES	E	B	5	N	N	1		25,444	25,444	25,444	0	10/29/2020	C		11/20/2020
4500325372	FILCO CARTING CORP 197 SNEDIKER AVE BROOKLYN, NY 11207-3320 US	PIGGYBACK FOR WASTE/RUBBISH CLEARANCE	S	B	7	N	N	1		50,000	41,977	41,977	8,023	10/29/2020	O	10/29/2021	
4500325390	ABB ENTERPRISE SOFTWARE INC STE 500 400 PERIMETER CENTER TER NE ATLANTA, GA 30346-1231 US	ORIFICES	E	B	5	F	N	3		22,272	22,272	22,272	0	10/29/2020	C		11/6/2020
4500325412	VALVE INDUSTRIES INC 4 SLATE CT - APT D-2 WOODLAND PARK, NJ 07424-4247 US	LANXPLORER EQUIPMENT	E	B	5	N	N	2		6,975	6,975	6,975	0	10/30/2020	C		11/9/2020
4500325429	DLT SOLUTIONS LLC 2411 DULLES CORNER PARK - STE 800 HERNDON, VA 20171-6168 US	MAINTENANCE - QUEST	S	B	7	N	N	1		43,709	43,709	43,709	0	10/31/2020	O	10/30/2021	
4500325434	CARDIAC LIFE PRODUCTS INC PO BOX 25755 ROCHESTER, NY 14625-0755 US	AED PROGRAM MANAGEMENT	S	B	7	N	03	1		40,471	0	0	40,471	11/5/2020	O	7/31/2021	
4500325442	MODERN DISPOSAL SERVICES INC PO BOX 209 MODEL CITY, NY 14107-0209 US	REFUSE REMOVAL	S	B	7	N	N	1		300,000	86,347	86,347	213,653	11/1/2020	O	10/31/2021	

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4500325452	MVA POWER INC 1 HOLLY RD MONTREAL QC, PQ H3X 3K6 CA	345KV DISCONNECT SWITCH PARTS	E	B		F	N	1		88,423	0	0	88,423	11/2/2020	O	2/5/2021	
4500325453	CLARK EQUIPMENT RENTALS LLC 559 STATE FAIR BLVD SYRACUSE, NY 13204-1250 US	RENTAL 2011 BW177D BOMAG VIBRATORY ROLLER	E	B	5	N	N	3		6,840	0	0	6,840	11/2/2020	C		12/15/2020
4500325456	HAUGLAND ENERGY GROUP LLC 336 S SERVICE RD MELVILLE, NY 11747-3232 US	EGC SHUNT REACTOR OIL PROCESSING	C	B		N	N	2		59,806	0	0	59,806	11/5/2020	O	2/4/2021	
4500325478	PROTEK INFORMATION TECH SRV LLC 492 MITCHELL DR VALLEY COTTAGE, NY 10989-2208 US	IT DISASTER RECOVERY DRILL SERVICES	R	2	8	N	03	1		89,600	17,280	17,280	72,320	11/16/2020	O	11/15/2021	
4500325497	VAN BORTEL FORD INC FAIRPORT FORD MERGED WITH VAN BORTE 71 MARSH RD EAST ROCHESTER, NY 14445 US	2020 FORD ESCAPE HYBRID	E	B	5	N	N	1		34,100	34,100	34,100	0	11/9/2020	C		12/11/2020
4500325512	ACI CONTROLS INC 295 MAIN ST WEST SENECA, NY 14224-2818 US	ELECTROMAGNETIC FLOWMETERS	E	B	5	F	N	1		27,810	24,720	24,720	3,090	11/3/2020	C		12/15/2020
4500325525	ARIBA INC 910 HERMOSA CT SUNNYVALE, CA 94085-4199 US	SAP ARIBA HOSTED SERVICES	S	2	8	N	N	1		522,331	0	0	522,331	11/1/2020	O	10/31/2021	
4500325535	UNITED RENTALS (NORTH AMERICA) INC DBA RELIABLE ONSITE SERVICES 100 FIRST STAMFORD PL - STE 700 STAMFORD, CT 06902-9200 US	GENERATOR, RENTAL	E	B	5	N	N	3		6,370	1,450	1,450	4,920	11/4/2020	O	3/31/2021	
4500325588	PIERCE STEEL FABRICATORS INC 430 N 7TH ST OLEAN, NY 14760-2330 US	BUOY, WARNING	E	B		N	N	4		57,600	57,600	57,600	0	11/5/2020	C		12/18/2020
4500325597	CED BALDWIN HALL CO PO BOX 780758 PHILADELPHIA, PA 19178-0757 US	EMERGILITE MATERIALS	E	B	6	F	N	4		18,473	18,380	18,380	93	11/5/2020	C		11/5/2020
4500325608	BARRETT PAVING MATERIALS INC 7971 STATE HIGHWAY 56 NORWOOD, NY 13668-3252 US	2200 TONS OF 2" CRUSHER RUN	E	B	7	N	N	2		30,216	30,216	30,216	0	11/5/2020	C		11/5/2020
4500325618	CORPORATE COMPUTER SOLUTIONS INC 55 HALSTEAD AVE HARRISON, NY 10528 US	MAGNET AXIOM CYBER UPGRADE	E	B	6	F	03	4		12,920	12,920	12,920	0	11/13/2020	O	1/12/2022	
4500325623	NIAGARA LAWN & GARDEN INC 4835 SAUNDERS SETTLEMENT RD NIAGARA FALLS, NY 14305 US	OFF-SITE SIDEWALK SNOW PLOWING	S	B	5	N	N	1		7,345	1,695	1,695	5,650	11/6/2020	O	4/30/2021	

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4500325634	NORTH ATLANTIC POWER DBA FOR GREAT LAKES POWER SERVICE C 15 CONTINENTAL DR EXETER, NH 03833-4564 US	MARINE VESSEL THROTTLE RETROFIT PACKAGES	E	B	5	F	N	1		44,512	0	0	44,512	11/6/2020	O	1/20/2021	
4500325650	TRITON BUILDERS INC 645 BROADWAY - STE T AMITYVILLE, NY 11701-2118 US	EMERGENCY FENCE REPAIRS FOR DAMAGED GATE	S	2	5	N	03	1		8,840	0	0	8,840	11/6/2020	O	2/5/2021	
4500325657	TRIANGLE ENGINEERING INC 6 INDUSTRIAL WAY HANOVER, MA 02339-2425 US	P6 WELD COUPONS	E	B	5	F	N	3		6,762	6,762	6,762	0	11/6/2020	C		11/20/2020
4500325658	GRAYBAR ELECTRIC CO INC 229 CHURCH ST ALBANY, NY 12202-1060 US	DC SYSTEM UPGRADE	E	B	5	N	N	1		36,193	36,193	36,193	0	11/6/2020	C		11/20/2020
4500325683	AERODERIVATIVE GAS TURBINE SUPPORT INC 1141 S ROGERS CIR - STE 11 BOCA RATON, FL 33487-2789 US	STOCK VBV KITS	E	B	5	F	N	2	*	16,890	17,018	17,018	0	11/6/2020	C		12/15/2020
4500325686	D & L INSTALLATIONS INC 230 KNICKERBOCKER AVE BOHEMIA, NY 11716-3140 US	GA 160 PARTS	E	B	5	N	03	2	*	26,224	26,321	26,321	0	11/6/2020	C		12/15/2020
4500325692	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	CISCO CORE SWITCH UPGRADES	E	B	7	F	04	7		343,166	0	0	343,166	11/9/2020	O	1/29/2021	
4500325733	D&B ENGINEERS & ARCHITECTS PC 330 CROSSWAYS PARK DR WOODBURY, NY 11797-2050 US	CONDUCT A WASTEWATER SURVEILLANCE PILOT PROGRAM AT THE FOR EVIDENCE OF NON-INFECTIVE RNA FRAGMENTS OF SARS-COV-2	E	C	5	N	N	4		32,030	0	0	32,030	12/31/2020	O	1/31/2021	
4500325742	WELLS TECHNOLOGY INC 4885 WINDSOR CT NW BEMIDJI, MN 56601-7659 US	VENDING RESTOCK	E	B	7	F	04	1		9,263	9,263	9,263	0	11/9/2020	C		11/9/2020
4500325763	BITSIGHT TECHNOLOGIES INC 111 HUNTINGTON AVE STE 2010 BOSTON, MA 02199-1700 US	CYBER SECURITY SOFTWARE	S	B	7	F	N	1		118,750	118,750	118,750	0	10/11/2020	O	10/10/2021	
4500325769	ROSEMOUNT INC 8200 MARKET BLVD MAIL STATION PK16 CHANHASSEN, MN 55317-9687 US	PRESSURE TRANSMITTER	E	B	5	F	N	2	*	12,840	12,854	12,854	0	11/10/2020	C		11/25/2020
4500325776	PRAXAIR DISTRIBUTION INC 1811 BROADWAY BUFFALO, NY 14212-2032 US	POWERMAX 125 PLASMA GOUGER	E	B	5	F	N	1		6,487	6,487	6,487	0	11/10/2020	C		11/20/2020
4500325779	AIRLINE HYDRAULICS CORP 3557 PROGRESS DR BENSALEM, PA 19020-5896 US	HYDRO-TURBINE OIL LUBRICATION SYSTEMS	E	B		F	N	2		2,733,176	0	0	2,733,176	11/10/2020	O	12/31/2023	
4500325787	POWER LINE SYSTEMS INC 5400 KING JAMES WAY SUITE 300 MADISON, WI 53719-1703 US	MAINTENANCE - PLS-CADD	R	2	5	N	N	1		17,556	17,556	17,556	0	11/10/2020	C		11/24/2020

POWER AUTHORITY OF THE STATE OF NEW YORK
ANNUAL REPORT OF PROCUREMENT CONTRACTS
REQUIRED BY N.Y. PUBLIC AUTHORITIES LAW, SECTION 2879

CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	FRT	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O \ C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
4500325789	S & W SERVICES INC 6057 CORPORATE DR - STE 3 EAST SYRACUSE, NY 13057-1068 US	TANK ALARM SERVICE	P	2	8	N	N	1		52,655	0	0	52,655	11/10/2020	O	6/30/2021	
4500325814	RAMBOLL AMERICAS ENGINEERING SOLUTIONS INC 333 W WASHINGTON ST - STE 610 SYRACUSE, NY 13202-9203 US	SUNY BROCKPORT WORKFORCE DEVELOPMENT	A	2		N	N	1		55,475	0	0	55,475	11/12/2020	O	9/30/2021	
4500325891	CITY ELECTRIC COMPANY DBA FOR COOPERFRIEDMAN ELECTRIC SUP 450 TRACY ST SYRACUSE, NY 13204-2435 US	LED FIXTURES	E	B	5	N	N	3		47,234	0	0	47,234	11/16/2020	C		12/28/2020
4500325894	NORTHEAST METROLOGY CORP 4490 BROADWAY DEPEW, NY 14043-2904 US	TOOL CALIBRATIONS	S	B	5	N	N	1		9,977	0	0	9,977	11/16/2020	O	4/30/2021	
4500325899	DOWD BATTERY CO INC 1571 BRONSON RD GRAND ISLAND, NY 14072-2910 US	REMOVAL AND INSTALL OF BATTERY SYSTEM FOR CONTROL ROOM	C	B	5	N	01	1		39,000	0	0	39,000	11/16/2020	O	3/29/2021	
4500325902	WELLS TECHNOLOGY INC 4885 WINDSOR CT NW BEMIDJI, MN 56601-7659 US	ALUMINUM STAIR TREADS	E	B	6	F	04	3		7,653	0	0	7,653	11/16/2020	O	1/7/2021	
4500325905	ARC TRAINING CONSULTATION SERVICES 2756 TRANSIT RD WEST SENECA, NY 14224-2523 US	WELDER QUALIFICATIONS	S	2	8	N	N	1		90,560	25,840	25,840	64,720	11/18/2020	O	2/28/2021	
4500325906	CORANET CORP 2 WASHINGTON ST - STE 701 NEW YORK, NY 10004-1009 US	CISCO PHONE SYSTEM UPGRADE	E	B	7	F	03	5		507,964	0	0	507,964	11/16/2020	O	3/1/2021	
4500325908	LM PARTS LLC ERIC ANDERSON 26 FAYMORE DR AGAWAM, MA 01001-3010 US	SOLENIOD WATER DRAIN VALVE	E	B	5	F	N	3		18,441	0	0	18,441	11/16/2020	O	4/1/2021	
4500325923	LAYER 3 TECHNOLOGIES INC 1645 LYELL AVE STE 200 ROCHESTER, NY 14606-2331 US	PANDUIT SYNAPSENSE SERVICES	S	M	6	N	03	1		6,150	3,560	3,560	2,590	11/16/2020	O	11/15/2021	
4500325937	PROBITAS TECHNOLOGY INC 1010 N 7TH ST STE 303 HARRISBURG, PA 17102-1400 US	WEATHER STATIONS	E	B		F	N	4		87,595	0	0	87,595	11/17/2020	O	11/17/2025	
4500325974	LECHASE CONSTRUCTION SERVICES LLC 1473 ERIE BLVD SCHENECTADY, NY 12305-1004 US	UTICA VISITORS CENTER CONSTRUCTION	C	C		N	N	2		768,034	768,034	768,034	0	11/17/2020	O	5/18/2021	
4500325997	ERGONOMIC GROUP INC 609 CANTIAGUE ROCK RD UNIT 3 WESTBURY, NY 11590-1721 US	CISCO NETWORK SWITCH REPLACEMENT	H	B	7	F	07	6		397,866	0	0	397,866	11/18/2020	O	3/1/2021	

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4500326005	ICL-IP AMERICA INC 622 EMERSON RD CREVE COEUR, MO 63141-6742 US	FRYQUEL PLUS	E	B	5	F	N	2		12,334	0	0	12,334	11/18/2020	O	4/1/2021	
4500326018	JAMES WALKER MFG CO INC PO BOX 467 GLENWOOD, IL 60425 US	CONTINUOUS PACKING	E	B	5	F	N	3		8,178	0	0	8,178	11/19/2020	C		12/17/2020
4500326027	MX PETROLEUM CORP PO BOX 638 MASSENA, NY 13662 US	FUEL	E	B	7	N	01	1	*	7,707	7,740	7,740	0	11/19/2020	C		11/25/2020
4500326034	OMICRON ELECTRONICS CORP USA 3550 WILLOWBEND BLVD HOUSTON, TX 77054-1127 US	MULTI FUNCTIONAL PRIMARY TEST SYSTEM	E	1	8	F	N	1		74,900	0	0	74,900	11/19/2020	O	1/5/2021	
4500326036	MARSH USA INC 1166 AVENUE OF THE AMERICAS NEW YORK, NY 10036-2708 US	RISK REVIEW	P	2		F	N	1		63,000	0	0	63,000	11/20/2020	O	11/19/2021	
4500326038	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	IT HARDWARE/SOFTWARE	H	B	5	N	04	3		5,836	0	0	5,836	11/19/2020	C		11/19/2020
4500326055	GOGO BUSINESS AVIATION 105 EDGEVIEW DRIVE STE 300 BROOMFIELD, CO 80021-8016 US	UPGRADE FOR CORPORATE AIRPLANE WIFI	T	2	8	N	N	1		190,200	0	0	190,200	11/19/2020	O	12/31/2023	
4500326057	DOWD BATTERY CO INC 1571 BRONSON RD GRAND ISLAND, NY 14072-2910 US	BATTERY CELLS	E	B	5	N	01	1		5,470	0	0	5,470	11/20/2020	O	2/5/2021	
4500326075	DILO CO INC W PASCO INDUS PARK-11642 PYRAMID DR ODESSA, FL 33556-3449 US	SF6 GAS ANALYZER	E	B	5	F	N	3		29,550	29,550	29,550	0	11/20/2020	C		12/23/2020
4500326087	MILLER ENERGY INC DBA FOR H M MILLER SALES CO 3200 S CLINTON AVE SOUTH PLAINFIELD, NJ 07080-1424 US	LEVEL TRANSMITTER	E	B	5	F	N	2		5,276	0	0	5,276	11/20/2020	O	1/6/2021	
4500326098	BASIL FORD OF NIAGARA FALLS 6980 NIAGARA FALLS BLVD NIAGARA FALLS, NY 14304-2250 US	2020 FORD F150 4X4 SUPERCREW	E	B	5	N	N	1		37,065	37,065	37,065	0	11/20/2020	C		12/8/2020
4500326107	DELL MARKETING LP 850 ASBURY DR BUFFALO GROVE, IL 60089-4557 US	MS WINDOWS 2008 SERVER EXTENDED SUPPORT	I	B	7	F	N	1		7,704	0	0	7,704	11/23/2020	O	2/26/2021	
4500326112	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332 US	FUEL	E	B	7	N	N	1		5,475	5,455	5,455	20	11/23/2020	C		12/23/2020
4500326140	NORTHEAST CONTROLS INC 3 ENTERPRISE AVE CLIFTON PARK, NY 12065-3423 US	BALL VLAVES	E	B	5	N	N	2		15,598	0	0	15,598	11/23/2020	O	4/1/2021	

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4500326144	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	HARD DRIVES	E	B	5	F	04	1		10,659	10,659	10,659	0	11/23/2020	C		12/23/2020
4500326154	WORLDWIDE TRAVEL STAFFING LIMITED 2829 SHERIDAN DR TONAWANDA, NY 14150-9420 US	NURSING SERVICES	P	2	5	N	N	1		45,000	44,663	44,663	337	11/24/2020	C		12/15/2020
4500326159	VAISALA INC 194 S TAYLOR AVE LOUISVILLE, CO 80027-3024 US	LIGHTING DATA AND SERVICE	R	2	5	N	N	1		26,550	0	0	26,550	11/24/2020	O	11/23/2021	
4500326165	HAYES PUMP INC 295 FAIRFIELD AVE FAIRFIELD, NJ 07004-3833 US	SEAL INJECTION KIT	E	B	5	F	N	2		7,947	0	0	7,947	11/24/2020	O	1/12/2021	
4500326172	OTC SERVICES INC 1776 CONSTITUTION AVE LOUISVILLE, OH 44641 US	TRANSFORMER INSPECTION AND MODIFICATIONS	S	1	5	N	N	1		32,900	0	0	32,900	11/24/2020	O	6/1/2021	
4500326212	GOERGEN-MACKWIRTH CO INC 765 HERTEL AVE BUFFALO, NY 14207-1905 US	SIDING REPAIR	C	2	5	N	N	1		30,468	0	0	30,468	11/25/2020	O	2/27/2021	
4500326226	ECO ENGINEERING INC DBA CONSOLIDATED LIGHTING SERVICES 11815 HIGHWAY DR STE 600 CINCINNATI, OH 45241-2065 US	STOCK LED LIGHTING FIXTURES	E	B			F	N	15		59,642	0	0	59,642	11/25/2020	C		11/25/2020
4500326232	SITECORE USA INC 2320 MARINSHIP WAY SAUSALITO, CA 94965-2812 US	MAINTENANCE - SITECORE	S	2	8	N	N	1		53,168	53,168	53,168	0	6/29/2020	O	6/28/2021	
4500326235	THE OKONITE CO INC 3 GARRET MOUNTAIN PLZ - STE 304 WOODLAND PARK, NJ 07424-3352 US	PREP HPFF CABLE FOR STORAGE	S	1	8	F	N	1		82,541	0	0	82,541	11/25/2020	O	4/1/2021	
4500326248	DELL MARKETING LP 850 ASBURY DR BUFFALO GROVE, IL 60089-4557 US	SOFTWARE LICENSE - AZURE	S	B	7	F	N	1		64,605	64,605	64,605	0	6/1/2020	C		8/31/2020
4500326263	ABB ENTERPRISE SOFTWARE INC 25499 NETWORK PL CHICAGO, IL 60673-1254 US	SPARE STATION SERVICE TRANSFORMERS	E	B			F	N	4		234,450	0	0	234,450	11/30/2020	O	6/7/2021	
4500326267	NYS INDUSTRIES FOR THE DISABLED INC 11 COLUMBIA CIR ALBANY, NY 12203-5156 US	MANAGEMENT SERVICES	S	B	7	N	N	1		14,829	0	0	14,829	11/30/2020	O	11/30/2021	
4500326268	NYS INDUSTRIES FOR THE DISABLED INC 11 COLUMBIA CIR ALBANY, NY 12203-5156 US	CLEANING SERVICES	S	B	7	N	N	1		15,236	0	0	15,236	11/30/2020	O	11/30/2021	
4500326310	AUTOMOTIVE RENTALS INC 40001 LEADENHALL RD MOUNT LAUREL, NJ 08054-4611 US	FLEET MAINTENANCE SERVICES	S	B	7	F	N	1		160,000	0	0	160,000	12/31/2020	O	12/31/2021	

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4500326376	CLARKSON UNIVERSITY 8 CLARKSON AVE POTSDAM, NY 13699 US	ICE JAM MODELING	A	2	3	N	N	1		491,493	0	0	491,493	12/2/2020	O	12/31/2022	
4500326379	AMERICAN GOVERNOR CO 27 RICHARD RD IVYLAND, PA 18974-1512 US	GENERATOR COMPONENT PARTS	E	B	5	F	N	1		25,818	0	0	25,818	12/3/2020	O	3/5/2021	
4500326388	SYSTEM IMPROVEMENTS INC 238 S PETERS RD - STE 301 KNOXVILLE, TN 37923-5224 US	MAINTENANCE - TAPROOT	S	1	5	F	N	1		7,589	0	0	7,589	12/1/2020	O	11/30/2021	
4500326436	TECHNICAL BUILDING SERVICES INC 12 E COMMERCE DR BALLSTON SPA, NY 12020 US	BUILDING AUTOMATION SYSTEM SERVICES	S	1	8	N	N	1		200,000	0	0	200,000	12/4/2020	O	1/31/2023	
4500326440	SOUTHERN STATES LLC 30 GEORGIA AVE HAMPTON, GA 30228-2950 US	SWITCHGEAR, JAW ASSEMBLY	E	B	5	F	N	3		6,420	0	0	6,420	12/4/2020	O	1/5/2021	
4500326453	GRAYBAR ELECTRIC CO INC 229 CHURCH ST ALBANY, NY 12202-1060 US	SOFTWARE RENEWAL	I	2	6	N	N	1		7,166	0	0	7,166	12/5/2020	O	1/1/2021	
4500326460	GRAYBAR ELECTRIC CO INC 6605 DEERE RD SYRACUSE, NY 13206-1325 US	LSD ENCLOSURE UPGRADES	E	B	5	N	N	6		31,496	0	0	31,496	12/7/2020	O	1/13/2021	
4500326482	ADIRONDACK ENERGY PRODUCTS INC ADIRONDACK PROPANE 17 JUNCTION RD MALONE, NY 12953-4217 US	FUEL	E	B	7	N	01	1		10,647	8,856	8,856	1,791	12/7/2020	C		12/21/2020
4500326502	APPLIED INSPECTION SERVICES INC 153 WALES AVE TONAWANDA, NY 14150-2507 US	NDE SERVICES	S	B		N	N	6		132,104	0	0	132,104	12/10/2020	O	4/1/2021	
4500326514	GEA NORTH AMERICA INC GEA SYSTEMS NORTH AMERICA 9165 RUMSEY RD COLUMBIA, MD 21045-1928 US	SOFTWARE UPGRADE - MICROSOFT	I	1	8	F	N	1		164,721	0	0	164,721	12/8/2020	O	6/4/2021	
4500326526	AVIATION POWER & MARINE LLC 1811 CORPORATE DR BOYNTON BEACH, FL 33426-9086 US	CHECK VALVE	E	B	5	F	N	4	*	5,871	5,883	5,883	0	12/8/2020	C		12/15/2020
4500326527	COMMUNICATIONS TRAINING ANALYSIS CORPORATION 3120 FAIRVIEW PARK DR STE 600 FALLS CHURCH, VA 22042-4571 US	AMAZON WEB SERVICES	S	B	7	F	N	1		55,000	26,278	26,278	28,722	12/11/2020	C		12/31/2020
4500326541	ABB INC EXCITER 23000 HARVARD RD CLEVELAND, OH 44122-7234 US	FURNISH DELIVER INSTALL EXCITER CONTROLS	E	B		F	N	3		1,834,670	0	0	1,834,670	12/14/2020	O	12/31/2022	
4500326543	CALL-A-HEAD CORP 304 CROSSBAY BLVD BROAD CHANNEL, NY 11693 US	RENTAL AND MAINTENANCE OF PORTABLE BATHROOMS AND WASH STATIONS	E	2	5	N	N	1	*	55,000	51,608	51,608	3,392	12/8/2020	O	2/26/2021	

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4500326545	WASHINGTON COMPUTER SERVICES 225 W 35 ST FL 17 NEW YORK, NY 10001-1991 US	APC EQUIPMENT FOR CLOSET NETWORK UPGRADE	H	B	7	F	N	5		45,237	0	0	45,237	12/21/2020	O	3/1/2021	
4500326546	MIRACLE SOFTWARE SYSTEMS INC 45625 GRAND RIVER AVE NOVI, MI 48374-1309 US	SOFTWARE LICENSE - IBM MAXIMO FOR TRANSPORTATION	I	B	7	F	N	2		18,459	18,459	18,459	0	12/14/2020	O	12/13/2021	
4500326552	TEMP-PRESS INC 30 HYTEC CIRCLE ROCHESTER, NY 14606 US	100 TON PRESS	E	B	5	N	N	1		11,861	0	0	11,861	12/9/2020	O	1/4/2021	
4500326565	ST LAWRENCE VALLEY CONCRETE LLC 1600 STATE ROUTE 11 BRUSHTON, NY 12916-4305 US	REINFORCED CONCRETE ANCHORS	E	B	5	N	N	2		11,375	0	0	11,375	12/9/2020	C		12/9/2020
4500326579	JOHNSON CONTROLS INC 507 E MICHIGAN ST - MAILSTOP M-16 MILWAUKEE, WI 53202-5211 US	PROVIDE, INSTALL AND COMMISSION OF SECURITY EQUIPMENT FOR NGN CONTROLS PROJECT	E	B	7	N	N	1		66,118	0	0	66,118	12/15/2020	O	12/14/2021	
4500326590	FIRST ENVIRONMENT INC 91 FULTON ST - STE 1 BOONTON, NJ 07005-1942 US	CLIMATE REGISTRY VERIFICATION	P	M	8	N	02	1		104,000	0	0	104,000	12/9/2020	O	12/10/2025	
4500326627	SIEMENS INDUSTRY INC 10900 WAYZATA BLVD - STE 400 MINNETONKA, MN 55305-5602 US	SIEMENS SPECTRUM RENEWAL	R	2	8	N	N	1		575,098	0	0	575,098	12/10/2020	O	12/9/2021	
4500326635	HEWLETT PACKARD ENTERPRISE CO 3000 HANOVER ST PALO ALTO, CA 94304-1185 US	FOUNDATION CARE RENEWAL	R	2	5	N	N	1		49,039	0	0	49,039	12/10/2020	O	12/9/2021	
4500326639	GOTHAM GOVERNMENT SOLUTIONS LLC 1 PARAGON DR STE 200 MONTVALE, NJ 07645-1728 US	MAINTENANCE - VARONIS	S	B	7	N	N	1		45,604	0	0	45,604	12/31/2020	O	12/30/2021	
4500326641	JOHNSON CONTROLS FIRE PROTECTION LP DBA FOR TYCO FIRE & SECUITY MGMT IN 6850 MAIN ST - STE 3 WILLIAMSVILLE, NY 14221 US	FIRE SYSTEM RISER REPAIR	P	B	7	N	N	1		25,811	0	0	25,811	12/11/2020	O	3/5/2021	
4500326657	CANON SOLUTIONS AMERICA INC 255 WASHINGTON AVE EXT - STE 107 ALBANY, NY 12205 US	CANON COLORWAVE PLOTTER	E	C	5	N	N	1		30,921	0	0	30,921	12/11/2020	C		12/30/2020
4500326678	EAGLE BURGMANN INDUSTRIES LP 10035 BROOKRIVER DR HOUSTON, TX 77040 US	EAGLE BURGMANN DRAIN BELLOWS	E	B	5	F	N	1		35,056	0	0	35,056	12/14/2020	O	5/7/2021	
4500326691	AMETEK POWER INSTRUMENTS 255 N UNION ST ROCHESTER, NY 14605-2644 US	JEMSTAR METERS	E	B	5	N	N	2		46,104	0	0	46,104	12/14/2020	O	4/1/2021	

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4500326722	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	NY SUN WORKS - IS383 GREENHOUSE PROJECT LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	8,500	0	12/15/2020	O	6/30/2021	
4500326730	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	NY SUN WORKS - PS122 GREENHOUSE PROJECT LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	8,500	0	12/15/2020	O	6/30/2021	
4500326731	THYSSEN ELEVATOR CO 6067 CORPORATE DR EAST SYRACUSE, NY 13057-1082 US	ELEVATOR REPAIRS	S	B	7	N	N	1		7,080	0	0	7,080	12/15/2020	O	2/28/2021	
4500326732	CARRIER NORTHEAST INC 1401 ERIE BLVD E SYRACUSE, NY 13210 US	NQ INDUSTRIES FILTER AND BULB RFQ	E	B	6	N	N	3		20,274	0	0	20,274	12/15/2020	O	1/5/2021	
4500326735	BOLTTECH MANNINGS INC 311 W MAIN ST ROCKAWAY, NJ 07866-3317 US	HEAT TREATMENT SERVICES FOR RM04 TURBINE BLADES	S	B		N	N	2		420,138	0	0	420,138	12/15/2020	O	4/30/2021	
4500326736	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	NY SUN WORKS - PS297 GREENHOUSE PROJECT LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	8,500	0	12/15/2020	O	6/30/2021	
4500326739	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	NY SUN WORKS - EAGLE ACADEMY FOR YOUNG MEN OF HARLEM GREEN LAB AND HYDROPONIC CLASS	P	B	7	N	N	1		8,500	8,500	8,500	0	12/15/2020	O	6/30/2021	
4500326746	SS & C TECHNOLOGIES INC 80 LAMBERTON RD - STE 7 WINDSOR, CT 06095-2150 US	DBC FINANCE RENEWAL	S	1	6	N	N	1		13,635	13,635	13,635	0	12/17/2020	O	12/16/2021	
4500326752	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	NY SUN WORKS - PS21 GREENHOUSE PROJECT LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	8,500	0	12/15/2020	O	6/30/2021	
4500326754	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	NY SUN WORKS - PS126 GREENHOUSE PROJECT LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	8,500	0	12/15/2020	O	6/30/2021	
4500326756	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	NY SUN WORKS - K373 GREENHOUSE PROJECT LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	8,500	0	12/15/2020	O	6/30/2021	
4500326757	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	NY SUN WORKS - EDWARD R. MURROW HS GREENHOUSE PROJECT LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	8,500	0	12/15/2020	O	6/30/2021	
4500326761	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	NY SUN WORKS - PS84 GREENHOUSE PROJECT LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	8,500	0	12/15/2020	O	6/30/2021	
4500326770	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	NY SUN WORKS - HYBRIDGE GREEN SCHOOL GREENHOUSE PROJECT LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	8,500	0	12/15/2020	O	6/30/2021	
4500326771	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	NY SUN WORKS - PS85Q GREENHOUSE PROJECT LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	8,500	0	12/15/2020	O	6/30/2021	
4500326772	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	NY SUN WORKS - PS84 GREENHOUSE PROJECT LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	8,500	0	12/15/2020	O	6/30/2021	

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4500326773	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	NY SUN WORKS - K527 GREENHOUSE PROJECT LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	8,500	0	12/15/2020	O	6/30/2021	
4500326774	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	NY SUN WORKS -PS59 (K059) GREENHOUSE PROJECT LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	8,500	0	12/15/2020	O	6/30/2021	
4500326775	NEW YORK SUN WORKS INC 157 COLUMBUS AVE FL 4 NEW YORK, NY 10023-6083 US	NY SUN WORKS - K157 GREENHOUSE PROJECT LAB AND HYDROPONIC CLASSROOM	P	B	7	N	N	1		8,500	8,500	8,500	0	12/15/2020	O	6/30/2021	
4500326818	ROSS VALVE MANUFACTURING CO INC 79 102ND ST TROY, NY 12180-1125 US	VALVES AND GASKET	E	B	5	N	N	3		16,320	0	0	16,320	12/16/2020	O	2/10/2021	
4500326820	RICH'S CUSTOM COVERS & CANVAS INC 3145 MILITARY RD NIAGARA FALLS, NY 14304 US	HOIST AND HEADGATE COVER	E	B	5	N	N	1		7,600	0	0	7,600	12/16/2020	O	3/13/2021	
4500326836	MILLER ENERGY INC DBA FOR H M MILLER SALES CO 3200 S CLINTON AVE SOUTH PLAINFIELD, NJ 07080-1424 US	ORION ATLAS MAGNETIC LEVEL INDICATOR	E	B	5	F	N	3		7,408	3,704	3,704	3,704	12/17/2020	O	3/31/2021	
4500326850	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	RACK SERVER	E	B	5	F	04	1		5,903	0	0	5,903	12/17/2020	O	2/28/2021	
4500326859	THREE GALS INDUSTRIAL LLC PO BOX 177 OYSTER BAY, NY 11771-0177 US	STARETT INDICATOR	E	B	5	N	03	1		10,523	0	0	10,523	12/17/2020	C		12/23/2020
4500326871	SIEWERT EQUIPMENT DIV OF CUMMINS-WAGNER-SIEWERT LLC 175 AKRON ST ROCHESTER, NY 14609-7297 US	LAG PUMP	E	B	5	N	N	2		10,275	0	0	10,275	12/18/2020	O	3/4/2021	
4500326880	BC CLEANING DBA FOR BOGASIAN CARPET CO INC 70 WILLOW ST MASSENA, NY 13662-1576 US	CARPET RENTAL SERVICE	E	B	6	N	01	2		16,000	0	0	16,000	12/18/2020	O	12/31/2021	
4500326887	AMERICAN GOVERNOR CO 27 RICHARD RD IVYLAND, PA 18974-1512 US	SPARE PUMP REFURBISHMENT	E	2	5	F	N	1		29,030	0	0	29,030	12/18/2020	O	3/8/2021	
4500326896	GATO FLOORING LLC HELENA SOFIA FERRIERA VALE DE GATO 839 BROAD ST STE 2 UTICA, NY 13501-1401 US	CARPET INSTALL	P	B	5	N	N	2		17,564	0	0	17,564	12/18/2020	O	6/13/2021	
4500326899	IBM CORP FORMERLY STERLING COMMERCE CVG NORTH CASTLE DR ARMONK, NY 10504 US	LIGHT AND POWER RENEWAL	R	B	7	N	N	1		72,995	0	0	72,995	12/18/2020	O	12/17/2021	

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4500326907	PDS CONSULTANTS INC KORRECT OPTICAL 22 RAINBOW TRL SPARTA, NJ 07871-1723 US	GLASSES,SAFETY,PRESCRIPTION	E	B	5	F	N	2		14,000	0	0	14,000	12/18/2020	O	12/31/2021	
4500326911	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	ACRONIS CYBER BACKUP	I	B	5	N	04	1		28,863	0	0	28,863	12/20/2020	O	3/4/2021	
4500326914	REGIMENT TECHNOLOGY GROUP LLC 81 PONDFIELD RD - STE D279 BRONXVILLE, NY 10708-3818 US	MAINTENANCE - NASTEL AUTOPILOT	E	M		N	02	1		114,404	0	0	114,404	9/30/2020	O	9/29/2023	
4500326929	ACME INDUSTRIAL INC 326-328 FRONT ST STATEN ISLAND, NY 10304 US	NASH PUMP	E	B	5	N	01	2		41,081	0	0	41,081	12/21/2020	O	4/3/2021	
4500326931	MX PETROLEUM CORP PO BOX 638 MASSENA, NY 13662 US	FUEL	E	B	7	N	01	1		10,813	6,418	6,418	4,395	12/21/2020	C		12/21/2020
4500326968	HOHL INDUSTRIAL SERVICES INC 770 RIVERVIEW BLVD TONAWANDA, NY 14150-7880 US	INSTALLATION OF POSITIVE RESTRAINT BARRIER	C	B		N	01	2		7,808,340	0	0	7,808,340	12/29/2020	O	12/28/2023	
4500326972	SOURCE IT TECHNOLOGIES LLC KARA HOMAN 24 EAST AVE - STE 244 NEW CANAAN, CT 06840-5529 US	BITSIGHT CYBER SECURITY SERVICES	S	M	5	N	03	1		32,260	32,260	32,260	0	12/29/2020	O	10/10/2021	
4500326979	AERODERIVATIVE GAS TURBINE SUPPORT INC 1141 S ROGERS CIR - STE 11 BOCA RATON, FL 33487-2789 US	RUFFNECK HEATERS	E	B	5	F	N	2		8,750	0	0	8,750	12/22/2020	O	4/1/2021	
4500327036	CITY ELECTRIC COMPANY DBA FOR COOPERFRIEDMAN ELECTRIC SUP 450 TRACY ST SYRACUSE, NY 13204-2435 US	CABLE	E	B		N	N	3		236,200	0	0	236,200	12/23/2020	O	2/20/2021	
4500327038	MICRO MOTION INC 7070 WINCHESTER CIRCLE BOULDER, CO 80301-3501 US	FLOW METER	E	B	5	F	N	2		10,249	0	0	10,249	12/23/2020	O	4/1/2021	
4500327046	THE RESEARCH FOUNDATION ON BEHALF O STATE UNIVERSITY OF NEW YORK 750 E ADAMS ST SYRACUSE, NY 13210-2306 US	COVID TEST KITS	E	2	5	N	N	1		15,000	0	0	15,000	12/24/2020	O	4/1/2021	
4500327059	DEJANA TRUCK & UTILITY EQUIPMENT COMPANY LLC 490 PULASKI RD KINGS PARK, NY 11754-1317 US	FISHER SPREADER	E	B	6	N	N	3		7,164	0	0	7,164	12/28/2020	O	1/15/2021	
4500327075	SIEMENS INDUSTRY INC 10900 WAYZATA BLVD - STE 400 MINNETONKA, MN 55305-5602 US	POWER TG RENEWAL	R	2	8	N	N	1		474,475	0	0	474,475	12/28/2020	O	12/27/2021	

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4500327078	VALVE INDUSTRIES INC 4 SLATE CT - APT D-2 WOODLAND PARK, NJ 07424-4247 US	VALVE POSITIONER	E	B	5	F	N	3		9,000	0	0	9,000	12/28/2020	O	4/1/2021	
4500327080	EL ELECTRONICS LLC 1800 SHAMES DR WESTBURY, NY 11590-1730 US	NEXUS METERS	E	B	5	N	N	2		27,389	0	0	27,389	12/28/2020	O	1/15/2021	
4500327081	CDW COMPUTER CENTER INC CDW GOV'T SALES 200/230 N MILWAUKEE AVE VERNON HILLS, IL 60061 US	NETWORK SWITCHES	E	B	5	F	N	2		22,428	0	0	22,428	12/28/2020	O	4/1/2021	
4500327089	HATCH ASSOCIATES CONSULTANTS INC 100 SYLVAN PKWY AMHERST, NY 14228-1146 US	MAINTENANCE - VISTA DSS	I	1	5	N	N	1		25,600	0	0	25,600	12/29/2020	O	8/31/2021	
4500327091	MILLER ENERGY INC DBA FOR H M MILLER SALES CO 3200 S CLINTON AVE SOUTH PLAINFIELD, NJ 07080-1424 US	ORION ATLAS MAGNETIC LEVEL INDICATOR	E	C	5	F	N	4		15,471	7,735	7,735	7,736	12/29/2020	O	2/26/2021	
4500327122	DUMAIS CONSULTING LLC PAUL A DUMAIS 744 CRISFIELD WAY ANNAPOLIS, MD 21401-4575 US	NYPA'S TRANSMISSION FORMULA RATE	P	2	9	F	N	1		250,000	0	0	250,000	12/7/2020	O	12/6/2021	
4500327127	THE RESEARCH FOUNDATION ON BEHALF O STATE UNIVERSITY OF NEW YORK 750 E ADAMS ST SYRACUSE, NY 13210-2306 US	COVID 19 SALIVA TEST KITS	E	2	5	N	N	1		30,000	0	0	30,000	12/30/2020	O	4/1/2021	
4500327128	ABB ENTERPRISE SOFTWARE INC STE 500 400 PERIMETER CENTER TER NE ATLANTA, GA 30346-1231 US	CIRCUIT BREAKERS	E	B		F	N	1		2,704,946	0	0	2,704,946	12/30/2020	O	12/29/2024	
4500327217	AMERICAN PETROLEUM EQUIPMENT & CONS 63 ORANGE AVE WALDEN, NY 12586-1816 US	GENERATOR TANK AND PUMP SYSTEMS REPAIR AT WPO	S	2	5	N	N	1		50,000	0	0	50,000	12/5/2020	O	12/4/2021	
4500327250	MIRACLE SOFTWARE SYSTEMS INC 45625 GRAND RIVER AVE NOVI, MI 48374-1309 US	MAINTENANCE - IBM	S	B	7	N	N	2		182,744	0	0	182,744	9/30/2020	O	12/31/2021	
4500327348	MIRACLE SOFTWARE SYSTEMS INC 45625 GRAND RIVER AVE NOVI, MI 48374-1309 US	MAINTENANCE - IBM	S	B	7	N	N	2		851,488	0	0	851,488	10/1/2020	O	12/31/2021	
4500327789	POWERRUNNER LLC 145 SOUTH RD BRENTWOOD, NH 03833-6301 US	MAINTENANCE - POWERRUNNER	S	1	6	N	N	1		46,313	0	0	46,313	12/1/2020	O	8/31/2021	
4500328010	APPRAISAL ECONOMICS INC 140 E RIDGEWOOD AVE STE 580N PARAMUS, NJ 07652-3917 US	TRANSMISSION LINE APPRAISAL	P	2	9	F	N	1		145,000	0	0	145,000	12/10/2020	O	6/30/2021	

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4500328101	B2GNOW DBA FOR ASKREPLY INC 725 W MCDOWELL RD PHOENIX, AZ 85007-1727 US	B2GNOW SERVICES	S	1	6	N	N	1		8,484	0	0	8,484	1/1/2020	C		12/31/2020
4500328156	SHOP ARCHITECTS LLP 233 BROADWAY FL 11 NEW YORK, NY 10279-1199 US	ARCHITECT DESIGN SERVICES	P	C	9	N	N	3		427,167	0	0	427,167	10/5/2020	O	10/4/2025	
4500328507	S & P GLOBAL MARKET INTELL INC S & P GLOBAL MARKET INTELL LLC 55 WATER ST NEW YORK, NY 10041-0004 US	POWER FORECASTING SUBSCRIPTION	S	1	6	N	N	1		22,720	0	0	22,720	12/29/2020	O	12/28/2021	
4500328646	VERTIV CORPORATION C/O RL KISTLER 1050 DEARBORN DR COLUMBUS, OH 43085-1544 US	ANNUAL UNINTERRUPTIBLE POWER SYSTEM (UPS)/ BATTERIES MAINTENANCE	S	1	6	N	N	1		22,550	0	0	22,550	12/28/2020	O	12/27/2021	
4600001946	RCM TECHNOLOGIES INC FACILITIES DESIGN & CONSTRUCTION 2500 MCCLELLAN AVE - STE 350 PENNSAUKEN, NJ 08109-4617 US	PROGRAM MANAGEMENT AND IMPLEMENTATION SERVICES - SOUTHEAST NEW YORK ENERGY SERVICES PROGRAM	C	B		N	N	6		195,000,000	140,033,055	8,648,200	54,966,945	6/1/2008	C		12/31/2020
4600002315	MITSUBISHI POWER AMERICAS INC 645 MARTINSVILLE RD BASKING RIDGE, NJ 07920-4701 US	LPGP LEM -PUMP TURBINE UPGRADE, ACCESSORY REPLACEMENT AND UNIT OVERHAUL	C	B		F	N	6		154,699,310	138,665,759	6,402,586	16,033,551	7/30/2010	O	12/31/2022	
4600002316	HOHL INDUSTRIAL SERVICES INC 770 RIVERVIEW BLVD TONAWANDA, NY 14150-7880 US	INTAKE GATES AND DRAFT TUBE GATES REFURBISHMENT	S	B		N	01	7		15,727,342	13,174,919	544,017	2,552,423	7/28/2010	O	12/30/2023	
4600002436	EATON CORP 690 RAHWAY AVE UNION, NJ 07083-6632 US	CONTROL SYSTEM INTEGRATION	E	B		F	N	5		13,222,139	12,685,208	0	536,931	9/27/2011	O	12/31/2022	
4600002500	FERGUSON ELECTRIC CONSTRUCTION CO INC 333 ELLICOTT ST BUFFALO, NY 14203-1618 US	DESIGN, FURNISH, DELIVER AND INSTALL THE ISO PHASE BUS AND PHASE REVERSAL SWITCH AT THE LEWISTON PUMP GENERATING PLANT	C	B		N	N	4		1,606,385	1,571,985	6,800	34,400	3/27/2012	O	12/31/2022	
4600002506	ULTRA ELECTRONICS OCEAN SYSTEMS 115 BAY STATE DR BRAINTREE, MA 02184-5203 US	INSTALLATION, MAINTENANCE, AND REMOVAL OF THE FISH DETERRENT SYSTEMS	S	B		N	N	1		1,350,025	935,405	109,560	414,620	5/1/2012	O	5/31/2022	
4600002534	ANDRITZ HYDRO CORP 10735 DAVID TAYLOR DR - STE 500 CHARLOTTE, NC 28262-1289 US	MOTOR GENERATOR UPGRADE	C	B		F	N	5		86,729,986	56,652,178	5,876,681	30,077,808	7/1/2012	O	12/31/2022	
4600002547	VOITH HYDRO INC 760 E BERLIN RD YORK, PA 17408-8701 US	SERVOMOTORS	E	B		F	N	2		6,117,165	6,020,845	0	96,320	7/2/2012	O	7/31/2021	

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4600002632	GUTH DECONZO CONSULTING ENGINEERS PC 242 W 30TH ST - 3RD FL NEW YORK, NY 10001-4903 US	IMPLEMENTATION SERVICES	C	B		N	N	30		59,517,181	28,302,233	7,168,442	31,214,948	3/1/2013	O	12/31/2023	
4600002635	CDM CONSTRUCTORS INC 60 CROSSWAYS PARK W - STE 340 WOODBURY, NY 11797-2018 US	IMPLEMENTATION SERVICES	C	B		N	N	30		192,000,000	121,965,093	19,135,017	70,034,907	3/1/2013	O	12/31/2023	
4600002639	SOURCEONE INC 370 7TH AVE - STE 704 NEW YORK, NY 10001-0013 US	IMPLEMENTATION SERVICES	C	B		N	N	30		38,000,000	8,915,940	1,609,734	29,084,060	3/1/2013	O	12/31/2022	
4600002642	SAVIN ENGINEERS PC 3 CAMPUS DR PLEASANTVILLE, NY 10570-1602 US	IMPLEMENTATION SERVICES	C	B		N	N	30		155,000,000	27,795,344	17,137,393	127,204,656	3/1/2013	O	12/31/2022	
4600002646	ECOSYSTEM/LIRO ENERGY GROUP II JOINT VENTURE 3 AERIAL WAY SYOSSET, NY 11791-5501 US	IMPLEMENTATION SERVICES	C	B		N	N	30		255,500,000	188,979,542	31,834,522	66,520,458	3/1/2013	O	12/31/2023	
4600002655	MALCOLM PIRNIE A SUB SIDIARY OF ARCADIS US INC 44 S BROADWAY - FL 15 WHITE PLAINS, NY 10601-4411 US	IMPLEMENTATION SERVICES	C	B		N	N	30		128,000,000	81,313,666	11,879,343	46,686,334	3/1/2013	O	12/31/2022	
4600002666	SIEMENS ENERGY INC 85 JOHN RD - UNIT 1 CANTON, MA 02021-2826 US	OPERATING PLANT SERVICE AGREEMENT	M	B		N	N	1		60,000,000	37,057,091	12,445,884	22,942,909	4/1/2013	O	12/31/2023	
4600002706	MID-ISLAND ELECTRICAL SUPPLY DBA FOR MIE-TH HOLDINGS LLC 700 CORPORATE BLVD NEWBURGH, NY 12550-6416 US	FURNISH AND DELIVER FLUORESCENT AND LED LIGHTING EQUIPMENT FOR MTA PROJECTS	E	B		N	N	5		1,315,856	1,065,317	0	250,539	7/14/2016	C		12/3/2020
4600002719	AIRTEK ENVIRONMENTAL CORP 39-37 29TH ST LONG ISLAND CITY, NY 11101 US	ASBESTOS AND LEAD PLANNING SERVICES	P	B	8	N	N	18		1,000,000	113,591	6,986	886,409	8/1/2013	C		8/6/2020
4600002734	DOBLE ENGINEERING CORP 123 FELTON ST MARLBOROUGH, MA 01752 US	ANALYTICAL TESTING SERVICES AND DOBLE EQUIPMENT RENTAL	E	B		F	N	2		1,900,000	1,500,084	195,166	399,916	11/1/2013	O	4/30/2021	
4600002769	MRP ELECTRICAL PRODUCTS LLC 3 ESSEX SQ ESSEX, CT 06426-1113 US	FURNISH AND DELIVER OCCUPANCY SENSORS AND DAYLIGHT CONTROL DEVICES FOR PROJECTS	E	B		N	03	3		500,000	34,451	0	465,549	4/1/2014	O	3/30/2022	
4600002770	ENERGY CONSERVATION & SUPPLY 55 WASHINGTON ST STE 324 BROOKLYN, NY 11201-1070 US	FURNISH AND DELIVER OCCUPANCY SENSORS AND DAYLIGHT CONTROL DEVICES FOR THE AUTHORITY'S HELP PROGRAM	E	B		N	N	3		500,000	254,284	2,958	245,716	4/1/2014	O	3/30/2022	

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4600002788	FERGUSON ELECTRIC CONSTRUCTION CO INC 333 ELLICOTT ST BUFFALO, NY 14203-1618 US	INSTALLATION OF AUXILIARY EQUIPMENT	C	B		N	N	1		20,262,161	16,294,534	3,529,985	3,967,627	2/27/2014	O	12/31/2022	
4600002790	TIME WARNER CABLE INC 20 CENTURY HILL DR LATHAM, NY 12110-2116 US	TIME WARNER CABLE FIBER OPTIC INSTALLATION	S	B	7	N	N	1		6,500,000	2,019,601	734	4,480,399	7/1/2014	O	6/30/2024	
4600002801	ALLSTATE POWER VAC INC DBA EQ INDUSTRIAL SERVICES 928 E HAZELWOOD AVE RAHWAY, NJ 07065-5634 US	ON-CALL EMERGENCY SPILL RESPONSE, CLEAN-UP AND DISPOSAL SERVICES	S	B		N	N	7		250,000	0	0	250,000	7/1/2014	C		2/29/2020
4600002805	ENVIRONMENTAL PRODUCTS & SERVICES OF VERMONT INC 40 HAMILTON LN GLENMONT, NY 12077-4837 US	ON-CALL EMERGENCY SPILL RESPONSE, CLEAN-UP AND DISPOSAL SERVICES	S	B		N	N	7		250,000	0	0	250,000	7/1/2014	C		2/29/2020
4600002806	NATIONAL VACUUM ENVIRONMENTAL SERVICES CORP 6389 INDUCON DR W SANBORN, NY 14132-9018 US	ON-CALL EMERGENCY SPILL RESPONSE, CLEAN-UP AND DISPOSAL SERVICES	S	B		N	N	7		300,000	17,335	0	282,665	7/1/2014	C		2/29/2020
4600002807	MILLER ENVIRONMENTAL GROUP INC 538 EDWARDS AVE CALVERTON, NY 11933-1636 US	ON-CALL EMERGENCY SPILL RESPONSE, CLEAN-UP AND DISPOSAL SERVICES	S	B		N	N	7		13,000,000	44,724	7,316	12,955,276	7/1/2014	C		2/29/2020
4600002808	WRS ENVIRONMENTAL SERVICES INC 17 OLD DOCK RD YAPHANK, NY 11980-9702 US	ON-CALL EMERGENCY SPILL RESPONSE, CLEAN-UP AND DISPOSAL SERVICES	S	B		N	N	7		250,000	71,535	0	178,465	7/1/2014	C		2/29/2020
4600002811	OP-TECH ENVIRONMENTAL SERVICES INC NRC ENVIRONMENTAL SERVICES 1 ADLER DR EAST SYRACUSE, NY 13057-1223 US	ON-CALL EMERGENCY SPILL RESPONSE, CLEAN-UP AND DISPOSAL SERVICES	S	B		N	N	7		304,534	303,057	0	1,477	8/1/2014	C		2/29/2020
4600002859	PRES SERVICES LLC PRES ENERGY 95 STARK ST TONAWANDA, NY 14150-1210 US	STATEWIDE ENERGY EFFICIENCY PROGRAM	C	B		N	N	31		80,000,000	60,919,894	9,315,373	19,080,106	10/15/2014	O	10/14/2023	
4600002864	MICHAEL BELLANTONI INC 121 LAFAYETTE AVE WHITE PLAINS, NY 10603-1602 US	SNOW REMOVAL	S	B		N	N	4		550,000	287,939	17,010	262,061	11/10/2014	O	1/31/2021	
4600002866	NIAGARA COATINGS SERVICES INC 8025 QUARRY RD NIAGARA FALLS, NY 14304 US	LPGP LEM HIGH PERFORMANCE COATING PROJECT	C	B		N	N	2		1,314,969	997,820	133,173	317,149	11/13/2014	O	12/31/2022	
4600002882	GUTH DECONZO CONSULTING ENGINEERS PC 242 W 30TH ST - 3RD FL NEW YORK, NY 10001-4903 US	STATEWIDE ENERGY EFFICIENCY PROGRAM	C	B		N	N	31		116,926,455	100,493,879	12,008,905	16,432,576	10/15/2014	O	10/14/2023	

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4600002899	HO PENN MACHINERY CO INC 122 NOXON RD POUGHKEEPSIE, NY 12603-2940 US	DIESEL GENERATORS INSPECTION, MAINTENANCE AND REPAIRS	S	2	8	N	N	1		250,000	158,611	0	91,389	1/19/2015	C		1/18/2020
4600002910	EVOQUA WATER TECHNOLOGIES LLC DBA FOR EWT HOLDINGS III CORP 95 LOWER MORRISVILLE RD FALLSINGTON, PA 19054-1403 US	DEMINERALIZED WATER TRAILERS	E	B		F	N	2		10,000,000	4,143,845	289,504	5,856,155	2/1/2015	C		2/7/2020
4600002911	ACME INDUSTRIAL INC 326-328 FRONT ST STATEN ISLAND, NY 10304 US	ON-CALL GENERAL MAINTENANCE SERVICES	S	B		N	01	2		4,000,000	3,962,967	149,768	37,033	3/2/2015	C		3/1/2020
4600002912	BOILERMATIC WELDING INDUSTRIES INC 17 PECONIC AVE MEDFORD, NY 11763-3201 US	ON-CALL GENERAL MAINTENANCE SERVICES	S	B		N	N	2		1,000,000	0	0	1,000,000	3/2/2015	C		3/1/2020
4600002919	ENSIGN ENGINEERING PC 1111 CALHOUN AVE BRONX, NY 10465-1800 US	ENGINEERING SERVICES	A	B	8	N	03	9		525,000	366,593	19,337	158,407	2/2/2015	C		12/31/2020
4600002922	GOMEZ AND SULLIVAN ENGINEERS DPC 288 GENESEE ST UTICA, NY 13502 US	FERC PART 12 SAFETY INSPECTION	P	B		N	N	3		300,000	228,638	50,252	71,362	3/13/2015	C		3/12/2020
4600002927	EPS TECHNOLOGY INC 29 N PLAINS INDUSTRIAL HWY - STE 12 WALLINGFORD, CT 06492-5838 US	SWITCHYARD REPAIR AND MAINTENANCE	S	B		F	N	2		5,000,000	0	0	5,000,000	4/1/2015	C		3/31/2020
4600002932	TCI OF NY LLC PO BOX 936 COEYMANS, NY 12045-0936 US	DISPOSAL OF OIL FILLED ELECTRICAL EQUIPMENT	S	B		N	01	6		1,250,293	1,185,756	13,775	64,537	1/1/2016	C		3/31/2020
4600002934	WENDEL ENERGY SERVICES LLC 375 ESSJAY RD - STE 200 WILLIAMSVILLE, NY 14221-5761 US	AUDIT, DESIGN AND TURNKEY SERVICES	S	B		N	N	31		102,000,000	76,090,318	12,487,543	25,909,682	4/6/2015	O	10/14/2023	
4600002935	HOLLAND & KNIGHT LLP 31 W 52ND ST - 11TH FL NEW YORK, NY 10019-6111 US	LEGAL COUNSEL-GENERAL LEGAL SERVICES	L	B		N	N	22		541,326	327,138	96,616	214,188	5/26/2015	C		8/25/2020
4600002936	THE VALLEY GROUP INC 3A TROWBRIDGE DR BETHEL, CT 06801-2858 US	MAINTENANCE - DYNAMIC LINE RATING SYSTEMS	P	1	8	F	N	1		5,000	0	0	5,000	4/6/2015	C		3/31/2020
4600002937	EDM INTERNATIONAL INC 4001 AUTOMATION WAY FORT COLLINS, CO 80525-3479 US	MAINTENANCE - SAGOMETER CONDUCTORS	P	1	8	N	N	1		141,250	141,250	0	0	4/1/2015	C		3/31/2020
4600002939	MILIEU INC 235 NOTRE-DAME ST LA PRAIRIE, PQ J5R 1M3 CA	OPERATION, MAINTENANCE AND MONITORING OF THE EEL PASSAGE FACILITY	S	B		N	N	2	*	455,922	456,022	14,340	0	4/1/2015	C		3/31/2020
4600002942	MICHAEL BELLANTONI INC 121 LAFAYETTE AVE WHITE PLAINS, NY 10603-1602 US	LAWN AND LANDSCAPING SERVICES	S	B		N	N	4		480,000	264,940	28,840	215,060	4/20/2015	C		12/31/2020

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4600002945	CIRCUIT BREAKER SALES NE INC 79 MAIN ST SEYMOUR, CT 06483-3122 US	BREAKER MAINTENANCE SERVICES	S	B		F	N	3		1,000,000	229,160	63,740	770,840	5/1/2015	C		4/30/2020
4600002946	AMERICAN ELECTRICAL TESTING CO INC 25 FORBES BLVD UNIT 1 FOXBORO, MA 02035-2873 US	SWITCHYARD REPAIR AND MAINTENANCE	S	B		F	N	2		5,000,000	1,812,092	194,608	3,187,908	4/24/2015	O	4/22/2021	
4600002947	HAWKINS DELAFIELD & WOOD LLP 7 WORLD TRADE CENTER NEW YORK, NY 10007-2140 US	BOND, UNDERWRITER AND DISCLOSURE COUNSEL SERVICES	L	B		N	N	12		1,800,000	1,412,948	54,814	387,052	5/26/2015	C		8/25/2020
4600002948	NIXON PEABODY LLP 437 MADISON AVE NEW YORK, NY 10022-7001 US	BOND, UNDERWRITER AND DISCLOSURE COUNSEL SERVICES	L	B		N	N	12		5,000	4,927	0	73	5/26/2015	C		5/25/2020
4600002949	CARTER LEDYARD & MILBURN 2 WALL ST NEW YORK, NY 10005 US	LEGAL COUNSEL-GENERAL LEGAL SERVICES	L	B		N	N	22		367,561	186,949	0	180,612	5/26/2015	C		8/25/2020
4600002950	STINSON LLP 1201 WALNUT ST STE 2900 KANSAS CITY, MO 64106-2178 US	ENERGY LEGAL SERVICES	L	B		F	N	10		124,500	59,332	23,738	65,168	5/26/2015	C		8/25/2020
4600002952	HOLLAND & KNIGHT LLP 31 W 52ND ST - 11TH FL NEW YORK, NY 10019-6111 US	ENERGY LEGAL SERVICES	L	B		N	N	10		7,165,315	6,899,146	1,769,780	266,169	5/26/2015	C		8/25/2020
4600002953	JACKSON LEWIS PC 1 N BROADWAY FL 15 WHITE PLAINS, NY 10601-2310 US	GENERAL LEGAL SERVICES	L	B		N	N	22		718,088	540,410	80,775	177,678	5/26/2015	C		8/25/2020
4600002954	GIBBONS P C 1 GATEWAY CTR - STE 300 NEWARK, NJ 07102-5321 US	GENERAL LEGAL SERVICES	L	B		F	N	22		619,912	479,071	25,333	140,841	4/30/2015	C		8/25/2020
4600002955	NIXON PEABODY LLP 50 JERICHO QUADRANGLE - STE 300 JERICHO, NY 11753-2728 US	GENERAL LEGAL SERVICES	L	B		N	N	22		55,000	18,746	0	36,254	5/26/2015	C		5/25/2020
4600002960	BRYANT RABBINO LLP DELETE IND STE 610 1180 AVENUE OF THE AMERICAS NEW YORK, NY 10036-8407 US	BOND, UNDERWRITER AND DISCLOSURE COUNSEL SERVICES	L	B		N	04	12		199,148	75,669	0	123,479	5/26/2015	C		8/25/2020
4600002966	BOND SCHOENECK & KING PLLC ATTORNEYS AT LAW 1 LINCOLN CENTER SYRACUSE, NY 13202-1355 US	ENERGY LEGAL SERVICES	L	B		N	N	10		5,000	0	0	5,000	5/27/2015	C		5/25/2020
4600002967	PILLSBURY WINTHROP SHAW PITTMAN LLP 1200 17TH ST NW WASHINGTON, DC 20036-3006 US	LEGAL COUNSEL-GENERAL LEGAL SERVICES	L	B		F	N	22		75,000	19,379	147	55,621	5/26/2015	C		5/25/2020
4600002968	ORRICK HERRINGTON & SUTCLIFFE LLP 51 W 52ND ST - FL 12 NEW YORK, NY 10019-6142 US	BOND, UNDERWRITER AND DISCLOSURE COUNSEL SERVICES	L	B		N	N	12		1,513,100	1,476,446	86,558	36,654	5/26/2015	O	1/22/2021	

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4600002972	FRESH MEADOW POWER LLC 6501 FRESH MEADOW LN FRESH MEADOWS, NY 11365-2011 US	ON-CALL GENERAL MAINTENANCE SERVICES	S	B		N	N	3		30,000,000	22,598,167	3,395,816	7,401,833	6/1/2015	O	5/30/2021	
4600002973	BARCLAY DAMON LLP 125 E JEFFERSON ST SYRACUSE, NY 13202-2022 US	ENERGY LEGAL SERVICES	L	B		N	N	10		800,000	799,357	95,368	643	5/26/2015	C		8/26/2020
4600002974	BARCLAY DAMON LLP 125 E JEFFERSON ST SYRACUSE, NY 13202-2022 US	LEGAL COUNSEL-GENERAL LEGAL SERVICES	L	B		N	N	22		5,000	0	0	5,000	5/26/2015	C		5/25/2020
4600002975	BOND SCHOENECK & KING PLLC PO BOX 11607 SYRACUSE, NY 13218-1607 US	LEGAL COUNSEL-GENERAL LEGAL SERVICES	L	B		N	N	22		925,100	707,917	43,847	217,183	5/26/2015	C		8/25/2020
4600002976	BLEAKLEY PLATT & SCHMIDT LLP 1 N LEXINGTON AVE WHITE PLAINS, NY 10601-1712 US	LEGAL COUNSEL-GENERAL LEGAL SERVICES	L	B		N	N	22		200,000	133,231	0	66,769	5/26/2015	C		5/25/2020
4600002978	GRUNAU COMPANY INC 8302 SOUTHERN BLVD BOARDMAN, OH 44512 US	FIRE ALARM, PROTECTION SYSTEM INSPECTION AND MAINTENANCE SERVICES	S	B		F	N	1		3,000,000	1,089,565	116,117	1,910,435	7/15/2015	C		7/14/2020
4600002980	NAVIGANT CONSULTING INC 30 S WACKER DR - STE 3100 CHICAGO, IL 60606-7444 US	PROFESSIONAL SERVICES FOR RELIABILITY STANDARDS AND COMPLIANCE GROUP	P	B		F	N	13		7,298,856	6,781,770	1,365	517,086	7/1/2015	C		6/30/2020
4600002981	DNV GL ENERGY INSIGHTS USA INC 1400 RAVELLO DR KATY, TX 77449-5164 US	PROFESSIONAL SERVICES FOR RELIABILITY STANDARDS AND COMPLIANCE GROUP	P	B		F	N	13		323,168	218,835	14,867	104,333	7/1/2015	C		6/30/2020
4600002982	QUANTA TECHNOLOGY LLC 4020 WESTCHASE BLVD - STE 300 RALEIGH, NC 27607-3960 US	PROFESSIONAL SERVICES FOR RELIABILITY STANDARDS AND COMPLIANCE GROUP	P	B		F	N	13		717,402	702,974	308	14,428	7/1/2015	C		6/30/2020
4600002983	STANDARD SOLAR INC 1355 PICCARD DR - STE 300 ROCKVILLE, MD 20850-4336 US	FURNISH ALL DESIGN SERVICES, LABOR, MATERIAL, AND SUPERVISION TURN-KEY PV SYSTEMS FOR BOTH NEW YORK CITY AND STATEWIDE	E	B		F	N	10		5,000	0	0	5,000	6/15/2015	C		5/19/2020
4600002984	CEMTEK SYSTEMS INC 1750 BRIELLE AVE - STE B2 OCEAN, NJ 07712-3953 US	CONTINUOUS EMISSION MONITORING	S	B		N	N	2		1,875,000	1,435,491	88,824	439,509	4/1/2015	C		3/31/2020
4600002985	TURF-TEC OF WESTERN NEW YORK INC 5096 LOCKPORT RD LOCKPORT, NY 14094-9630 US	LAWN AND MEADOW MAINTENANCE SERVICES	S	B		N	03	4		260,000	252,614	58,852	7,386	7/6/2015	C		11/1/2020
4600002987	ERNST & YOUNG LLP 5 TIMES SQ NEW YORK, NY 10036-6540 US	SAP CONSULTING SERVICES	P	B		N	N	19		17,432,978	17,018,850	166,000	414,128	7/1/2015	C		6/30/2020
4600002988	MONTANTE SOLAR DBA FOR TM MONTANTE SOLAR DEVELOP 2760 KENMORE AVE TONAWANDA, NY 14150-7707 US	FURNISH ALL DESIGN SERVICES, LABOR, MATERIAL, AND SUPERVISION TURN-KEY PV SYSTEMS FOR BOTH NEW YORK CITY AND STATEWIDE	E	B		N	N	10		5,000	0	0	5,000	7/10/2015	C		5/19/2020

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4600002989	AERY LIGHTING SUPPLY 3 WESTCHESTER PLZ STE 177 ELMSFORD, NY 10523-1609 US	FURNISH AND DELIVER LIGHTING EQUIPMENT FOR WESTCHESTER COUNTY - HELP	E	B		N	N	7		2,500,000	0	0	2,500,000	7/15/2015	C		7/14/2020
4600002990	L J GONZER ASSOCIATES 14 COMMERCE DR - STE 305 CRANFORD, NJ 07016 US	ENERGY EFFICIENCY STAFF AUGMENTATION SERVICES	W	B		F	N	6		2,002,000	1,354,915	0	647,085	7/2/2015	C		7/1/2020
4600002991	HILL INTERNATIONAL INC 1 COMMERCE SQ # 17 2005 MARKET ST PHILADELPHIA, PA 19103-1415 US	ENERGY EFFICIENCY STAFF AUGMENTATION SERVICES	W	B		F	N	6		1,500,000	1,158,267	0	341,733	7/2/2015	C		6/30/2020
4600002993	DONIA & ASSOCIATES LLC 128 NEWTON ST APT 6A BROOKLYN, NY 11222-4862 US	ENERGY EFFICIENCY STAFF AUGMENTATION SERVICES	W	B		N	04	6		300,000	0	0	300,000	7/2/2015	C		7/1/2020
4600002994	NPTS INC 2060 SHERIDAN DR BUFFALO, NY 14223-1470 US	ENERGY EFFICIENCY STAFF AUGMENTATION SERVICES	W	B		N	04	6		2,715,000	2,302,139	0	412,861	7/2/2015	C		7/1/2020
4600002995	GRAYBAR ELECTRIC CO INC 229 CHURCH ST ALBANY, NY 12202-1060 US	FURNISH AND DELIVER LIGHTING EQUIPMENT FOR WESTCHESTER COUNTY - HELP	E	B		N	N	7		2,500,000	0	0	2,500,000	7/15/2015	O	7/14/2021	
4600002997	GROM ASSOCIATES INC 1 MAIN ST FLEMINGTON, NJ 08822-1420 US	SAP CONSULTING SERVICES	W	B		F	N	19		577,711	363,116	0	214,595	7/1/2015	C		6/30/2020
4600003007	GOTHAM REFINING CHEMICAL CORP 2374 48TH ST ASTORIA, NY 11103-1014 US	COOLING TOWER CHEMICAL	E	B		N	N	2		500,000	454,529	0	45,471	7/9/2015	C		7/8/2020
4600003008	APPLIED ECOLOGICAL SERVICES INC 17921 W SMITH RD BRODHEAD, WI 53520-9355 US	PROVIDE INVASIVE SPECIES CONTROL TREATMENTS	S	B		N	N	4		72,730	70,065	0	2,665	7/14/2015	C		7/13/2020
4600003011	GREENMAN-PEDERSEN INC 400 RELLA BLVD - STE 207 MONTEBELLO, NY 10901-4256 US	ON-CALL ENGINEERING SERVICES	S	B		N	N	17		2,200,000	1,644,010	224,897	555,990	9/21/2015	O	12/31/2022	
4600003012	DENTONS US LLP 1900 K STREET NW STE 1000 WASHINGTON, DC 20006-1100 US	BOND, UNDERWRITER AND DISCLOSURE COUNSEL SERVICES	L	B		N	N	12		214,950	179,399	40,537	35,551	5/26/2015	C		5/25/2020
4600003021	GTS CORP 1 STEEL RD E MORRISVILLE, PA 19067-3613 US	CALBRATED AND OPERATING GASES	E	B		F	N	4		400,000	99,702	0	300,298	9/24/2015	C		9/23/2020
4600003022	JANSEN'S AIRCRAFT SYSTEM CONTROLS INC 2303 WEST ALAMEDA DR TEMPE, AZ 85282 US	3 WAY FUEL VALVES	E	B		F	N	2		500,000	84,276	0	415,724	7/27/2015	C		7/26/2020
4600003023	REALTIME UTILITY ENGINEERS INC 2908 MARKETPLACE DR - STE 100 FITCHBURG, WI 53719-5318 US	ON-CALL ENGINEERING SERVICES	S	B		N	N	17		1,200,000	787,084	3,257	412,916	7/1/2015	C		12/31/2020
4600003024	22ND CENTURY TECHNOLOGIES INC 1 EXECUTIVE DR - STE 285 SOMERSET, NJ 08873-4024 US	IT TEMPORARY PERSONNEL	W	B	8	N	N	74		325,727	158,552	0	167,175	8/1/2015	C		7/31/2020

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4600003026	ARTECH INFORMATION SYSTEMS LLC 360 MOUNT KEMBLE AVE - STE 2 MORRISTOWN, NJ 07960-6662 US	IT TEMPORARY PERSONNEL	W	B	8	N	N	74		1,409,000	1,025,524	0	383,476	8/1/2015	C		7/31/2020
4600003027	CARLYLE CONSULTING SERVICES INC 641 LEXINGTON AVE - STE 1526 NEW YORK, NY 10022 US	IT TEMPORARY PERSONNEL	W	B	8	N	01	74		5,934,000	4,591,142	0	1,342,858	8/1/2015	C		7/31/2020
4600003028	CLARUSTEC INC 347 PLAINFIELD AVE - STE 104 EDISON, NJ 08817-3163 US	TEMPORARY STAFFING	W	B	8	N	N	74		943,015	867,641	454,980	75,374	8/1/2015	C		7/31/2020
4600003029	DONNELLY & MOORE CORP DBA FOR DONNELLY & MOORE INC 14 WALL ST - FL 20 NEW YORK, NY 10005-2123 US	IT TEMPORARY PERSONNEL	W	B	8	N	04	74		3,980,762	2,966,039	158,617	1,014,723	8/1/2015	C		7/31/2020
4600003030	ECLARO INTERNATIONAL INC 450 7TH AVE - STE 506 NEW YORK, NY 10123-0506 US	IT TEMPORARY PERSONNEL	W	B	8	N	04	74		1,772,750	1,155,702	49,930	617,048	8/1/2015	C		7/31/2020
4600003031	GARNET RIVER LLC 60 RAILROAD PL - STE 501 SARATOGA SPRINGS, NY 12866-3048 US	IT TEMPORARY PERSONNEL	W	B	8	N	N	74		250,000	150,666	0	99,334	8/1/2015	C		7/31/2020
4600003032	INDOTRONIX INTERNATIONAL CORP 331 MAIN ST - STE 108 POUGHKEEPSIE, NY 12601-3145 US	IT TEMPORARY PERSONNEL	W	B	8	N	04	74		480,000	232,690	0	247,310	8/1/2015	C		7/31/2020
4600003033	MINDLANCE INC 1095 MORRIS AVE - UNIT 101A UNION, NJ 07083-7143 US	IT TEMPORARY PERSONNEL	W	B	8	N	N	74		3,663,718	2,595,492	0	1,068,226	8/1/2015	C		7/31/2020
4600003034	NEOTECRA INC 40 EXCHANGE PL - STE 1301 NEW YORK, NY 10005-2741 US	IT TEMPORARY PERSONNEL	W	B	8	N	04	74		90,000	33,600	0	56,400	8/1/2015	C		7/31/2020
4600003035	SOFTWARE GUIDANCE & ASSISTANCE INC 200 WHITE PLAINS RD - STE 475 TARRYTOWN, NY 10591-5805 US	IT TEMPORARY PERSONNEL	W	B	8	N	N	74		2,522,236	2,173,164	0	349,072	8/1/2015	C		7/31/2020
4600003036	TRIGYN TECHNOLOGIES INC 100 METROPLEX DR - STE 101 EDISON, NJ 08817-2684 US	IT TEMPORARY PERSONNEL	W	B	8	N	N	74		3,141,260	2,494,521	145,760	646,739	8/1/2015	C		7/31/2020
4600003037	UNIQUE COMP INC 2708 42ND RD LONG ISLAND CITY, NY 11101-4112 US	IT TEMPORARY PERSONNEL	W	B	8	N	04	74		1,060,147	957,432	79,182	102,715	8/1/2015	C		7/31/2020
4600003038	SYSTEM EDGE (USA) LLC FL 4 555 US RTE 1 S-WOODBRIDGE TOWE ISELIN, NJ 08830 US	IT TEMPORARY PERSONNEL	W	B	8	N	N	74		20,000	0	0	20,000	8/1/2015	C		7/31/2020

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4600003039	CMA CONSULTING SERVICES DBA FOR CURRIER MCCABE & ASSOC INC 700 TROY SCHENECTADY RD LATHAM, NY 12110-2456 US	IT TEMPORARY PERSONNEL	W	B	8	N	03	74		228,800	63,690	0	165,110	8/1/2015	C		7/31/2020
4600003041	DAIKIN APPLIED AMERICAS INC DBA DAIKIN APPLIED 13600 INDUSTRIAL PARK BLVD MINNEAPOLIS, MN 55441-3743 US	CHILLER MAINTENANCE SERVICES	S	B		N	N	2		5,000,000	3,740,995	759,978	1,259,005	8/17/2015	C		12/31/2020
4600003043	SOLAR LIBERTY ENERGY SYSTEMS INC 6500 SHERIDAN DR - STE 120 BUFFALO, NY 14221-4845 US	ROOF MOUNTED PV SYSTEM NY CITY SCHOOLS PHASE II	E	B		N	N	10		1,839,680	1,087,690	0	751,990	9/1/2015	C		5/19/2020
4600003044	MUNICIPAL TESTING LABORATORY INC 375 RABRO DR - PO BOX 14124 HAUPPAUGE, NY 11788-4227 US	SERVICES OF SPECIAL INSPECTION CONSULTANT	P	B		N	N	6		2,000,000	721,011	40,089	1,278,989	9/11/2015	O	12/31/2022	
4600003045	HAIDER ENGINEERING PC 91 TOLEDO ST FARMINGDALE, NY 11735-6620 US	SERVICES OF SPECIAL CONSULTANT	P	B		N	04	6		2,000,000	101,872	23,718	1,898,128	9/30/2015	C		9/29/2020
4600003046	TECTONIC ENGINEERING & SURVEYING CONSULTANTS PC 11835 QUEENS BLVD - STE 1000 FOREST HILLS, NY 11375-7200 US	SERVICES OF SPECIAL INSPECTION CONSULTANT	P	B		N	N	6		2,000,000	1,118,880	286,344	881,120	9/30/2015	O	3/31/2021	
4600003047	ATANE ENGINEERS ARCHITECTS AND LAND SURVEYORS DPC 40 WALL ST - FL 11 NEW YORK, NY 10005-1357 US	SERVICES OF SPECIAL INSPECTION CONSULTANT	P	B		N	N	6		2,000,000	94,424	76,125	1,905,576	9/30/2015	C		9/29/2020
4600003049	THE CADMUS GROUP LLC 100 5TH AVE - STE 100 WALTHAM, MA 02451-8703 US	K-SOLAR PERMIT EXPEDITOR SERVICES	P	B		F	N	6		1,000,000	284,139	0	715,861	9/11/2015	C		9/10/2020
4600003051	CORE FACILITY SERVICES LLC 150 E 42ND ST - RM 701 NEW YORK, NY 10017-5688 US	BUILDING ENGINEERING SERVICES	S	B		N	N	3		5,625,000	5,516,513	380,033	108,487	10/1/2015	C		9/30/2020
4600003055	FIRST INFRASTRUCTURE LLC PO BOX 286 MILL RIVER, MA 01244-0286 US	PROJECT FINANCE ADVISORY SERVICES	P	B		F	N	7		449,000	443,215	0	5,785	10/5/2015	C		10/4/2020
4600003056	THE BRATTLE GROUP INC 1 BEACON ST STE 2600 BOSTON, MA 02108-3142 US	PROJECT FINANCE ADVISORY SERVICES	P	B		F	N	7		125,000	107,942	107,942	17,058	10/5/2015	C		10/4/2020
4600003058	M G MCLAREN ENGINEERING AND LAND SURVEYING PC 530 CHESTNUT RIDGE RD WOODCLIFF LAKE, NJ 07677-8407 US	UNDERWATER INSPECTION SERVICES - NYPA FACILITIES	S	C		N	N	8		340,400	188,700	39,490	151,700	1/1/2016	C		12/31/2020

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4600003059	HOHL INDUSTRIAL SERVICES INC 770 RIVERVIEW BLVD TONAWANDA, NY 14150-7880 US	UNDERWATER INSPECTION SERVICES @ NYPA FACILITIES	S	C		N	01	8		2,159,600	2,057,951	157,794	101,649	1/1/2016	C		12/31/2020
4600003060	WELLFORD PORTFOLIO MANAGEMENT LLC 110 E 42ND ST - RM 1310 NEW YORK, NY 10017-8529 US	PROJECT FINANCE ADVISORY SERVICES	P	B		N	N	7		5,000	0	0	5,000	1/12/2016	C		10/21/2020
4600003061	OPTIMAL ENERGY INC 10600 ROUTE 116 - STE 3 HINESBURG, VT 05461-8501 US	PROGRAM STRATEGY AND DEVELOPMENT CONSULTING SERVICES	P	B		F	N	16		156,186	110,038	3,175	46,148	11/2/2015	C		11/1/2020
4600003064	BURO HAPPOLD CONSULTING ENG PC DBA HAPPOLD CONSULTING 100 BROADWAY FL 23 NEW YORK, NY 10005-4502 US	PROGRAM STRATEGY AND DEVELOPMENT CONSULTING SERVICES	P	B		N	N	16		7,881,743	7,775,560	3,421,191	106,183	11/2/2015	C		11/1/2020
4600003066	ICF RESOURCES LLC 9300 LEE HIGHWAY FAIRFAX, VA 22031-6050 US	PROGRAM STRATEGY AND DEVELOPMENT CONSULTING SERVICES	P	B		F	N	16		916,882	847,751	109,086	69,131	11/2/2015	C		11/1/2020
4600003067	NAVIGANT CONSULTING INC 685 3RD AVE - FL 14 NEW YORK, NY 10017-4024 US	PROGRAM STRATEGY AND DEVELOPMENT CONSULTING SERVICES	P	B		N	N	16		916,882	913,978	30,000	2,904	11/2/2015	C		11/1/2020
4600003068	NEXANT INC 44 S BROADWAY - STE 404 WHITE PLAINS, NY 10601-4439 US	PROGRAM STRATEGY AND DEVELOPMENT CONSULTING SERVICES	P	B		N	N	16		5,000	0	0	5,000	11/2/2015	C		11/1/2020
4600003070	MERCER THOMPSON LLC 191 PEACHTREE ST NE - STE 4410 ATLANTA, GA 30303-1756 US	LEGAL CONSULTING SERVICES	L	2	5	F	N	1		750,000	11,988	0	738,012	2/22/2016	O	2/21/2021	
4600003075	CLEAN HARBORS ENVIRONMENTAL SERVICES INC 42 LONGWATER DR NORWELL, MA 02061-1612 US	RUBBISH REMOVAL	S	B		F	N	2		2,500,000	2,015,761	396,363	484,239	1/1/2016	O	12/31/2021	
4600003076	TRADEBE ENVIRONMENTAL SERVICES LLC 47 GRACEY MERIDEN, CT 06451 US	RUBBISH REMOVAL	S	B		F	N	2		2,000,000	583,356	79,576	1,416,644	1/1/2016	O	12/31/2021	
4600003077	VEOLIA ES TECHNICAL SOLUTIONS LLC DBA FOR VEOLIA NORTH AMERICA INC 1 EDEN LN FLANDERS, NJ 07836-8950 US	RUBBISH REMOVAL	S	B		F	N	2		1,500,000	51,032	8,146	1,448,968	1/1/2016	O	12/31/2021	
4600003078	CYCLE CHEM INC 201 S 1ST ST ELIZABETH, NJ 07206-1502 US	RUBBISH REMOVAL	S	B		F	N	2		1,200,000	48,197	0	1,151,803	1/1/2016	O	12/31/2021	
4600003080	VEOLIA ES TECHNICAL SOLUTIONS LLC DBA FOR VEOLIA NORTH AMERICA INC 1275 MINERAL SPRINGS DR PORT WASHINGTON, WI 53074-2163 US	ASSET MANAGEMENT AND RECYCLING OF ELECTRONIC EQUIPMENT	S	B		F	N	6		300,000	76,274	6,976	223,726	1/1/2016	O	12/31/2021	

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4600003081	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	STATEWIDE: EMERGENCY REPAIRS AND MAINTENANCE ON ALL OF THE AUTHORITY'S ABB SF6 CIRCUIT BREAKERS	S	1	8	F	N	1		500,000	0	0	500,000	1/1/2016	C		12/31/2020
4600003083	RUSSELL REID WASTE HAULING AND DISP MR JOHN PORTABLE SANITATION UNITS I PO BOX 660475 DALLAS, TX 75266-0475 US	WASTE WATER REMOVAL AND DISPOSAL	S	B			N	3		1,500,000	554,081	52,682	945,919	1/4/2016	O	12/31/2021	
4600003084	BRG MACHINERY CONSULTING LLC 3241 PLANK RD NORTH GARDEN, VA 22959-2324 US	CONSULTING SERVICES	P	B		F	N	1		5,000,000	1,792,253	87,596	3,207,747	1/20/2016	O	1/19/2022	
4600003091	ERNST & YOUNG LLP 5 TIMES SQ NEW YORK, NY 10036-6540 US	MAXIMO CONSULTING SERVICES	P	B		N	N	7		5,000	0	0	5,000	1/20/2016	O	4/10/2021	
4600003093	FULCRUM FACILITIES SERVICES DBA THE FULCRUM GROUP 80 BROAD ST - STE 1601 NEW YORK, NY 10004-2209 US	EXPEDITED IMPLEMENTATION SERVICES	C	B		N	N	20		10,000,000	0	0	10,000,000	9/28/2015	C		9/28/2020
4600003094	CDM CONSTRUCTORS INC 60 CROSSWAYS PARK W - STE 340 WOODBURY, NY 11797-2018 US	EXPEDITED IMPLEMENTATION SERVICES	C	B		N	N	20		10,000,000	0	0	10,000,000	9/28/2015	C		9/28/2020
4600003095	DYNAMIC US INC 2900 WESTCHESTER AVE STE 207 PURCHASE, NY 10577-2551 US	EXPEDITED IMPLEMENTATION SERVICES	C	B		N	N	20		20,000,000	16,482,228	1,289,809	3,517,772	9/28/2015	O	9/27/2021	
4600003096	LIRO PROGRAM & CONSTRUCTION MANAGEMENT PE PC 3 AERIAL WAY SYOSSET, NY 11791-5501 US	EXPEDITED IMPLEMENTATION SERVICES	C	B		N	N	20		10,000,000	0	0	10,000,000	9/28/2015	C		9/28/2020
4600003097	ARCADIS OF NEW YORK INC 44 S BROADWAY - FL 15 WHITE PLAINS, NY 10601-4411 US	EXPEDITED IMPLEMENTATION SERVICES	C	B		N	N	20		10,000,000	95,800	95,800	9,904,200	9/28/2015	C		9/28/2020
4600003099	BAY CRANE SERVICE INC 11-02 43RD AVE LONG ISLAND CITY, NY 11101-9717 US	CRANE RENTAL WITH OPERATOR	E	B		N	N	2		4,000,000	725,258	117,804	3,274,742	1/25/2016	O	4/10/2021	
4600003100	GENCON CONSTRUCTION CO 2 MUNSELL RD MEDFORD, NY 11763-2224 US	CRANE RENTAL WITH OPERATOR	E	B		N	01	2		1,000,000	197,750	13,000	802,250	1/25/2016	O	4/10/2021	
4600003101	NUOVO PARTS INC 1465 SLATER RD FERNDALE, WA 98248-8919 US	GAS COMPRESSOR PARTS	E	B		F	N	2		900,000	601,276	147,033	298,724	1/20/2016	O	1/19/2021	
4600003102	STARBOARD CONSULTING LLC 2170 W STATE ROAD 434 - STE 124 LONGWOOD, FL 32779-4976 US	MAXIMO CONSULTING SERVICES	P	B		F	03	7		2,792,706	2,520,235	356,434	272,471	1/20/2016	O	1/21/2021	

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4600003103	TOTAL RESOURCE MANAGEMENT INC 510 KING ST STE 300 ALEXANDRIA, VA 22314-3132 US	MAXIMO CONSULTING SERVICES	P	B			F	N	7		1,500,000	393,152	0	1,106,848	1/20/2016	O	1/21/2021	
4600003104	INTERLOC SOLUTIONS INC 340 PALLADIO PKWY - STE 526 FOLSOM, CA 95630-8833 US	MAXIMO CONSULTING SERVICES	P	B			F	N	7		500,000	0	0	500,000	1/26/2016	O	1/25/2021	
4600003107	ERNST & YOUNG LLP 5 TIMES SQ NEW YORK, NY 10036-6540 US	CYBER SECURITY CONSULTING SERVICES	P	B	8	N	N	40		400,000	0	0	400,000	2/1/2016	O	1/31/2021	
4600003108	GARNET RIVER LLC 60 RAILROAD PL - STE 501 SARATOGA SPRINGS, NY 12866-3048 US	CYBER SECURITY CONSULTING SERVICES	P	B	8	N	N	40		400,000	0	0	400,000	6/20/2016	C		12/31/2020
4600003111	GOTHAM TECHNOLOGY GROUP LLC 1 PARAGON DR - STE 200 MONTVALE, NJ 07645 US	CYBER SECURITY CONSULTING SERVICES	P	B	8	N	N	40		400,000	0	0	400,000	2/1/2016	O	1/31/2021	
4600003113	GREYCASTLE SECURITY LLC 500 FEDERAL ST - STE 540 TROY, NY 12180-8350 US	CYBER SECURITY CONSULTING SERVICES	P	B	8	N	01	40		400,000	0	0	400,000	3/14/2016	O	1/31/2021	
4600003114	KMQ ENTERPRISES INC DBA TAILWIND ASSOCIATES 1462 ERIE BLVD SCHENECTADY, NY 12305-1026 US	CYBER SECURITY CONSULTING SERVICES	P	B	8	N	03	40		400,000	0	0	400,000	2/1/2016	O	1/31/2021	
4600003115	PA CONSULTING GROUP INC 405 LEXINGTON AVE - FL 45 NEW YORK, NY 10174-0002 US	CYBER SECURITY CONSULTING SERVICES	P	B	8	N	N	40		440,000	213,587	0	226,413	6/20/2016	C		12/21/2020
4600003117	A & A MAINTENANCE ENTERPRISE INC 965 MIDLAND AVE YONKERS, NY 10704-1027 US	JANITORIAL CLEANING SERVICES	S	B			N	N	7		6,837,660	6,513,345	1,448,679	324,315	1/1/2016	C		12/31/2020
4600003119	BAC ELECTRICAL CONSTRUCTION CO INC 648 COMMERCE ST THORNWOOD, NY 10594-1328 US	ELECTRICAL CONTRACTORS	C	B	8	N	N	3		409,752	250,017	0	159,735	1/1/2016	C		12/31/2020
4600003121	HEALY ELECTRIC CONTRACTING INC 4 FISHER LANE WHITE PLAINS, NY 10603 US	ELECTRICAL CONTRACTORS	C	B	8	N	N	3		1,790,248	1,656,954	652,374	133,294	1/1/2016	C		12/31/2020
4600003122	CENTER FOR INTERNET SECURITY INC 31 TECH VALLEY DR EAST GREENBUSH, NY 12061-4134 US	CYBER SECURITY SERVICES	S	B			N	N	4		5,200,000	2,373,782	42,672	2,826,218	2/12/2016	O	1/31/2021	
4600003123	BETTE & CRING LLC 18438 US ROUTE 11 WATERTOWN, NY 13601-5699 US	EXPEDITED IMPLEMENTATION SERVICES	C	B			N	N	20		10,000,000	0	0	10,000,000	9/28/2015	C		9/28/2020

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4600003124	SMARTEDGE DBA FOR BUILDING CONTROLS&SERVICES 4 PEUQUET PKWY TONAWANDA, NY 14150-2413 US	EXPEDITED IMPLEMENTATION SERVICES	S	B		N	N	20		10,000,000	0	0	10,000,000	9/28/2015	C		9/28/2020
4600003125	WILLDAN ENERGY SOLUTIONS INC 88 PINE ST - FL 18 NEW YORK, NY 10005 US	EXPEDITED IMPLEMENTATION SERVICES	C	B		N	N	20		10,000,000	137,500	120,000	9,862,500	9/28/2015	C		9/28/2020
4600003127	PRES SERVICES LLC PRES ENERGY 95 STARK ST TONAWANDA, NY 14150-1210 US	EXPEDITED IMPLEMENTATION SERVICES	C	B		N	N	20		10,000,000	0	0	10,000,000	9/28/2015	C		9/28/2020
4600003129	ENERACTIVE SOLUTIONS LLC 700 MATTISON AVE - STE A ASBURY PARK, NJ 07712-7021 US	EXPEDITED IMPLEMENTATION SERVICES	C	B		F	N	20		5,000,000	0	0	5,000,000	9/28/2015	C		9/28/2020
4600003130	GENESYS ENGINEERING PC 629 FIFTH AVE - STE 111 PELHAM, NY 10803 US	EXPEDITED IMPLEMENTATION SERVICES	C	B		N	N	20		5,000,000	0	0	5,000,000	9/28/2015	C		9/28/2020
4600003131	VEOLIA ES TECHNICAL SOLUTIONS LLC DBA FOR VEOLIA NORTH AMERICA INC 1275 MINERAL SPRINGS DR PORT WASHINGTON, WI 53074-2163 US	REMOVAL AND RECYCLING /DISPOSAL OF WATER AND ELECTRIC METERS	S	B		F	N	1		60,000	11,998	0	48,002	2/22/2016	O	12/31/2021	
4600003133	JOHN W DANFORTH CO 300 COLVIN WOODS PKWY TONAWANDA, NY 14150-6976 US	EXPEDITED IMPLEMENTATION SERVICES	C	B		N	N	20		10,000,000	1,621,676	0	8,378,324	9/28/2015	C		9/28/2020
4600003134	NRG ENERGY INC 211 CARNEGIE CTR PRINCETON, NJ 08540-6299 US	EXPEDITED IMPLEMENTATION SERVICES	C	B		F	N	20		10,000,000	0	0	10,000,000	9/28/2015	C		9/28/2020
4600003136	VAN NESS FELDMAN LLP 1050 THOMAS JEFFERSON ST NW WASHINGTON, DC 20007-3877 US	ENERGY LEGAL SERVICES	L	B		N	N	10		4,144,056	3,859,811	527,717	284,245	5/26/2015	C		8/25/2020
4600003137	GOODMART LIGHTING AND ELECTRICAL SUPPLY 232 MADISON AVE FL 3 NEW YORK, NY 10016-2953 US	F AND D LIGHTING FIXTURES	E	B		N	N	3		1,516,474	822,891	238,576	693,583	2/23/2016	O	2/18/2022	
4600003140	GOMEZ AND SULLIVAN ENGINEERS DPC 288 GENESEE ST UTICA, NY 13502 US	BGIS SUPPORT SERVICES	S	1	8	N	N	1		710,000	580,896	104,952	129,104	12/1/2015	O	11/30/2021	
4600003141	CUSTOMER CARE NETWORK INC 665 RIVER KNOLL DR SE MARIETTA, GA 30067-4748 US	MANAGEMENT CONSULTING SERVICES FOR THE EXECUTIVE OFFICE	P	B		F	N	21		7,286,298	6,916,333	128,207	369,965	4/1/2016	O	3/31/2021	

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4600003142	PRICEWATERHOUSECOOPERS ADVIS SVC DBA FOR PWC HOLDING NO 21 LLC 300 MADISON AVE NEW YORK, NY 10017-6232 US	MANAGEMENT CONSULTING SERVICES FOR THE EXECUTIVE OFFICE	P	B		N	N	21		200,600	190,094	0	10,506	4/1/2016	O	3/31/2021	
4600003143	WENDEL ENERGY SERVICES LLC 375 ESSJAY RD - STE 200 WILLIAMSVILLE, NY 14221-5761 US	EXPEDITED IMPLEMENTATION SERVICES	C	B		N	N	20		10,000,000	2,266,608	1,790,229	7,733,392	9/28/2016	C		9/28/2020
4600003144	TURBOPROP EAST INC 836 STATE RD NORTH ADAMS, MA 01247-3027 US	AIRCRAFT MAINTENANCE	S	B	8	N	N	3		2,748,920	2,398,733	319,679	350,187	4/1/2016	O	3/31/2021	
4600003145	RUSSELL REYNOLDS ASSOCIATES INC 200 PARK AVE NEW YORK, NY 10166-0002 US	EXECUTIVE RECRUITMENT SERVICES	P	C	1	N	N	7		797,612	767,296	0	30,316	3/30/2016	O	3/29/2021	
4600003146	POWER ENGINEERING INC 16632 MILLIKAN AVE - STE B IRVINE, CA 92606-5008 US	SPECIALTY FIELD SUPPORT SERVICES, TESTING, ANALYSIS AND ENGINEERING SERVICES AT NYPA HYDRO GENERATING FACILITIES	P	B		F	N	3		4,790,019	4,668,991	0	121,028	5/2/2016	O	5/1/2021	
4600003148	APTIM ENVIROMENTAL & INFRASTRUCTURE INC 13 BRITISH AMERICAN BLVD LATHAM, NY 12110-1431 US	ENVIRONMENTAL, HEALTH AND SAFETY AUDITS AT NYPA OPERATING FACILITIES	P	B		N	N	10		440,000	353,689	64,347	86,311	4/25/2016	O	4/24/2021	
4600003150	THE CHAZEN COMPANIES 21 FOX ST POUGHKEEPSIE, NY 12601-4724 US	ENVIRONMENTAL, HEALTH AND SAFETY AUDITS AT NYPA OPERATING FACILITIES	P	B		N	N	10		60,000	0	0	60,000	4/4/2016	O	4/24/2021	
4600003151	RAMBOLL AMERICAS ENGINEERING SOLUTIONS INC 333 W WASHINGTON ST - STE 610 SYRACUSE, NY 13202-9203 US	ENVIRONMENTAL, HEALTH AND SAFETY AUDITS AT NYPA OPERATING FACILITIES	P	B		N	N	10		250,000	0	0	250,000	4/4/2016	O	4/24/2021	
4600003152	PAUL C RIZZO ENGINEERING - NEW YORK PLLC 580 WHITE PLAINS RD - STE 4250 TARRYTOWN, NY 10591-5189 US	FERC PART 12 SAFETY INSPECTION	P	B		N	N	5		360,000	180,497	31,128	179,503	4/4/2016	O	4/9/2021	
4600003156	NAVIGANT CONSULTING INC 685 3RD AVE - FL 14 NEW YORK, NY 10017-4024 US	MANAGEMENT CONSULTING SERVICES FOR THE EXECUTIVE OFFICE	P	B		N	N	21		3,085,242	2,852,199	492,242	233,043	4/1/2016	O	3/31/2021	
4600003157	ERNST & YOUNG LLP 5 TIMES SQ NEW YORK, NY 10036-6540 US	MANAGEMENT CONSULTING SERVICES FOR THE EXECUTIVE OFFICE	P	B		N	N	21		9,248,448	9,159,954	423,900	88,494	4/5/2016	O	3/31/2021	
4600003158	PA CONSULTING GROUP INC 405 LEXINGTON AVE - FL 45 NEW YORK, NY 10174-0002 US	MANAGEMENT CONSULTING SERVICES FOR THE EXECUTIVE OFFICE	P	B		N	N	21		870,316	859,138	0	11,178	4/4/2016	O	3/31/2021	

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4600003159	MCKINSEY & COMPANY INC WASHINGTON DC 1200 19TH ST NW STE 1100 WASHINGTON, DC 20036-2412 US	MANAGEMENT CONSULTING SERVICES FOR THE EXECUTIVE OFFICE	P	B		F	N	21		4,309,000	4,259,000	0	50,000	4/4/2016	O	3/31/2021	
4600003160	WASTE MANAGEMENT OF NY-UTICA 2003 BLEECKER ST UTICA, NY 13501-1711 US	RUBBISH REMOVAL	S	B	7	N	N	2		80,000	45,856	6,857	34,144	4/1/2016	C		3/31/2020
4600003162	TEST PRODUCTS INC (TPI) 302 NEW MILL LN EXTON, PA 19341 US	BATTERY TESTING PROGRAM FOR ALL SITES	S	B		F	N	4		325,000	267,637	42,268	57,363	4/1/2016	O	3/31/2021	
4600003164	FIREFLY ENERGY CONSULTING LLC 4227 CALCULUS DR DALLAS, TX 75244-7314 US	MANAGEMENT CONSULTING SERVICES FOR THE EXECUTIVE OFFICE	P	B		N	03	21		5,000	0	0	5,000	4/1/2016	O	3/31/2021	
4600003165	KONECRANES INC 1020 LEHIGH STATION RD HENRIETTA, NY 14467-9369 US	OSHA ANNUAL CRANE INSPECTION/CERTIFICATION SERVICES	P	B		N	N	3		775,000	584,671	105,033	190,329	4/7/2016	O	4/6/2021	
4600003166	NORTH AMERICAN INDUSTRIAL SERVICES INC 1240 SARATOGA RD BALLSTON SPA, NY 12020-3500 US	INDUSTRIAL AND ENVIRONMENTAL VACUUMING SERVICES	S	B		N	N	3		705,000	200,023	0	504,977	7/1/2016	C		6/30/2020
4600003173	HITACHI MITSUBISHI HYDRO CORP TANACHI NIKKO 29-14 SHIBA 5-CHOME MINATO-KU TOKYO, 13 1080014 JP	HOME OFFICE ENGINEERING SERVICES	A	2	5	F	N	1		500,000	70,040	5,908	429,960	5/16/2016	O	3/31/2021	
4600003174	AECOM USA INC 125 BROAD ST NEW YORK, NY 10004-2400 US	EXPEDITED IMPLEMENTATION SERVICES	C	B		N	N	20		40,000,000	23,136,643	10,352,630	16,863,357	9/28/2015	C		9/28/2020
4600003175	STUART C IRBY CO 4583 BUCKLEY RD LIVERPOOL, NY 13088-2508 US	TRANSMISSION HARDWARE	E	B		N	N	1		625,000	519,118	25,272	105,882	5/29/2016	O	5/28/2021	
4600003178	MCFARLAND CASCADE HOLDINGS INC DBA MCFARLAND CASCADE 1400 IRON HORSE PARK NORTH BILLERICA, MA 01862 US	WOOD POLES	E	B		F	N	2		2,500,000	1,091,735	34,189	1,408,265	6/28/2016	C		1/20/2020
4600003180	SIEMENS INDUSTRY INC 7000 SIEMENS RD WENDELL, NC 27591-8309 US	SAMAC SUPPORT	P	2	8	N	N	1		837,666	270,328	42,003	567,338	6/22/2016	O	6/21/2021	
4600003181	INNOTAS 111 SUTTER ST - STE 300 SAN FRANCISCO, CA 94104-4508 US	CLOUD BASED PROJECT PORTFOLIO MANAGEMENT SOLUTION	S	B		F	N	9		93,420	93,420	0	0	7/1/2016	O	6/30/2021	
4600003185	JANUS SOFTWARE INC DBA JANUS ASSOCIATES 4 HIGH RIDGE PARK - STE 200 STAMFORD, CT 06905-1325 US	CYBER SECURITY CONSULTING SERVICES	P	B	8	F	03	40		400,000	29,871	0	370,129	7/20/2016	C		12/31/2020

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4600003187	GENERAL ELECTRIC INTERNATIONAL INC 475 CREAMERY WAY EXTON, PA 19341-2546 US	EQUIPMENT SERVICE AND MAINTENANCE	P	B		F	N	2		7,500,000	4,859,167	894,424	2,640,833	8/18/2016	O	8/17/2021	
4600003189	AECOM USA INC 125 BROAD ST NEW YORK, NY 10004-2400 US	ON-CALL ENGINEERING SERVICES FOR TRANSMISSION AND SUBSTATION ASSETS	P	B		N	N	29		16,800,000	8,214,942	5,437,913	8,585,058	9/1/2016	O	8/31/2021	
4600003190	BURNS & MCDONNELL CONSULTANTS INC 9400 WARD PKWY KANSAS CITY, MO 64114-3319 US	ON-CALL ENGINEERING SERVICES FOR TRANSMISSION AND SUBSTATION ASSETS	P	B		F	N	29		3,050,000	159,950	159,950	2,890,050	9/1/2016	O	8/31/2021	
4600003191	CAI SERVICES P C PO BOX 1124 JACKSON, MI 49204-1124 US	ON-CALL ENGINEERING SERVICES FOR TRANSMISSION AND SUBSTATION ASSETS	P	B		F	N	29		100,000	0	0	100,000	9/1/2016	O	8/31/2021	
4600003192	SNC LTD 100 GREAT OAKS BVLD STE 126 ALBANY, NY 12203-7914 US	ON-CALL ENGINEERING SERVICES FOR TRANSMISSION AND SUBSTATION ASSETS	P	B		N	N	29		2,750,000	299,461	0	2,450,539	9/1/2016	O	8/31/2021	
4600003193	TRC ENGINEERS INC 215 GREENFIELD PKWY - STE 102 LIVERPOOL, NY 13088-6651 US	ON-CALL ENGINEERING SERVICES FOR TRANSMISSION AND SUBSTATION ASSETS	P	B		N	N	29		2,400,000	317,657	167,822	2,082,343	9/1/2016	O	8/31/2021	
4600003195	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	CYBER SECURITY CONSULTING SERVICES	P	B	8	F	N	40		400,000	0	0	400,000	9/1/2016	C		12/31/2020
4600003198	HOHL INDUSTRIAL SERVICES INC 770 RIVERVIEW BLVD TONAWANDA, NY 14150-7880 US	CRANE RENTAL	E	B		N	01	2		375,000	0	0	375,000	8/22/2016	C		8/21/2020
4600003199	CLARK RIGGING & RENTAL CORP 500 OHIO ST LOCKPORT, NY 14094-4222 US	CRANE RENTAL	E	B		N	N	2		450,000	324,745	26,767	125,255	8/22/2016	O	8/21/2021	
4600003200	NAUTILUS CONSULTING LLC 6800 JERICHO TPKE - STE 216E SYOSSET, NY 11791-4445 US	RISK MANAGEMENT CONSULTATION SERVICES	A	B		N	N	10		2,000,000	1,032,866	1,590	967,134	8/23/2016	O	8/22/2021	
4600003202	VEOLIA ES TECHNICAL SOLUTIONS LLC DBA FOR VEOLIA NORTH AMERICA INC 1275 MINERAL SPRINGS DR PORT WASHINGTON, WI 53074-2163 US	BATTERIES, LIGHT BALLASTS AND LAMP RECYCLING/DISPOSAL	S	B		N	N	2		1,043,094	917,899	203,437	125,195	8/2/2017	O	9/30/2021	
4600003203	MILLER ENVIRONMENTAL GROUP INC 538 EDWARDS AVE CALVERTON, NY 11933-1636 US	GENERAL ENVIRONMENTAL SERVICES	S	B		N	N	4		750,000	202,049	121,320	547,951	10/1/2016	O	9/30/2021	
4600003204	WRS ENVIRONMENTAL SERVICES INC 17 OLD DOCK RD YAPHANK, NY 11980-9702 US	GENERAL ENVIRONMENTAL SERVICES	S	B		N	N	4		1,500,000	977,228	87,680	522,772	10/1/2016	C		3/30/2020

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4600003206	ARCADIS US INC 655 3RD AVE - 12TH FL NEW YORK, NY 10017-5617 US	RISK MANAGEMENT CONSULTING SERVICES	P	B		N	N	10		2,000,000	250,188	73,503	1,749,812	9/7/2016	O	9/6/2021	
4600003207	HATCH ASSOCIATES CONSULTANTS INC 100 SYLVAN PKWY AMHERST, NY 14228-1146 US	RISK MANAGEMENT CONSULTING SERVICES	P	B		N	N	10		5,000	0	0	5,000	9/8/2016	O	9/7/2021	
4600003208	HILL INTERNATIONAL INC 1 COMMERCE SQ # 17 2005 MARKET ST PHILADELPHIA, PA 19103-1415 US	RISK MANAGEMENT CONSULTING SERVICES	P	B		F	N	10		2,000,000	699,670	0	1,300,330	9/13/2016	O	9/12/2021	
4600003209	NRC NY ENVIRONMENTAL SERVICES INC 6392 DEERE RD - STE 1 SYRACUSE, NY 13206-1323 US	GENERAL ENVIRONMENTAL SERVICES	S	B		N	N	4		400,000	50,385	50,385	349,615	10/1/2016	O	9/30/2021	
4600003210	DATROSE 660 BASKET RD WEBSTER, NY 14580-9782 US	TEMPORARY STAFFING	W	B		N	04	47		285,363	173,658	0	111,705	9/28/2016	O	9/27/2021	
4600003211	ECLARO INTERNATIONAL INC 450 7TH AVE - STE 506 NEW YORK, NY 10123-0506 US	TEMPORARY STAFFING	W	B		N	04	47		3,929,789	2,438,471	1,034,932	1,491,318	9/28/2016	O	9/27/2021	
4600003212	ASR INTERNATIONAL CORP 580 OLD WILLETS PATH HAUPPAUGE, NY 11788-4106 US	TEMPORARY STAFFING	W	B		N	N	47		410,423	251,385	0	159,038	9/28/2016	O	9/27/2021	
4600003213	INFINITY CONSULTING SOLUTIONS INC 462 7TH AVE - FL 2 NEW YORK, NY 10018-7847 US	TEMPORARY STAFFING	W	B		N	N	47		5,000	0	0	5,000	9/28/2016	O	9/27/2021	
4600003214	KFORCE INC 1001 E PALM AVE TAMPA, FL 33605-3551 US	TEMPORARY STAFFING	W	B		N	N	47		5,000	0	0	5,000	9/28/2016	O	9/27/2021	
4600003215	MINDLANCE INC 1095 MORRIS AVE - UNIT 101A UNION, NJ 07083-7143 US	TEMPORARY STAFFING	W	B		F	N	47		2,353,545	1,718,788	47,306	634,757	9/28/2016	O	9/27/2021	
4600003216	REINHARD-MADISON APPROACH STAFFING DBA MADISON APPROACH STAFFING INC 45 KNOLLWOOD RD - STE 101 ELMSFORD, NY 10523-2806 US	TEMPORARY STAFFING	W	B		N	03	47		1,632,795	1,201,060	144,540	431,735	9/28/2016	O	9/27/2021	
4600003217	LANCESOFT INC 13454 SUNRISE VALLEY DR - STE 120 HERNDON, VA 20171-3278 US	TEMPORARY STAFFING	W	B		N	N	47		1,613,831	972,758	255,726	641,073	9/28/2016	O	9/27/2021	
4600003218	MONROE STAFFING SERVICES LLC PO BOX 187 MONROE, CT 06468-0187 US	TEMPORARY STAFFING	W	B		F	N	47		2,582,574	1,559,072	159,984	1,023,502	9/28/2016	O	9/27/2021	
4600003219	NEXUS STAFFING INC 99 TULIP AVE - STE 105 FLORAL PARK, NY 11001-1927 US	TEMPORARY STAFFING	W	B		N	04	47		2,263,000	1,922,748	224,747	340,252	9/28/2016	O	9/27/2021	

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4600003220	SOLOMON PAGE GROUP LLC 260 MADISON AVE - FL 3 NEW YORK, NY 10016-2401 US	TEMPORARY STAFFING	W	B			N	N	47		26,461	16,286	0	10,175	9/28/2016	O	9/27/2021	
4600003221	TTI OF USA INC 150 BROADWAY - STE 1500 NEW YORK, NY 10038-4376 US	TEMPORARY STAFFING	W	B			N	N	47		5,000	0	0	5,000	9/28/2016	O	9/27/2021	
4600003222	VTECH SOLUTION INC 1100 H ST NW - STE 750 WASHINGTON, DC 20005-5479 US	TEMPORARY STAFFING	W	B			F	N	47		1,004,797	787,712	305,634	217,085	9/28/2016	O	9/27/2021	
4600003224	WISENGINEERING LLC 3159 SCHRADER RD DOVER, NJ 07801-5735 US	TEMPORARY STAFFING	W	B			F	04	47		5,000	0	0	5,000	9/28/2016	O	9/27/2021	
4600003225	RFJ INSULATION CONTRACTOR INC 232-C ORINOCO DR BRIGHTWATERS, NY 11718 US	INSULATION	C	B			N	N	2		625,000	536,342	0	88,658	10/10/2016	O	10/9/2021	
4600003226	RANGAM CONSULTANTS INC 270 DAVIDSON AVE STE 103 SOMERSET, NJ 08873-4141 US	TEMPORARY STAFFING	W	B			F	04	47		85,000	42,390	0	42,610	9/28/2016	O	9/27/2021	
4600003227	EV CONNECT INC 615 N NASH ST - STE 203 EL SEGUNDO, CA 90245-2851 US	SUPPLY, INSTALL, SERVICE, MAINTAIN AND WARRANTY OF EVSE EQUIPMENT	C	B			F	N	4		4,000,000	2,364,067	432,707	1,635,933	10/3/2016	O	10/2/2021	
4600003228	THREETECH ELECTRIC INC 7812 METROPOLITAN AVE MIDDLE VILLAGE, NY 11379-2965 US	INSTALLATION AND REMOVAL OF LIGHTING FIXTURES AT NYPA PROJECTS	S	B			N	04	3		562,500	115,376	35,823	447,124	11/1/2016	O	10/29/2021	
4600003229	MILLENNIUM MAINTENANCE & ELECTRICAL CONTRACTORS INC 64 FREEMAN ST BROOKLYN, NY 11222-1328 US	INSTALLATION AND REMOVAL OF LIGHTING FIXTURES AT NYPA PROJECTS	E	B			N	04	3		562,500	11,676	0	550,824	11/1/2016	C		10/31/2020
4600003231	PREDATOR PEST CONTROL INC 16042 83RD ST HOWARD BEACH, NY 11414-2945 US	PEST CONTROL SERVICES	S	B			N	N	7		175,000	58,803	10,805	116,197	10/14/2016	O	10/13/2021	
4600003232	TYNDALE CO DBA FOR TYNDALE ENTERPRISES INC 5050 APPLEBUTTER RD PIPERSVILLE, PA 18947-1808 US	FIRE RESISTANT CLOTHING FOR NYPA OPERATING PLANTS ON PURCHASE BASIS	E	B			F	N	6		5,000,000	3,604,757	888,547	1,395,243	11/1/2016	O	10/31/2021	
4600003233	AWS TRUEPOWER LLC 463 NEW KARNER RD ALBANY, NY 12205-3821 US	RENEWABLE WIND DEVELOPMENT ENGINEERING SUPPORT	A	B			N	N	14		500,000	100,328	0	399,672	11/1/2016	O	10/31/2021	
4600003240	NRC NY ENVIRONMENTAL SERVICES INC 6392 DEERE RD - STE 1 SYRACUSE, NY 13206-1323 US	ON-CALL EMERGENCY SPILL RESPONSE, CLEAN-UP AND DISPOSAL SERVICES	S	B			N	N	7		646,771	225,820	61,116	420,951	1/1/2017	C		2/29/2020
4600003252	BURNS & MCDONNELL CONSULTANTS INC 9400 WARD PKWY KANSAS CITY, MO 64114-3319 US	RENEWABLE WIND DEVELOPMENT ENGINEERING SUPPORT	P	B			F	N	14		500,000	0	0	500,000	1/2/2017	O	12/31/2021	

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4600003253	DNV KEMA RENEWABLES INC 1400 RAVELLO RD KATY, TX 77449-5164 US	RENEWABLE WIND DEVELOPMENT ENGINEERING SUPPORT	P	B		F	N	14		500,000	0	0	500,000	1/2/2017	O	12/31/2021	
4600003254	MOTT MACDONALD NY INC 1400 BROADWAY - FL 30 NEW YORK, NY 10018-5330 US	RENEWABLE WIND DEVELOPMENT ENGINEERING SUPPORT	P	B		N	N	14		500,000	0	0	500,000	1/2/2017	O	12/31/2021	
4600003255	DELOITTE & TOUCHE LLP 4022 SELLS DR HERMITAGE, TN 37076-2903 US	CONSULTING SERVICES FOR RISK MANAGEMENT	P	B		N	N	13		5,678,903	5,296,876	1,486,602	382,027	1/1/2017	O	12/31/2021	
4600003256	ERNST & YOUNG LLP 5 TIMES SQ NEW YORK, NY 10036-6540 US	CONSULTING SERVICES FOR RISK MANAGEMENT	P	B		N	N	13		870,267	776,482	0	93,785	1/1/2017	O	12/31/2021	
4600003257	THE BRATTLE GROUP INC 1 BEACON ST STE 2600 BOSTON, MA 02108-3142 US	CONSULTING SERVICES FOR RISK MANAGEMENT	P	B		F	N	13		649,000	606,922	35,845	42,078	1/1/2017	O	12/31/2021	
4600003258	PA CONSULTING GROUP INC 405 LEXINGTON AVE - FL 45 NEW YORK, NY 10174-0002 US	CONSULTING SERVICES FOR RISK MANAGEMENT	P	B		N	N	13		97,200	77,091	11,882	20,109	1/1/2017	O	12/31/2021	
4600003259	PIVOTAL RISK ADVISORS INC 1200 SMITH ST - STE 1600 HOUSTON, TX 77002-4403 US	CONSULTING SERVICES FOR RISK MANAGEMENT	P	B		F	N	13		5,000	0	0	5,000	1/1/2017	O	12/31/2021	
4600003260	ESSENSE PARTNERS DBA AKASAKA ENTERPRISES 125 PARK AVE - FL 25 NEW YORK, NY 10017-5550 US	CHANGE MANAGEMENT AND CONSULTING SERVICES	P	B		N	04	15		4,053,900	2,371,669	256,151	1,682,231	12/22/2016	O	12/21/2021	
4600003261	AON RISK SERVICES NORTHEAST INC 199 WATER ST - FL 9 NEW YORK, NY 10038-3541 US	CONSULTING SERVICES FOR RISK MANAGEMENT	P	B		N	N	13		1,100,000	765,625	306,250	334,375	1/1/2017	O	12/31/2021	
4600003262	NAES CORP 13 READS WAY STE 100 NEW CASTLE, DE 19720-1609 US	PROVIDE OPERATIONS AND MAINTENANCE SERVICES	M	B		F	N	5		38,000,000	26,207,324	7,803,018	11,792,676	1/1/2017	O	12/31/2021	
4600003265	TANNER INDUSTRIES INC 735 DAVISVILLE RD - 3RD FL SOUTHAMPTON, PA 18966-3200 US	AMMONIA-AQUEOUS	E	B		F	N	2		2,250,000	781,519	218,692	1,468,481	1/1/2017	O	12/31/2021	
4600003266	DEVELOPMENT DIMENSIONS INTERNATIONAL INC 1225 WASHINGTON PIKE - STE 200 BRIDGEVILLE, PA 15017-2838 US	SKILLS ENHANCEMENT TRAINING	P	B	6	F	N	5		465,900	197,370	5,718	268,530	1/9/2017	C		1/8/2020
4600003267	LEWIS TREE SERVICE INC 300 LUCIUS GORDON DR W HENRIETTA, NY 14586 US	RIGHT OF WAY VEGETATION MANAGEMENT	S	B		N	N	6		11,000,000	9,712,548	2,208,225	1,287,452	1/12/2017	O	1/5/2021	
4600003268	AMERICAN VETERAN ENTERPRISE TEAM LLC - JASON L AMBROSINO 855 GREEN CORNERS RD AMSTERDAM, NY 12010-8508 US	LOCKS	E	B	8	F	02	2		250,000	115,201	2,735	134,799	1/13/2017	O	1/12/2022	
4600003271	HAVERFIELD AVIATION INC 1750 EMMITSBURG RD GETTYSBURG, PA 17325 US	AERIAL INSPECTIONS	S	B		F	N	2		2,800,000	1,690,869	451,719	1,109,131	1/27/2017	O	1/26/2022	

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4600003272	NETWORK MAPPING INC 6880 S MCCARRAN BLVD - STE 11 RENO, NV 89509-6129 US	LIDAR SURVEYING AND MAPPING SERVICES	A	B		F	N	7		2,000,000	857,639	153,540	1,142,361	2/7/2017	O	2/6/2022	
4600003273	ALLEN CHASE ENTERPRISES INC 24 COUNTY ROUTE 1A OSWEGO, NY 13126-5912 US	BARE GROUND WEED CONTROL PROJECT CLARK ENERGY CENTER	S	B		N	N	3		200,000	140,410	41,226	59,590	2/14/2017	O	2/13/2021	
4600003275	APOGEE TRANSLITE INC 593 ACORN ST DEER PARK, NY 11729-3617 US	FURNISH AND DELIVER MTA METRO NORTH: GRAND CENTRAL TERMINAL LED PLATFORM LIGHTING	E	B		N	N	6		2,582,294	2,311,245	1,376,475	271,049	3/13/2017	O	2/11/2022	
4600003276	SENTRY EQUIPMENT CORP 966 BLUE RIBBON CIR N OCONOMOWOC, WI 53066-8666 US	CHEMISTRY ANALYZER PANEL MONTHLY MAINTENANCE AND SERVICE	S	B		F	N	1		450,000	155,745	35,640	294,255	2/17/2017	O	2/26/2022	
4600003279	NORTHEAST PROFESSIONAL ENGINEERING CONSULTANTS LLC 108 NEW PARK AVE - UNIT 3 N FRANKLIN, CT 06254-1807 US	ON-CALL CRANE AND HOIST CONSULTING SERVICES	P	B		N	N	5		1,500,000	0	0	1,500,000	3/16/2017	O	4/9/2022	
4600003280	STANTEC CONSULTING SERVICES INC 475 5TH AVE FL 12 NEW YORK, NY 10017-7239 US	ON-CALL CRANE AND HOIST CONSULTING SERVICES	P	B		N	N	5		4,000,000	3,158,863	1,178,637	841,137	4/10/2017	O	4/9/2022	
4600003281	DELTA ENGINEERS ARCHITECTS & LAND SURVEYORS DPC 4873 STATE ROUTE 5 VERNON, NY 13476-3530 US	ENGINEERING AND DESIGN SERVICES FOR POLLUTION PREVENTION PLAN	A	2	8	N	N	1		100,000	47,649	0	52,351	3/10/2017	C		3/10/2020
4600003284	BIDCO MARINE GROUP INC 220 KATHERINE ST BUFFALO, NY 14210-2008 US	PENSTOCK INSPECTION SERVICES	S	B		N	01	3		112,500	112,500	33,750	0	4/1/2017	C		12/31/2020
4600003285	MICHAEL PAGE INTERNATIONAL INC 622 3RD AVE FL 29 NEW YORK, NY 10017-6716 US	PERMANENT STAFFING SEARCH SERVICES	S	B		N	N	35		82,000	80,100	0	1,900	4/1/2017	O	3/31/2022	
4600003286	FS CONSULTING LLC 6B TRIUMPH CT EAST RUTHERFORD, NJ 07073-1144 US	PERMANENT STAFFING SEARCH SERVICES	S	B		N	03	35		5,000	0	0	5,000	4/1/2017	O	3/31/2022	
4600003287	DATROSE 660 BASKET RD WEBSTER, NY 14580-9782 US	PERMANENT STAFFING SEARCH SERVICES	S	B		N	04	35		23,750	23,750	23,750	0	7/31/2017	O	3/31/2022	
4600003288	MONROE STAFFING SERVICES LLC PO BOX 187 MONROE, CT 06468-0187 US	PERMANENT STAFFING SEARCH SERVICES	S	B		F	N	35		51,000	51,000	0	0	4/1/2017	O	3/31/2022	
4600003289	BASE ONE TECHNOLOGIES INC 30 CHURCH ST STE 28 NEW ROCHELLE, NY 10801-6391 US	PERMANENT STAFFING SEARCH SERVICES	S	B		N	03	35		20,000	13,720	0	6,280	4/1/2017	O	3/31/2022	

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4600003290	VTECH SOLUTION INC 1100 H ST NW - STE 750 WASHINGTON, DC 20005-5479 US	PERMANENT STAFFING SEARCH SERVICES	S	B		F	N	35		30,600	30,600	0	0	4/1/2017	O	3/31/2022	
4600003291	INFINITY CONSULTING SOLUTIONS INC 462 7TH AVE - FL 2 NEW YORK, NY 10018-7847 US	PERMANENT STAFFING SEARCH SERVICES	S	B		N	N	35		5,000	0	0	5,000	4/1/2017	O	3/31/2022	
4600003292	SANFORD ROSE OPPORTUNITIES CTR INC DBA SANFORD ROSE ASSOC & TECH CTR 265 S MAIN ST STE 200 AKRON, OH 44308-1223 US	PERMANENT STAFFING SEARCH SERVICES	S	B		F	N	35		5,000	0	0	5,000	4/1/2017	O	3/31/2022	
4600003293	REINHARD-MADISON APPROACH STAFFING DBA MADISON APPROACH STAFFING INC 45 KNOLLWOOD RD - STE 101 ELMSFORD, NY 10523-2806 US	PERMANENT STAFFING SEARCH SERVICES	S	B		N	03	35		5,000	0	0	5,000	4/1/2017	O	3/31/2022	
4600003294	LANCESOFT INC 13454 SUNRISE VALLEY DR - STE 120 HERNDON, VA 20171-3278 US	PERMANENT STAFFING SEARCH SERVICES	S	B		F	N	35		58,500	30,600	0	27,900	4/1/2017	O	3/31/2022	
4600003295	NEXUS STAFFING INC 99 TULIP AVE - STE 105 FLORAL PARK, NY 11001-1927 US	PERMANENT STAFFING SEARCH SERVICES	S	B		N	04	35		50,000	14,000	0	36,000	4/1/2017	O	3/31/2022	
4600003296	KMQ ENTERPRISES INC DBA TAILWIND ASSOCIATES 1462 ERIE BLVD SCHENECTADY, NY 12305-1026 US	PERMANENT STAFFING SEARCH SERVICES	S	B		N	03	35		5,000	0	0	5,000	4/1/2017	O	3/31/2022	
4600003297	VACO BRIDGEWATER LLC 1140 US HIGHWAY 22 STE 302 BRIDGEWATER, NJ 08807-2958 US	PERMANENT STAFFING SEARCH SERVICES	S	B		F	N	35		5,000	0	0	5,000	4/1/2017	O	3/31/2022	
4600003298	CYNET SYSTEMS INC 43480 YUKON DR STE 202 ASHBURN, VA 20147-7332 US	PERMANENT STAFFING SEARCH SERVICES	S	B		F	N	35		5,000	0	0	5,000	4/1/2017	O	3/31/2022	
4600003299	GRIDPOINT INC 11911 FREEDOM DR STE 850 RESTON, VA 20190-6423 US	NYEM DEEP SUB-METERING	S	B	8	F	N	15		20,000,000	1,255,605	25,780	18,744,395	5/3/2017	O	5/2/2022	
4600003300	LABELLA ASSOCIATES D P C 300 STATE ST - STE 201 ROCHESTER, NY 14614-1019 US	UTICA DISCOVERY CENTER PROJECT	A	B		N	N	12		800,000	785,152	56,250	14,848	4/3/2017	C		4/2/2020
4600003301	TECTONIC ENGINEERING & SURVEYING CONSULTANTS PC 11835 QUEENS BLVD - STE 1000 FOREST HILLS, NY 11375-7200 US	ON-CALL TESTING AND INSPECTION SERVICES	P	B		N	N	11		342,000	9,686	4,235	332,314	5/30/2017	O	5/29/2022	

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4600003302	ATLANTIC TESTING LABORATORIES LTD 6431 US HIGHWAY 11 CANTON, NY 13617-3979 US	ON-CALL TESTING AND INSPECTION SERVICES	P	B		N	03	11		844,000	568,732	180,831	275,268	6/6/2017	O	6/5/2022	
4600003303	CME ASSOCIATES INC 403 E TAFT RD NORTH SYRACUSE, NY 13212-3734 US	ON-CALL TESTING AND INSPECTION SERVICES	P	B		N	03	11		342,000	2,426	2,426	339,574	6/23/2017	O	6/22/2022	
4600003304	MUNICIPAL TESTING LABORATORY INC 375 RABRO DR - PO BOX 14124 HAUPPAUGE, NY 11788-4227 US	ON-CALL TESTING AND INSPECTION SERVICES	P	B		N	N	11		342,000	0	0	342,000	6/15/2017	O	6/14/2022	
4600003305	HAIDER ENGINEERING PC 91 TOLEDO ST FARMINGDALE, NY 11735-6620 US	ON-CALL TESTING AND INSPECTION SERVICES	P	B		N	04	11		342,000	0	0	342,000	6/23/2017	O	6/22/2022	
4600003306	ADVANCE TESTING CO INC PO BOX 15124 CAMPBELL HALL, NY 10916 US	ON-CALL TESTING AND INSPECTION SERVICES	P	B		N	N	11		342,000	0	0	342,000	6/23/2017	O	6/22/2022	
4600003307	ENCORUS GROUP ENGINEERING PC 23 MECHANIC ST - PO BOX 344 SPRINGVILLE, NY 14141-0344 US	ON-CALL TESTING AND INSPECTION SERVICES	P	B		N	02	11		342,000	66,832	19,456	275,168	6/23/2017	O	6/22/2022	
4600003308	ACE ELEVATOR INSPECTION CORP PO BOX 1046 N TONAWANDA, NY 14120-2915 US	ON-CALL TESTING AND INSPECTION SERVICES	P	B		N	N	11		5,000	0	0	5,000	6/26/2017	O	6/25/2022	
4600003311	SIMMERS CRANE DESIGN & SERVICES CO DBA FOR POLLOCK REASEARCH & DESIGN 1134 SALEM PKWY SALEM, OH 44460-1063 US	CRANE AND HOIST ON-CALL MAINTENANCE AND REPAIR SERVICES	S	B		F	N	4		4,750,000	4,415,682	943,125	334,318	5/3/2017	O	5/2/2022	
4600003312	PIEDMONT HOIST & CRANE INC #345 789 PRE-EMPTION RD - PO BOX 41 GENEVA, NY 14456-2069 US	CRANE AND HOIST ON-CALL MAINTENANCE AND REPAIR SERVICES	S	B		N	N	4		750,000	44,144	0	705,856	5/3/2017	O	5/2/2022	
4600003314	PLANVIEW DELAWARE LLC 12301 RESEARCH BLVD STE 101 BLDG V AUSTIN, TX 78759-2369 US	CLOUD BASED PROJECT PORTFOLIO MANAGEMENT SOLUTION	S	B		F	N	9		406,580	379,628	101,755	26,952	5/15/2017	O	6/30/2021	
4600003316	GOMEZ AND SULLIVAN ENGINEERS DPC 288 GENESEE ST UTICA, NY 13502 US	VEGETATION INVENTORY SERVICES FOR THE BLENHEIM GILBOA PROJECT	P	B		N	N	6		1,500,000	666,922	57,385	833,078	6/1/2017	O	5/31/2021	
4600003317	GE RENEWABLES US LLC formally ALSTOM RENEWABLE 8000 E MAPLEWOOD AVE STE 250 GREENWOOD VILLAGE, CO 80111-4727 US	LPGP - DESIGN-SUPPLY MGEN THRUST BEARING COMPONENTS	E	B		F	N	1		3,115,414	1,031,766	333,396	2,083,648	6/9/2017	O	12/31/2024	

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4600003318	LECHASE CONSTRUCTION SERVICES LLC 1473 ERIE BLVD SCHENECTADY, NY 12305-1004 US	CONSTRUCTION OF EMERGENCY ENERGY CONTROL CENTER	C	B		N	N	2		12,499,799	12,488,394	384,099	11,405	6/1/2017	C		12/31/2020
4600003319	COGNIZANT TECHNOLOGY SOLUTIONS U S CORP 211 QUALITY CIR COLLEGE STATION, TX 77845-4470 US	IT CO SOURCING SERVICES	P	B		F	N	39		10,164,621	6,663,947	3,614,808	3,500,674	6/7/2017	O	6/6/2022	
4600003320	ERNST & YOUNG LLP 5 TIMES SQ NEW YORK, NY 10036-6540 US	IT CO SOURCING SERVICES	P	B		N	N	39		10,171,036	8,413,015	2,584,633	1,758,021	6/14/2017	O	7/2/2022	
4600003321	DELOITTE CONSULTING LLP 30 ROCKEFLLER PLAZA NEW YORK, NY 10112-0015 US	IT CO SOURCING SERVICES	P	B		N	N	39		17,462,860	13,319,573	5,991,576	4,143,287	6/14/2017	O	6/20/2022	
4600003322	BERNIER CARR & ASSOCIATES ENGINEERS ARCHITECTS AND LAND SURVEYORS PC 327 MULLIN ST WATERTOWN, NY 13601-3686 US	CONSTRUCTION, MANAGEMENT, INSPECTION AND DESIGN SERVICES FOR ENVIRONMENTAL, RECREATIONAL AND SHORELINE IMPROVEMENTS	P	B		N	N	1		1,700,000	1,079,903	419,167	620,097	7/1/2017	O	6/30/2022	
4600003325	HANES SUPPLY INC 55 JAMES E CASEY DR BUFFALO, NY 14206-2361 US	STEEL HARDWARE ICE BOOM	E	B		F	N	1		690,370	642,790	215,170	47,580	8/1/2017	C		7/31/2020
4600003329	UTILITY SYSTEMS INC DBA FOR MAGNETIC INSTRUMENTATION 8431 CASTLEWOOD DR INDIANAPOLIS, IN 46250-1534 US	DFR/PMU EQUIPMENT	E	B	8	N	N	1		865,870	844,957	0	20,913	7/24/2017	O	7/23/2022	
4600003331	PRAXAIR DISTRIBUTION INC 39 OLD RIDGEBURY RD DANBURY, CT 06810-5108 US	CALIBRATED GASES	E	B		F	N	4		291,440	153,670	39,158	137,770	7/27/2017	O	9/23/2021	
4600003332	FISHER ASSOCIATES PE LS LA DPC 180 CHARLOTTE ST ROCHESTER, NY 14607-1331 US	SPDES INSPECTION AND SAMPLING ANALYSIS SERVICES	S	B		N	N	4		150,000	88,069	27,754	61,931	8/1/2017	O	7/31/2021	
4600003333	MABEY INC 218 N RANDOLPHVILLE RD PISCATAWAY, NJ 08854-3127 US	DURA BASE COMPOSITE MATTING	E	B		F	N	2		312,500	121,350	0	191,150	7/28/2017	C		7/27/2020
4600003335	ACADIA ENERGY CORPORATION #1A 2765 BUFFALO RD ROCHESTER, NY 14624-1319 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		N	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003336	ADVANCED MICROGRID SOLUTIONS INC STE 200 25 STILLMAN STREET SAN FRANCISCO, CA 94107-1379 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		F	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003337	AMERESCO INC 111 SPEEN ST STE 410 FRAMINGHAM, MA 01701-2090 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		F	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	

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4600003338	BURNS & MCDONNELL CONSULTANTS INC 9400 WARD PKWY KANSAS CITY, MO 64114-3319 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		F	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003339	CONTI ENTERPRISES INC 2045 LINCOLN HIGHWAY EDISON, NJ 08817-3334 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		F	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003341	DEMAND ENERGY NETWORKS INC 24001 E MISSION AVE STE 102 LIBERTY LAKE, WA 99019-0685 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		F	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003342	DYNAMIC US INC 2900 WESTCHESTER AVE STE 207 PURCHASE, NY 10577-2551 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		F	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003343	EDF RENEWABLES DISTRIBUTED SOLUTIONS INC 5 COMMERCE AVE WEST LEBANON, NH 03784-1675 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		N	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003344	HESP SOLAR LLC STE 160 400 RELLA BLVD SUFFERN, NY 10901-8113 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		N	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003346	J R CONKEY & ASSOCIATES INC SOLAR POWER INTEGRATORS 735 SUNRISE AVE STE 200 ROSEVILLE, CA 95661-4596 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		F	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003347	LABELLA ASSOCIATES D P C 300 STATE ST - STE 201 ROCHESTER, NY 14614-1019 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		N	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003348	LOCKHEED MARTIN CORPORATION 1701 W. MARSHALL DRIVE GRAND PRAIRIE, TX 75051-2704 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		F	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003349	MOOSE POWER INC 307-304 DUPONT ST TORONTO, ON M5R 1V9 CA	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		F	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003350	NAMASTE SOLAR ELECTRIC INC DBA NAMASTE SOLAR 122 MAIN STREET NEW PALTZ, NY 12561-1525 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		N	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003351	RDS INDUSTRIES INC 4301 162ND ST FLUSHING, NY 11358-3107 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		N	04	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003352	SMARTEDGE DBA FOR BUILDING CONTROLS&SERVICES 4 PEUQUET PKWY TONAWANDA, NY 14150-2413 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		N	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	

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4600003353	SOL SYSTEMS LLC LOWR 2 1101 CONNECTICUT AVE NW WASHINGTON, DC 20036-4330 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		F	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003354	SOLAR LIBERTY ENERGY SYSTEMS INC 6500 SHERIDAN DR - STE 120 BUFFALO, NY 14221-4845 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		N	N	29		10,000,000	166,852	166,852	9,833,148	9/1/2017	O	8/31/2022	
4600003355	SOLARCITY CORP TESLA ENERGY 3055 CLEARVIEW WAY SAN MATEO, CA 94402-3709 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		F	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003356	STEM INC 100 ROLLINS ROAD MILLBRAE, CA 94030-3115 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		F	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003357	THE RYAN COMPANY INC STE 1200 5445 DTC PARKWAY GREENWOOD VILLAGE, CO 80111-3090 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		F	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003358	UGE USA INC STE 1103 330 W 38TH STREET NEW YORK, NY 10018-8446 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		N	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003359	VIRIDITY ENERGY SOLUTIONS INC 1801 MARKET ST PHILADELPHIA, PA 19103-1628 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		F	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003361	DIRECT ENERGY BUSINESS MARKETING LLC 194 WOOD AVE S - FL 2 ISELIN, NJ 08830-2710 US	DISTRIBUTED ENERGY PROJECTS AT THE AUTHORITY'S CUSTOMER FACILITIES	S	B		F	N	29		10,000,000	0	0	10,000,000	9/1/2017	O	8/31/2022	
4600003362	BUFFALO ENVIRONMENTAL CONSULTANTS INC 7815 BUFFALO AVE NIAGARA FALLS, NY 14304-4221 US	EHS PROFESSIONAL	P	B		N	N	4		1,050,000	661,974	221,797	388,026	9/1/2017	O	8/31/2022	
4600003363	CORE ENVIRONMENTAL CONSULTANTS INC 2312 WEHRLE DR BUFFALO, NY 14221-7021 US	PROVIDE SAMPLINGS AND ANALYSIS FOR THE AUTHORITY'S SITES	S	B		N	03	2		750,000	329,345	121,131	420,655	10/1/2017	O	9/30/2022	
4600003364	BLACK & VEATCH NEW YORK LLP 11401 LAMAR AVE OVERLAND PARK, KS 66211-1508 US	RENEWABLE SOLAR DEVELOPMENT ENGINEERING SUPPORT	P	B		N	N	16		500,000	10,284	0	489,716	8/31/2017	O	8/30/2022	
4600003365	BURNS & MCDONNELL CONSULTANTS INC 9400 WARD PKWY KANSAS CITY, MO 64114-3319 US	RENEWABLE SOLAR DEVELOPMENT ENGINEERING SUPPORT	P	B		F	N	16		500,000	0	0	500,000	12/15/2017	O	8/30/2022	
4600003366	DNV KEMA RENEWABLES INC 1400 RAVELLO RD KATY, TX 77449-5164 US	RENEWABLE SOLAR DEVELOPMENT ENGINEERING SUPPORT	P	B		F	N	16		500,000	16,700	0	483,300	11/13/2017	O	8/30/2022	

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4600003367	CORPORATE COUNSELING ASSOCIATES INC 475 PARK AVE S - FL 8 NEW YORK, NY 10016 US	EMPLOYEE ASSISTANCE PROGRAM SERVICES FOR NYPA AND CANALS EMPLOYEES	P	B		N	N	4		250,000	134,550	41,400	115,450	9/1/2017	O	8/31/2022	
4600003368	OCCUPATIONAL SAFETY & ENVIRONMENTAL ASSOCIATION INC 3730 CALIFORNIA RD STE A ORCHARD PARK, NY 14127-1795 US	EHS PROFESSIONAL	P	B		N	N	4		450,000	0	0	450,000	9/1/2017	O	8/31/2022	
4600003369	SIENNA ENVIRONMENTAL TECHNOLOGIES LLC 350 ELMWOOD AVE BUFFALO, NY 14222-2204 US	EHS PROFESSIONAL	P	B		N	04	4		750,000	138,411	53,988	611,589	9/1/2017	O	8/31/2022	
4600003370	GREAT LAKES ENVIRONMENTAL & SAFETY CONSULTANTS INC 50 RIDGE RD BUFFALO, NY 14218-1011 US	EHS PROFESSIONAL	P	B		N	N	4		750,000	0	0	750,000	9/1/2017	O	8/31/2022	
4600003371	FRANK D RIGGIO CO INC DBA RIGGIO VALVE 797 AVENUE E BAYONNE, NJ 07002 US	VALVE REPAIR SERVICES	S	B		F	N	1		5,000,000	803,176	269,728	4,196,824	9/1/2017	O	8/31/2022	
4600003372	RTDS TECHNOLOGIES INC 100-150 INNOVATION DR WINNIPEG, MB R3T 2E1 CA	FURNISH, DELIVER, INSTALL, AND COMMISSION SIMULATORS FOR AGILE THAT WOULD PROVIDE MVSS AND ALLOW FOR FUTURE EXPANSION	E	B		F	N	2		4,000,000	2,044,875	28,975	1,955,125	9/11/2017	O	9/10/2022	
4600003373	OPAL-RT TECHNOLOGIES INC 1751 RICHARDSON - STE 2525 MONTREAL, QC H3K 1G6 CA	FURNISH, DELIVER, INSTALL, AND COMMISSION SIMULATORS FOR AGILE THAT WOULD PROVIDE MVSS AND ALLOW FOR FUTURE EXPANSION	E	B		F	N	2		4,000,000	1,662,646	477,113	2,337,354	9/29/2017	O	9/28/2022	
4600003374	GENERAL ELECTRIC INTERNATIONAL INC 475 CREAMERY WAY EXTON, PA 19341-2546 US	LONG TERM SERVICE AND EXTENDED PARTS AGREEMENT	M	B		F	N	3		131,000,000	25,937,601	6,405,480	105,062,399	9/27/2017	O	9/27/2041	
4600003376	KJR CONSULTING LLC 1239 EDGELL RD STE LL FRAMINGHAM, MA 01701-3064 US	TRAINING SERVICES - MANAGE EXECUTION AND EXECUTE	P	B		F	N	11		196,600	110,015	22,407	86,585	10/12/2017	O	10/11/2022	
4600003379	RESA POWER LLC 40 OLIVER TERR - PO BOX 619 SHELTON, CT 06484-0343 US	BREAKER MAINTENANCE AND REPAIR	S	B		F	N	3		4,500,000	2,265,562	382,706	2,234,438	11/20/2017	O	11/19/2022	
4600003380	LONGO ELECTRICAL MECHANICAL INC 1 HARRY SHUPE BLVD WHARTON, NJ 07885-1646 US	BREAKER MAINTENANCE AND REPAIR	S	B		F	N	3		500,000	20,326	0	479,674	11/1/2017	O	10/31/2022	
4600003381	MIND GYM USA INC 475 PARK AVE S #2 NEW YORK, NY 10016-6901 US	TRAINING SERVICES - MANAGE EXECUTION AND EXECUTE	P	B		N	N	11		10,000	9,800	0	200	10/12/2017	O	10/11/2022	

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4600003382	DEVELOPMENT DIMENSIONS INTERNATIONAL INC 1225 WASHINGTON PIKE - STE 200 BRIDGEVILLE, PA 15017-2838 US	TRAINING SERVICES - MANAGE EXECUTION AND EXECUTE	P	B		F	N	11		57,920	9,548	9,548	48,372	10/12/2017	O	10/11/2022	
4600003383	KJR CONSULTING LLC 1239 EDGELL RD STE LL FRAMINGHAM, MA 01701-3064 US	BUILD TALENT AND LEARN	P	B		F	N	15		160,600	67,200	13,099	93,400	11/1/2017	O	10/31/2022	
4600003385	MIND GYM USA INC 475 PARK AVE S #2 NEW YORK, NY 10016-6901 US	BUILD TALENT AND LEARN	P	B		N	N	15		121,400	88,911	38,892	32,489	11/1/2017	O	10/31/2022	
4600003386	DEVELOPMENT DIMENSIONS INTERNATIONAL INC 1225 WASHINGTON PIKE - STE 200 BRIDGEVILLE, PA 15017-2838 US	BUILD TALENT AND LEARN	P	B		F	N	15		420,000	0	0	420,000	11/1/2017	O	10/31/2022	
4600003387	GENERAL ELECTRIC INTERNATIONAL INC 4200 WILDWOOD PKWY ATLANTA, GA 30339 US	DIGITAL UTILITY STRATEGIC PARTNERSHIP	P	B		F	N	28		11,501,134	3,736,049	2,332,891	7,765,085	12/22/2017	O	10/31/2022	
4600003388	PA CONSULTING GROUP INC 405 LEXINGTON AVE - FL 45 NEW YORK, NY 10174-0002 US	DIGITAL UTILITY STRATEGIC PARTNERSHIP	P	B		N	N	28		6,595,777	4,795,930	2,117,177	1,799,847	11/1/2017	O	10/31/2022	
4600003389	INDIGO ADVISORY GROUP LLC DBA FOR DAVID GROARKE 6537 MAURICE AVE APT 1 WOODSIDE, NY 11377-5801 US	DIGITAL UTILITY STRATEGIC PARTNERSHIP	P	B		N	N	28		3,258,590	2,168,275	887,286	1,090,315	11/1/2017	O	10/31/2022	
4600003391	GP STRATEGIES CORP 11000 BROKEN LAND PKWY STE 200 COLUMBIA, MD 21044-3555 US	DIGITAL UTILITY STRATEGIC PARTNERSHIP	P	B		F	N	28		500,000	66,063	66,063	433,937	11/1/2017	O	10/31/2022	
4600003392	MARS DISCOVERY DISTRICT 101 COLLEGE ST - STE 401 TORONTO, ON M5G 1L7 CA	DIGITAL UTILITY STRATEGIC PARTNERSHIP	P	B		F	N	28		1,202,306	1,158,093	732,126	44,213	11/1/2017	O	10/31/2022	
4600003393	KJR CONSULTING LLC 1239 EDGELL RD STE LL FRAMINGHAM, MA 01701-3064 US	ENERGIZE THE ORGANIZATION, COMMUNICATE AND COLLABORATE	P	B		F	N	15		5,000	0	0	5,000	11/1/2017	O	10/31/2022	
4600003394	DEVELOPMENT DIMENSIONS INTERNATIONAL INC 1225 WASHINGTON PIKE - STE 200 BRIDGEVILLE, PA 15017-2838 US	ENERGIZE THE ORGANIZATION, COMMUNICATE AND COLLABORATE	P	B		F	N	15		5,000	0	0	5,000	11/1/2017	O	10/31/2022	
4600003395	MIND GYM USA INC 475 PARK AVE S #2 NEW YORK, NY 10016-6901 US	ENERGIZE THE ORGANIZATION, COMMUNICATE AND COLLABORATE	P	B		N	N	15		17,100	11,949	0	5,151	11/1/2017	O	10/31/2022	
4600003396	CAITLIN DRAGO INSPIRE IMPROV AND COACHING 1809 WAYNEPORT RD MACEDON, NY 14502-9112 US	ENERGIZE THE ORGANIZATION, COMMUNICATE AND COLLABORATE	P	B		N	03	15		10,500	7,000	0	3,500	11/1/2017	C		10/31/2020

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4600003397	IGNITION COACHING LLC DBA FOR KULVINDER KAUR JASWAL PO BOX 634 RYE, NY 10580-0634 US	ENERGIZE THE ORGANIZATION, COMMUNICATE AND COLLABORATE	P	B			N	N	15		259,700	235,795	56,435	23,905	11/1/2017	O	10/31/2022	
4600003398	DALE CARNEGIE & ASSOCIATES INC NYC 780 3RD AVE BSMT C1 NEW YORK, NY 10017-2043 US	ENERGIZE THE ORGANIZATION, COMMUNICATE AND COLLABORATE	P	B			N	N	15		108,600	97,102	53,584	11,498	2/1/2018	O	1/31/2023	
4600003399	TURNER AND TOWNSEND INC 11 EAST 26TH ST FL 5 NEW YORK, NY 10010 US	ASSET MANAGEMENT SUPPORT SERVICES	P	B			N	N	9		3,107,428	2,702,750	553,391	404,678	11/1/2017	O	10/31/2022	
4600003400	WSP USA INC ONE PENN PLZ - FL 2 NEW YORK, NY 10119-0021 US	ASSET MANAGEMENT SUPPORT SERVICES	P	B			N	N	9		2,000,000	0	0	2,000,000	11/1/2017	O	10/31/2022	
4600003401	DELOITTE & TOUCHE LLP 4022 SELLS DR HERMITAGE, TN 37076-2903 US	ASSET MANAGEMENT SUPPORT SERVICES	P	B			F	N	9		3,000,000	0	0	3,000,000	11/1/2017	O	10/31/2022	
4600003403	ERNST & YOUNG LLP 5 TIMES SQ NEW YORK, NY 10036-6540 US	ASSET MANAGEMENT SUPPORT SERVICES	P	B			N	N	9		3,000,000	0	0	3,000,000	12/20/2017	O	10/31/2022	
4600003404	ROYAL DIAMOND CONSTRUCTION CORP 1 HIGHLAND DR CORTLANDT MANOR, NY 10567-2609 US	ON-CALL GENERAL CONTRACTING SERVICES	C	B			N	03	3		2,000,000	864,912	216,256	1,135,088	12/1/2017	O	11/30/2022	
4600003405	IEM ENERGY CONSULTANTS LLC 5200 BIRCHWOOD CT NW ALEXANDRIA, MN 56308-8071 US	CONSULTING SERVICES	P	2			F	N	1		550,000	132,339	10,980	417,661	11/14/2017	C		11/22/2020
4600003407	LECHASE CONSTRUCTION SERVICES LLC 1473 ERIE BLVD SCHENECTADY, NY 12305-1004 US	ON-CALL GENERAL CONTRACTING SERVICES	C	B			N	N	3		2,000,000	32,038	0	1,967,962	12/1/2017	O	11/30/2022	
4600003408	SCULLY CONSTRUCTION LLC 141 LAFAYETTE AVE WHITE PLAINS, NY 10603 US	ON-CALL GENERAL CONTRACTING SERVICES	C	B			N	N	3		5,000,000	4,584,078	586,836	415,922	12/1/2017	O	11/30/2022	
4600003412	MIRATECH KNOXVILLE LLC 1729 LOUISVILLE DR KNOXVILLE, TN 37921 US	CO CATALYST WASH AND REFURBISHMENT	S	B			F	N	3		2,000,000	66,724	0	1,933,276	12/15/2017	O	12/14/2022	
4600003413	TALISEN TECHNOLOGIES INC 12655 OLIVE BLVD - STE 500 SAINT LOUIS, MO 63141-6362 US	DIGITAL UTILITY STRATEGIC PARTNERSHIP	P	B			N	04	28		936,661	488,101	244,437	448,560	12/8/2017	O	10/31/2022	
4600003414	WSP USA CORP DBA WSP SELLS 1 COLUMBIA CIR ALBANY, NY 12203-6383 US	PHOTOGRAMMETRIC SERVICES NEW YORK STATEWIDE	P	B			N	N	2		2,000,000	0	0	2,000,000	1/23/2018	O	1/22/2023	
4600003415	FISHER ASSOCIATES PE LS LA DPC 180 CHARLOTTE ST ROCHESTER, NY 14607-1331 US	REGIONAL SURVEYING AND MAPPING SERVICES NEW YORK STATEWIDE	P	B			N	N	19		5,813,667	3,211,162	202,723	2,602,505	12/19/2017	O	12/18/2022	

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4600003417	CT MALE ASSOC ENGINEERING SURVEY ARCHITECT & LANDSCAPE ARCHITECT DPC 50 CENTURY HILL DR LATHAM, NY 12110-0727 US	REGIONAL SURVEYING AND MAPPING SERVICES NEW YORK STATEWIDE	P	B		N	N	19		3,166,667	577,598	130,784	2,589,069	12/19/2017	O	12/18/2022	
4600003418	TRIATHLON INDUSTRIES INC DBA TRIDON CHEMICAL 87 N INDUSTRY CT - STE G DEER PARK, NY 11729-4607 US	CHEMICALS	E	B		N	03	2		350,000	107,100	30,585	242,900	1/1/2018	O	12/31/2022	
4600003420	GEOD CORP 24 KANOUSE ROAD NEWFOUNDLAND, NJ 07435-1510 US	REGIONAL SURVEYING AND MAPPING SERVICES NEW YORK STATEWIDE	A	B		N	N	19		2,894,667	110,795	35,522	2,783,872	12/12/2017	O	12/11/2022	
4600003421	GOODMART LIGHTING AND ELECTRICAL SUPPLY 232 MADISON AVE FL 3 NEW YORK, NY 10016-2953 US	ENERGY EFFICIENCY LIGHTING	E	B		N	N	8		7,000,000	1,157,614	149,375	5,842,386	12/18/2017	O	12/15/2021	
4600003422	DCB ELEVATOR CO INC PO BOX 426 LEWISTON, NY 14092 US	ELEVATOR/ESCALATOR MAINTENANCE AGREEMENT	S	B	7	N	03	2		400,000	240,573	92,153	159,427	1/1/2018	O	12/31/2021	
4600003423	AECOM USA INC 125 BROAD ST NEW YORK, NY 10004-2400 US	PROGRAM PROJECT MANAGEMENT	A	B		N	N	14		16,159,876	13,648,612	2,205,731	2,511,264	12/19/2017	O	12/31/2022	
4600003424	HB COMMUNICATIONS INC 60 DODGE AVE NORTH HAVEN, CT 06473-1124 US	POLYCOM EQUIPMENT MAINTENANCE SERVICES	S	B		N	N	3		848,435	765,921	249,819	82,514	1/1/2018	C		12/31/2020
4600003425	K & A ENGINEERING CONSULTING PC 445 HAMILTON AVE STE 406 WHITE PLAINS, NY 10601-1825 US	PROGRAM PROJECT MANAGEMENT	A	B		N	04	14		20,143,124	14,335,837	4,156,916	5,807,287	1/1/2018	O	12/31/2022	
4600003426	CHA CONSULTING INC III WINNERS CIRCLE ALBANY, NY 12205-0269 US	PROGRAM PROJECT MANAGEMENT	A	B		N	N	14		3,700,000	1,560,767	999,604	2,139,233	12/19/2017	O	12/31/2022	
4600003427	ICAHN SCHOOL OF MEDICINE AT MOUNT SINAI 1 GUSTAVE L LEVY PL # 1057 NEW YORK, NY 10029-6504 US	OCCUPATIONAL HEALTH AND MEDICAL CONSULTATION SERVICES	P	B		N	N	2		455,875	95,800	15,208	360,075	12/19/2017	O	12/31/2022	
4600003428	UNLIMITED TECHNOLOGY INC 20 SENN DR CHESTER SPRINGS, PA 19425-9539 US	SECURITY MAINTENANCE SERVICES - MULTIPLE SITES	S	B		N	N	4		1,750,000	1,090,000	353,716	660,000	1/1/2018	O	12/31/2022	
4600003429	HKA GLOBAL INC 2005 MARKET ST STE 820 PHILADELPHIA, PA 19103-7005 US	RISK MANAGEMENT CONSULTING SERVICES	P	B		F	N	10		1,000,000	259,872	43,393	740,128	12/26/2017	O	9/12/2021	

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4600003430	NORTHEAST PROFESSIONAL ENGINEERING CONSULTANTS LLC 108 NEW PARK AVE - UNIT 3 N FRANKLIN, CT 06254-1807 US	ON-CALL CRANE TECHNICAL CONSULTING SERVICES FOR CENTRAL AREAS AND TRANSMISSION DIVISION	A	B		F	N	4		2,750,000	0	0	2,750,000	1/2/2018	O	12/31/2022	
4600003431	STANTEC CONSULTING SERVICES INC 475 5TH AVE FL 12 NEW YORK, NY 10017-7239 US	ON-CALL CRANE TECHNICAL CONSULTING SERVICES FOR CENTRAL, AREAS AND TRANSMISSION DIVISION	A	B		N	N	4		2,750,000	135,400	57,665	2,614,600	1/2/2018	O	12/31/2022	
4600003432	HONEYWELL INTERNATIONAL INC 14 COLUMBIA CIRCLE STE 103 ALBANY, NY 12203-5162 US	ENERGY SAVINGS PERFORMANCE CONTRACTING	E	B		N	N	30		24,000,000	0	0	24,000,000	2/15/2018	O	2/14/2023	
4600003433	JOHNSON CONTROLS INC 507 E MICHIGAN ST - MAILSTOP M-16 MILWAUKEE, WI 53202-5211 US	ENERGY SAVINGS PERFORMANCE CONTRACTING	C	B		F	N	30		22,000,000	0	0	22,000,000	2/15/2018	O	2/14/2023	
4600003435	GENESYS ENGINEERING PC 629 FIFTH AVE - STE 111 PELHAM, NY 10803 US	ENERGY SAVINGS PERFORMANCE CONTRACTING	C	B		N	N	30		22,000,000	0	0	22,000,000	2/15/2018	O	2/14/2023	
4600003436	SIEMENS INDUSTRY INC 10900 WAYZATA BLVD - STE 400 MINNETONKA, MN 55305-5602 US	ENERGY SAVINGS PERFORMANCE CONTRACTING	C	B		F	N	30		22,000,000	0	0	22,000,000	2/15/2018	O	2/14/2023	
4600003441	WENDEL ENERGY SERVICES LLC 375 ESSJAY RD - STE 200 WILLIAMSVILLE, NY 14221-5761 US	ENERGY SAVINGS PERFORMANCE CONTRACTING	C	B		N	N	30		22,000,000	0	0	22,000,000	2/15/2018	O	2/14/2023	
4600003442	AECOM USA INC 125 BROAD ST NEW YORK, NY 10004-2400 US	ENERGY SAVINGS PERFORMANCE CONTRACTING	C	B		N	N	30		22,000,000	0	0	22,000,000	2/15/2018	O	2/14/2023	
4600003443	NORESCO LLC 1 RESEARCH DR STE 400C WESTBOROUGH, MA 01581-3963 US	ENERGY SAVINGS PERFORMANCE CONTRACTING	C	B		F	N	30		22,000,000	0	0	22,000,000	2/15/2018	O	2/14/2023	
4600003444	ENERGY SYSTEMS GROUP LLC SUBSIDARY OF VECTREN ENERGY SERV 9877 EASTGATE CT NEWBURGH, IN 47630-9366 US	ENERGY SAVINGS PERFORMANCE CONTRACTING	C	B		N	N	30		22,000,000	0	0	22,000,000	2/15/2018	O	2/14/2023	
4600003445	ACCENTURE LLP 111 WASHINGTON ST ALBANY, NY 12210-2209 US	DIGITAL UTILITY STRATEGIC PARTNERSHIP	P	B		N	N	28		17,786,482	14,612,094	7,824,759	3,174,388	1/29/2018	O	10/31/2022	
4600003446	LOCKHEED MARTIN CORPORATION 1701 W. MARSHALL DRIVE GRAND PRAIRIE, TX 75051-2704 US	DIGITAL UTILITY STRATEGIC PARTNERSHIP	P	B		F	N	28		5,000	0	0	5,000	1/29/2018	O	10/31/2022	
4600003449	SIEMENS INDUSTRY INC 400 STATE ST SCHENECTADY, NY 12305-2304 US	DIGITAL UTILITY STRATEGIC PARTNERSHIP	P	B		N	N	28		133,459	133,424	54,221	35	2/10/2018	O	10/31/2022	

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4600003450	BURNS & MCDONNELL CONSULTANTS INC 9400 WARD PKWY KANSAS CITY, MO 64114-3319 US	ASSET MANAGEMENT SUPPORT SERVICES	P	B		F	N	9		3,000,000	152,087	0	2,847,913	2/19/2018	O	10/31/2022	
4600003451	CABLETIME 100 VALLEY ROAD MOUNT ARLINGTON, NJ 07856-1324 US	DIGITAL SIGNAGE FOR COMMUNICATIONS	E	B		F	N	4		1,025,606	579,655	1,637	445,951	3/13/2018	O	3/12/2022	
4600003452	SIGNIFY NORTH AMERICA CORPORATION 200 FRANKLIN SQUARE DR SOMERSET, NJ 08873-4186 US	ENERGY EFFICIENCY FOR STREET LIGHTING PROJECTS THROUGH OUT NEW YORK STATE	E	B		F	N	12		6,500,000	4,112,902	1,619,307	2,387,098	3/1/2018	O	3/18/2021	
4600003453	DELOITTE & TOUCHE LLP 4022 SELLS DR HERMITAGE, TN 37076-2903 US	INTERNAL CO-SOURCING SERVICES	P	C		N	N	8		7,400,000	4,582,881	1,564,144	2,817,119	5/1/2018	O	4/30/2023	
4600003454	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	MAINTENANCE - SMARTNET	S	B	8	N	N	2		2,843,273	2,736,158	183,113	107,115	1/1/2018	O	12/31/2022	
4600003455	CDW COMPUTER CENTER INC CDW GOV'T SALES TWO ENTERPRISE DR - STE 404 SHELTON, CT 06484 US	CINEMASSIVE EQUIPMENT	E	B		N	N	3		3,750,000	3,452,688	92,362	297,312	2/27/2018	O	2/26/2021	
4600003456	GEXPRO DBA FOR REXEL USA INC 30 CORPORATE CIR STE 200 ALBANY, NY 12203-5149 US	ENERGY EFFICIENCY FOR STREET LIGHTING PROJECTS THROUGH OUT NEW YORK STATE	E	B		N	N	12		3,500,000	118,057	55,675	3,381,943	3/19/2018	O	3/17/2022	
4600003457	AMERESCO INC 50 FRONT ST STE 201 NEWBURGH, NY 12550-5685 US	ESPC PERFORMANCE CONTRACTING	E	B		N	N	30		22,000,000	0	0	22,000,000	2/15/2018	O	2/14/2023	
4600003459	C3.AI INC 1300 SEAPORT BLVD STE 500 REDWOOD CITY, CA 94063-5592 US	DIGITAL UTILITY STRATEGIC PARTNERSHIP	E	B		F	N	28		11,166,333	8,046,726	1,929,015	3,119,607	3/30/2018	O	3/29/2023	
4600003460	L J GONZER ASSOCIATES 14 COMMERCE DR - STE 305 CRANFORD, NJ 07016 US	DRAFTING DESIGN SUPPORT	W	B	8	F	N	11		400,000	105,988	43,218	294,012	4/1/2018	O	3/31/2023	
4600003461	CASELLA WASTE SERVICES PO BOX 5195 POTSDAM, NY 13676 US	REFUSE SERVICES	S	B		N	N	1		400,000	271,172	80,808	128,828	4/4/2018	O	4/3/2021	
4600003462	AEROTEK INC 757 3RD AVE - STE 201 NEW YORK, NY 10017 US	DRAFTING DESIGN SUPPORT	W	B	8	N	N	11		700,000	93,566	72,360	606,434	4/6/2018	O	3/31/2023	
4600003465	CANON SOLUTIONS AMERICA INC 1 CANON PRK MELVILLE, NY 11747-3036 US	MANAGED PRINT SERVICES	E	C		F	N	3		3,984,833	1,493,115	677,012	2,491,718	5/1/2018	O	4/30/2022	
4600003466	LONGO ELECTRICAL MECHANICAL INC 1 HARRY SHUPE BLVD WHARTON, NJ 07885-1646 US	MOTOR AND MAINTENANCE SERVICE	S	B		N	N	1		4,000,000	52,919	18,789	3,947,081	5/1/2018	O	4/30/2023	

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4600003470	SCHWEITZER ENGINEERING LAB INC C/O ROBINSON SALES INC 100 W SIXH ST - STE 4 MEDIA, PA 19063-2433 US	SCHWEITZER OUTLINE AGREEMENT	E	B		F	N	2		500,000	272,508	230,600	227,492	5/1/2018	O	4/30/2023	
4600003471	SCHWEITZER ENGINEERING LAB INC C/O ROBINSON SALES INC 100 W SIXH ST - STE 4 MEDIA, PA 19063-2433 US	SCHWEITZER EQUIPMENT	E	B		F	N	2		750,000	437,003	36,799	312,997	5/1/2018	O	4/30/2023	
4600003472	ROTATOR STAFFING SERVICES INC 25 KENNEDY BLVD E BRUNSWICK, NJ 08816-1259 US	DRAFTING DESIGN SUPPORT	W	B	8	F	N	11		300,000	0	0	300,000	5/1/2018	O	3/31/2023	
4600003473	KLEINSCHMIDT ASSOCIATES PA PC PO BOX 650 PITTSFIELD, ME 04967-0650 US	LICENSING AND ENVIRONMENTAL ON-CALL	P	B		N	N	7		2,475,000	0	0	2,475,000	5/2/2018	O	5/31/2023	
4600003474	LEHIGH G I T INC 700 VETERANS MEMORIAL HWY STE 214 HAUPPAUGE, NY 11788-2969 US	DRAFTING DESIGN SUPPORT	W	B	8	N	N	11		1,300,000	770,633	241,840	529,367	5/7/2018	O	3/31/2023	
4600003475	MONROE STAFFING SERVICES LLC PO BOX 187 MONROE, CT 06468-0187 US	DRAFTING DESIGN SUPPORT	W	B	8	N	N	11		200,000	0	0	200,000	5/7/2018	O	3/31/2023	
4600003476	THE DAY & ZIMMERMANN GROUP INC STARPOINT SOLUTIONS LLC A YOH COMP 1500 SPRING GARDEN ST PHILADELPHIA, PA 19130 US	DRAFTING DESIGN SUPPORT	W	B	8	N	N	11		100,000	0	0	100,000	5/7/2018	O	3/31/2023	
4600003477	A-LINE E D S INC 808 DEARBORN AVE WATERLOO, IA 50703-5449 US	TRANSPORT AND DISPOSAL OF OIL FILLED EQUIPMENT	S	B		F	N	3		2,500,000	0	0	2,500,000	5/1/2018	O	3/31/2023	
4600003478	TCI OF NY LLC PO BOX 936 COEYMANS, NY 12045-0936 US	TRANSPORT AND DISPOSAL OF OIL FILLED EQUIPMENT	S	B		N	01	3		2,500,000	30,924	29,809	2,469,076	5/1/2018	O	3/31/2023	
4600003479	GOTHAM REFINING CHEMICAL CORP 2374 48TH ST ASTORIA, NY 11103-1014 US	COOLING TOWER CHEMICAL	E	B		N	N	1		937,500	579,346	164,801	358,154	5/21/2018	O	5/21/2023	
4600003482	U ARIAS CORP 1855 IMPERIAL AVE NEW HYDE PARK, NY 11040-4008 US	LANDSCAPTING	S	B		N	04	1		1,000,000	193,312	65,645	806,688	5/21/2018	O	5/20/2023	
4600003483	CARAHSOFT TECHNOLOGY CORP 11493 SUNSET HILLS RD STE 100 RESTON, VA 20190-5328 US	IDENTITY AND ACCESS MANAGEMENT SOFTWARE AND INTEGRATION SERVICES	P	B		F	N	7		1,838,197	1,656,046	104,232	182,151	5/21/2018	O	5/20/2023	

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4600003484	GRAINGER DBA FOR W W GRAINGER INC DEPT 807245360 PALATINE, IL 60038-0001 US	MRO INDUSTRIAL SUPPLIES STATEWIDE	E	B		F	N	4		25,000,000	5,142,923	2,802,169	19,857,077	9/28/2018	O	9/27/2021	
4600003486	IMPERIA ENGINEERING PARTNERS LLC 2 ADVANTAGE COURT FL 2 BORDENTOWN, NJ 08505 US	ON-CALL ENGINEERING SERVICES	S	B		F	N	17		1,000,000	426,842	67,390	573,158	6/12/2018	C		12/31/2020
4600003487	KLEINSCHMIDT ASSOCIATES PA PC PO BOX 650 PITTSFIELD, ME 04967-0650 US	LICENSING AND ENVIRONMENTAL PROTECTION/HABITAT IMPROVEMENT PERMITTING, DESIGN, AND IMPLEMENTATION SERVICES	A	B		F	N	7		3,925,000	1,287,619	609,998	2,637,381	6/14/2018	O	5/31/2023	
4600003489	GOMEZ AND SULLIVAN ENGINEERS DPC 288 GENESEE ST UTICA, NY 13502 US	LICENSING AND ENVIRONMENTAL PROTECTION/HABITAT IMPROVEMENT PERMITTING, DESIGN, AND IMPLEMENTATION SERVICES	A	B		N	N	7		2,975,000	1,144,253	485,297	1,830,747	6/1/2018	O	5/31/2023	
4600003490	SNC LTD 100 GREAT OAKS BVLD STE 126 ALBANY, NY 12203-7914 US	ON-CALL TRANSMISSION CONSULTING SERVICES FOR FUTURE INITIATIVES AND ACTIVITIES	A	B		N	N	14		2,200,000	268,578	205,282	1,931,422	6/14/2018	O	5/31/2023	
4600003491	LOUIS BERGER US INC 412 MOUNT KEMBLE AVE MORRISTOWN, NJ 07962-6666 US	LICENSING AND ENVIRONMENTAL PROTECTION/HABITAT IMPROVEMENT PERMITTING, DESIGN, AND IMPLEMENTATION SERVICES	A	B		N	N	7		1,925,000	215,684	173,727	1,709,316	6/14/2018	O	5/31/2023	
4600003492	ENERGY INITIATIVES GROUP LLC 29 BARTLETT ST MARLBOROUGH, MA 01752-3014 US	ON-CALL TRANSMISSION CONSULTING SERVICES FOR FUTURE INITIATIVES AND ACTIVITIES	A	B		N	N	14		384,845	384,845	0	0	6/14/2018	O	5/31/2023	
4600003493	LEIDOS ENGINEERING LLC 11951 FREEDOM DR RESTON, VA 20190-5640 US	ON-CALL TRANSMISSION CONSULTING SERVICES FOR FUTURE INITIATIVES AND ACTIVITIES	A	B		N	N	14		100,000	0	0	100,000	6/14/2018	O	5/31/2023	
4600003495	MOTT MACDONALD LLC DBA FOR MOTT MACDONALD INC 101 STATION DR STE 130 WESTWOOD, MA 02090-2392 US	ON-CALL TRANSMISSION CONSULTING SERVICES FOR FUTURE INITIATIVES AND ACTIVITIES	A	B		F	N	14		500,000	289,750	186,069	210,250	7/3/2018	O	5/31/2023	
4600003497	SIEMENS INDUSTRY INC 10900 WAYZATA BLVD - STE 400 MINNETONKA, MN 55305-5602 US	ON-CALL TRANSMISSION CONSULTING SERVICES FOR FUTURE INITIATIVES AND ACTIVITIES	A	B		F	N	14		100,000	94,500	94,500	5,500	7/5/2018	O	5/31/2023	
4600003498	BARD COLLEGE PO BOX 5000 ANNANDALE ON HUDSON, NY 12504-5000 US	ON SITE MBA PROGRAM	P	B		N	N	10		2,500,000	652,835	219,860	1,847,165	7/27/2018	O	7/26/2023	
4600003499	ARCADIS US INC 655 3RD AVE - 12TH FL NEW YORK, NY 10017-5617 US	ORACLE PRIMAVERA CONSULTING SERVICES	R	B		N	N	12		1,026,626	779,156	409,920	247,470	8/27/2018	O	8/26/2023	

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4600003500	TURNER AND TOWNSEND INC 11 EAST 26TH ST FL 5 NEW YORK, NY 10010 US	ORACLE PRIMAVERA CONSULTING SERVICES	R	B		N	N	12		670,000	332,345	263,377	337,655	8/27/2018	O	8/26/2023	
4600003501	TRC ENGINEERS INC 215 GREENFIELD PKWY - STE 102 LIVERPOOL, NY 13088-6651 US	LICENSING AND ENVIRONMENTAL PROTECTION/HABITAT IMPROVEMENT PERMITTING, DESIGN, AND IMPLEMENTATION SERVICES	A	B		N	N	7		1,075,000	158,999	29,118	916,001	7/27/2018	O	5/31/2023	
4600003502	SARGENT & LUNDY LLC 55 E MONROE ST CHICAGO, IL 60603 US	ON-CALL TRANSMISSION CONSULTING SERVICES FOR FUTURE INITIATIVES AND ACTIVITIES	A	B		N	N	14		100,000	0	0	100,000	7/30/2018	O	5/31/2023	
4600003503	WATTS ARCHITECTURE & ENGINEERING DPC 95 PERRY ST - STE 300 BUFFALO, NY 14203-3030 US	ENVIRONMENTAL CONSULTING SERVICES	S	B		N	04	5		250,000	25,320	18,353	224,680	8/14/2018	O	8/13/2022	
4600003504	LIRO ENGINEERS INC 3 AERIAL WAY SYOSSET, NY 11791-5501 US	ENVIRONMENTAL CONSULTING SERVICES	S	B		N	N	5		250,000	0	0	250,000	8/14/2018	O	8/13/2022	
4600003505	MS ANALYTICAL LLC 3860 CALIFORNIA RD ORCHARD PARK, NY 14127-2262 US	ENVIRONMENTAL CONSULTING SERVICES	S	B		N	N	5		250,000	47,205	12,544	202,795	8/14/2018	O	8/13/2022	
4600003506	APTIM ENVIROMENTAL & INFRASTRUCTURE INC 13 BRITISH AMERICAN BLVD LATHAM, NY 12110-1431 US	ZEBRA MUSSEL TESTING SERVICES	S	B		N	N	2		75,000	10,800	0	64,200	8/13/2018	O	8/12/2022	
4600003507	TOLL INTERNATIONAL LLC 65 CENTRAL PARK W STE 15A NEW YORK, NY 10023-6050 US	ORACLE PRIMAVERA CONSULTING SERVICES	R	B		N	04	12		830,000	696,303	249,764	133,697	8/27/2018	O	8/26/2023	
4600003508	MORRISONVILLE SEPTIC LLC DONALD RABIDEAU JR 123 RABIDEAU ST CADYVILLE, NY 12918-2709 US	SEPTIC SERVICES	S	B	5	N	01	2		30,000	17,070	6,930	12,930	8/21/2018	O	8/20/2021	
4600003509	BURNS & MCDONNELL CONSULTANTS INC 9400 WARD PKWY KANSAS CITY, MO 64114-3319 US	ORACLE PRIMAVERA CONSULTING SERVICES	R	B		N	N	12		550,000	0	0	550,000	8/27/2018	O	8/26/2023	
4600003511	LOUIS BERGER US INC 412 MOUNT KEMBLE AVE MORRISTOWN, NJ 07962-6666 US	ASBESTOS AND LEAD MANAGEMENT SERVICES	A	B		N	N	11		875,000	34,591	21,065	840,409	10/1/2018	O	9/30/2023	
4600003512	LU ENGINEERS 339 EAST AVE STE 202 ROCHESTER, NY 14604-2615 US	ASBESTOS AND LEAD TESTING SERVICES	A	B		N	04	11		375,000	0	0	375,000	10/1/2018	O	9/30/2023	
4600003513	AIRTEK ENVIRONMENTAL CORP 39-37 29TH ST LONG ISLAND CITY, NY 11101 US	ASBESTOS AND LEAD MANAGEMENT SERVICES	A	B		N	N	11		875,000	3,725	0	871,275	10/1/2018	O	9/30/2023	
4600003514	CHA CONSULTING INC III WINNERS CIRCLE ALBANY, NY 12205-0269 US	ASBESTOS AND LEAD MANAGEMENT SERVICES	A	B		N	N	11		875,000	169,296	155,469	705,704	10/1/2018	O	9/30/2023	

POWER AUTHORITY OF THE STATE OF NEW YORK
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REQUIRED BY N.Y. PUBLIC AUTHORITIES LAW, SECTION 2879

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4600003515	LIRO ENGINEERS INC 3 AERIAL WAY SYOSSET, NY 11791-5501 US	ASBESTOS AND LEAD MANAGEMENT SERVICES	A	B		N	N	11		875,000	243,735	75,775	631,265	10/1/2018	O	9/30/2023	
4600003516	TRC ENGINEERS INC 215 GREENFIELD PKWY - STE 102 LIVERPOOL, NY 13088-6651 US	ASBESTOS AND LEAD MANAGEMENT SERVICES	A	B		N	N	11		1,375,000	508,790	354,816	866,210	10/1/2018	O	9/30/2023	
4600003517	KAM CONSULTANTS CORP 35-40 36TH ST LONG ISLAND CITY, NY 11106 US	ASBESTOS AND LEAD MANAGEMENT SERVICES	A	B		N	N	11		875,000	25,826	11,512	849,174	10/1/2018	O	9/30/2023	
4600003518	ADELAIDE ENVIRONMENTAL HEALTH ASSOCIATES INC 1511 ROUTE 22 - STE C24 BREWSTER, NY 10509-4082 US	ASBESTOS AND LEAD MANAGEMENT SERVICES	A	B		N	03	11		875,000	10,474	7,030	864,526	10/1/2018	O	9/30/2023	
4600003519	TSI TURTLE SERVICES LLC FORMERLY TECHNOSCOUTS INC 1900 LOWER RD LINDEN, NJ 07036-6519 US	AIR EMISSIONS COMPLIANCE REPORTING SERVICES	P	B		F	03	5		1,000,000	538,745	247,385	461,255	9/4/2018	O	9/4/2023	
4600003520	GE PACKAGED POWER LLC DBA FOR GENERAL ELECTRIC CO 16415 JACINTOPORT BLVD BLDG "B" HOUSTON, TX 77015 US	MAINTENANCE, REPAIR AND PARTS SERVICES FOR THE LM6000	S	B		N	N	1		9,000,000	8,427,911	695,646	572,089	10/1/2012	C		5/31/2020
4600003521	J W DIDADO ELECTRIC LLC 1033 KELLY AVE AKRON, OH 44306-3143 US	T AND D EMERGENCY RESPONSE SERVICES	C	B		F	N	6		1,000,000	0	0	1,000,000	9/12/2018	O	9/11/2023	
4600003522	NORTHLINE UTILITIES LLC DBA FOR NORTHLINE VENTURES INC 15 SCHOOL LN - STE 200 AU SABLE FORKS, NY 12912 US	T AND D EMERGENCY RESPONSE SERVICES	C	B		N	01	6		1,000,000	11,924	11,924	988,076	9/12/2018	O	9/11/2023	
4600003523	D & D POWER LLC 16 HEMLOCK ST LATHAM, NY 12110-2217 US	T AND D EMERGENCY RESPONSE SERVICES	C	B		N	N	6		1,000,000	0	0	1,000,000	9/12/2018	O	9/11/2023	
4600003524	MICHELS POWER INC DBA FOR M10 INC 1775 E SHADY LN NEENAH, WI 54956 US	T AND D EMERGENCY RESPONSE SERVICES	C	B		F	N	6		1,000,000	0	0	1,000,000	9/12/2018	O	9/11/2023	
4600003526	HAUGLAND ENERGY GROUP LLC 336 S SERVICE RD MELVILLE, NY 11747-3232 US	T AND D EMERGENCY RESPONSE SERVICES	C	B		N	N	6		1,000,000	0	0	1,000,000	9/5/2018	O	9/4/2023	
4600003528	LECHASE CONSTRUCTION SERVICES LLC 1473 ERIE BLVD SCHENECTADY, NY 12305-1004 US	UTICA VISITOR CENTER (FORMERLY KNOWN AS UTICA ENERGY ZONE)	C	C		N	N	2		15,801,062	14,993,928	5,661,040	807,134	11/7/2018	O	5/18/2021	
4600003529	E-J ELECTRIC T&D LLC 53 N PLAINS INDUSTRIAL RD WALLINGFORD, CT 06492-5808 US	T AND D EMERGENCY RESPONSE SERVICES	C	B		F	N	6		1,000,000	0	0	1,000,000	9/12/2018	O	9/11/2023	

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4600003531	JOHNSON CONTROLS INC 507 E MICHIGAN ST - MAILSTOP M-16 MILWAUKEE, WI 53202-5211 US	FIRE ALARM AND SAFETY SYSTEMS PROGRAM	C	C			N	N	1		28,307,111	5,596,672	2,384,728	22,710,439	9/28/2018	O	7/31/2023	
4600003533	MONROE EXTINGUISHER CO INC 105 DODGE ST ROCHESTER, NY 14606-1503 US	FIRE EXTINGUISHER SERVICES	E	B	5	N	N	4		30,000	7,413	5,503	22,587	10/16/2018	O	10/15/2021	
4600003534	MILLENNIUM MAINTENANCE & ELECTRICAL CONTRACTORS INC 64 FREEMAN ST BROOKLYN, NY 11222-1328 US	NYPD LIGHTING UPGRADE	C	B	5	N	04	3		214,100	97,660	97,660	116,440	10/16/2018	C		10/15/2020
4600003535	ZECO SYSTEMS INC GREENLOTS 767 S ALAMEDA STE 200 LOS ANGELES, CA 90021 US	FURNISH, DELIVER, INSTALL, SERVICE, MAINTAIN, AND WARRANTY EVSE AND NETWORK SOFTWARE THROUGHOUT NYS	C	B			F	N	11		10,000,000	0	0	10,000,000	11/15/2018	O	11/14/2023	
4600003536	EFACEC USA INC 2725 NORTHWOODS PKWY STE B NORCROSS, GA 30071-5707 US	FURNISH, DELIVER, INSTALL, SERVICE, MAINTAIN, AND WARRANTY EVSE AND NETWORK SOFTWARE THROUGHOUT NYS	E	B			N	N	11		10,000,000	686,586	390,915	9,313,414	11/15/2018	O	11/14/2023	
4600003537	APEX SOLAR POWER LLC 64 MAIN ST QUEENSBURY, NY 12804-4036 US	FURNISH, DELIVER, INSTALL, SERVICE, MAINTAIN, AND WARRANTY EVSE AND NETWORK SOFTWARE THROUGHOUT NYS	C	B			N	N	11		10,000,000	77,880	77,880	9,922,120	11/15/2018	O	11/14/2023	
4600003538	EV CONNECT INC 615 N NASH ST - STE 203 EL SEGUNDO, CA 90245-2851 US	FURNISH, DELIVER, INSTALL, SERVICE, MAINTAIN, AND WARRANTY EVSE AND NETWORK SOFTWARE THROUGHOUT NYS	C	B			F	N	11		10,000,000	2,402,019	2,402,019	7,597,981	11/15/2018	O	11/14/2023	
4600003539	VERDEK LLC 123 ROLLING MEADOW RD MADISON, CT 06443-2309 US	FURNISH, DELIVER, INSTALL, SERVICE, MAINTAIN, AND WARRANTY EVSE AND NETWORK SOFTWARE THROUGHOUT NYS	C	B			F	N	11		10,000,000	1,258,250	1,112,904	8,741,750	11/15/2018	O	11/14/2023	
4600003540	EVGO DBA FOR EVGO SERVICES LLC 11390 WEST OLYMPIC BLVD STE 250 LOS ANGELES, CA 90064-1607 US	FURNISH, DELIVER, INSTALL, SERVICE, MAINTAIN, AND WARRANTY EVSE AND NETWORK SOFTWARE THROUGHOUT NYS	C	B			F	N	11		10,000,000	0	0	10,000,000	11/15/2018	O	11/14/2023	
4600003541	MPREST INC P3511 SILVERSIDE RD STE 105 WILMINGTON, DE 19810 US	DIGITAL UTILITY PARTNERSHIP SERVICES	P	B			N	N	42		157,500	157,272	157,272	228	10/31/2018	O	10/30/2022	
4600003542	PACKAGE ONE INDUSTRIES LLC 414 UNION ST SCHENECTADY, NY 12305-1107 US	KEYS, ROTOR, RIM AND POLE	E	B			N	N	2		967,434	967,424	665,104	10	10/31/2018	C		6/18/2020

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4600003543	DOBLE ENGINEERING CORP C/O ELECTRICOM INC 4327 KENCREST DR SYRACUSE, NY 13215 US	DIGITAL UTILITY PARTNERSHIP SERVICES	P	B		N	N	42		5,000	0	0	5,000	11/1/2018	O	10/22/2022	
4600003544	VRINDA INC 301 E 78TH ST APT 16B NEW YORK, NY 10075-1331 US	DIGITAL UTILITY PARTNERSHIP SERVICES	P	B		N	04	42		513,400	269,200	199,200	244,200	11/1/2018	O	10/30/2022	
4600003545	UTEGRATION LLC 3535 BRIARPARK ST STE 101 HOUSTON, TX 77042-5233 US	DIGITAL UTILITY PARTNERSHIP SERVICES	P	B		F	N	42		5,000	0	0	5,000	11/1/2018	O	10/22/2022	
4600003546	GE GRID SOLUTIONS LLC 1 POWER LN CHARLEROI, PA 15022-1082 US	VERTICAL MOTOR OPERATED DISCONNECT SWITCHES	E	B		F	N	1		986,445	79,340	55,460	907,105	11/11/2015	C		12/31/2020
4600003547	BAKER HUGHES HOLDINGS LLC NEXUS CONTROLS LLC 1800 NELSON RD LONGMONT, CO 80501-6324 US	GE EXCITER	E	B		F	N	5		197,444	60,503	0	136,941	4/28/2018	O	12/31/2022	
4600003549	LIGHTSPEED TECHNOLOGIES INC 1829 CELESTE DR WALL TOWNSHIP, NJ 07719-9506 US	SG AND T COMMUNICATION BACKBONE-PHASES 1,2,3 FIBER ELECTRONICS AND SERVICES	C	B	7	F	N	1		13,830,808	9,252,418	3,265,645	4,578,390	12/3/2018	O	12/2/2025	
4600003552	CHAIONE INC 9 GREENWAY PLZ STE 850 HOUSTON, TX 77046-0913 US	DIGITAL UTILITY SERVICES	P	B		F	N	42		5,000	0	0	5,000	11/29/2018	O	10/22/2022	
4600003553	ELECTRIC POWER GROUP LLC 251 S LAKE AVE STE 300 PASADENA, CA 91101-3055 US	PROFESSIONAL SERVICES DIGITAL UTILITY PARTNERSHIP	P	B		F	N	42		5,000	0	0	5,000	12/17/2018	O	10/22/2022	
4600003554	E SOURCE COMPANIES LLC TROVE PREDICTIVE DATA SCIENCE LLC 1745 38TH ST BOULDER, CO 80301-2635 US	DIGITAL UTILITY PARTNERSHIP SERVICES	P	B		N	N	42		94,520	94,520	32,142	0	12/17/2018	O	10/22/2022	
4600003555	DIGITAL ENGINEERING LTD 6TH FLOOR NEWMINSTER HOUSE 27-29 BA BRISTOL, BR BS1 1LT GB	DIGITAL ENGINEERING SERVICES	P	B		F	N	42		5,000	0	0	5,000	12/17/2018	O	10/22/2022	
4600003556	UPTAKE TECHNOLOGIES INC 600 W CHICAGO AVE CHICAGO, IL 60654-2801 US	DIGITAL UTILITY PARTNERSHIP SERVICES	P	B		F	N	42		365,000	0	0	365,000	12/17/2018	O	10/22/2022	
4600003562	ARCADIS OF NEW YORK INC 44 S BROADWAY - FL 15 WHITE PLAINS, NY 10601-4411 US	GEOTECHNICAL ON-CALL ENGINEERING SERVICES	A	B		N	N	29		500,000	0	0	500,000	1/1/2019	O	12/31/2023	
4600003563	GZA GEOENVIRONMENTAL OF NEW YORK 249 VANDERBILT AVE NORWOOD, MA 02062-5033 US	GEOTECHNICAL ON-CALL ENGINEERING SERVICES	A	B		N	N	29		925,000	440,096	299,626	484,904	1/1/2019	O	12/31/2023	
4600003567	S & S SANITATION & EXCAVATION INC 22 PINE GROVE LN MALONE, NY 12953-2825 US	SEPTIC SERVICES	S	B		N	N	3		95,000	45,111	24,752	49,889	1/13/2019	O	1/12/2022	

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4600003568	GOMEZ AND SULLIVAN ENGINEERS DPC 288 GENESEE ST UTICA, NY 13502 US	GEOTECHNICAL ON-CALL ENGINEERING SERVICES	A	B		N	N	29		925,000	457,983	457,983	467,017	1/2/2019	O	12/31/2023	
4600003569	HATCH ASSOCIATES CONSULTANTS INC 100 SYLVAN PKWY AMHERST, NY 14228-1146 US	GEOTECHNICAL ON-CALL ENGINEERING SERVICES	A	B		N	N	29		325,000	32,700	0	292,300	1/2/2019	O	12/31/2023	
4600003570	MOTT MACDONALD NY INC 1400 BROADWAY - FL 30 NEW YORK, NY 10018-5330 US	GEOTECHNICAL ON-CALL ENGINEERING SERVICES	A	B		N	N	29		625,000	139,639	139,639	485,361	1/2/2019	O	12/31/2023	
4600003572	KLEINSCHMIDT ASSOCIATES PA PC PO BOX 650 PITTSFIELD, ME 04967-0650 US	GEOTECHNICAL ON-CALL ENGINEERING SERVICES	A	B		N	N	29		625,000	63,464	31,554	561,536	1/2/2019	O	12/31/2023	
4600003573	STANTEC CONSULTING SERVICES INC 61 COMMERCIAL ST ROCHESTER, NY 14614-1009 US	GEOTECHNICAL ON-CALL ENGINEERING SERVICES	A	B		N	N	29		450,000	222,443	166,543	227,557	1/2/2019	O	12/31/2023	
4600003574	WSP USA INC ONE PENN PLZ - FL 2 NEW YORK, NY 10119-0021 US	GEOTECHNICAL ON-CALL ENGINEERING SERVICES	A	B		N	N	29		625,000	176,549	176,549	448,451	1/2/2019	O	12/31/2023	
4600003575	CAMP DRESSER MCKEE & SMITH DBA FOR CDM SMITH INC 60 CROSSWAYS PARK DR W - STE 340 WOODBURY, NY 11797-2018 US	ENERGY EFFICIENCY ON-CALL ENGINEERING SERVICES	A	B		N	N	29		667,000	15,356	15,356	651,644	1/10/2019	O	12/31/2023	
4600003577	RAMBOLL AMERICAS ENGINEERING SOLUTIONS INC 333 W WASHINGTON ST - STE 610 SYRACUSE, NY 13202-9203 US	ENERGY EFFICIENCY ON-CALL ENGINEERING SERVICES	A	B		N	N	29		667,000	0	0	667,000	1/10/2019	O	12/31/2023	
4600003578	LABELLA ASSOCIATES D P C 300 STATE ST - STE 201 ROCHESTER, NY 14614-1019 US	ENERGY EFFICIENCY ON-CALL ENGINEERING SERVICES	A	B		N	N	29		667,000	0	0	667,000	1/10/2019	O	12/31/2023	
4600003579	RLM ENGINEERING PLLC DBA FOR RONALD MERHIGE 241 RUSHMORE AVE CARLE PLACE, NY 11514-1428 US	ENERGY EFFICIENCY ON-CALL ENGINEERING SERVICES	A	B		N	N	29		667,000	0	0	667,000	1/10/2019	O	12/31/2023	
4600003580	IMPERIA ENGINEERING PARTNERS LLC 2 ADVANTAGE COURT FL 2 BORDENTOWN, NJ 08505 US	ENERGY EFFICIENCY ON-CALL ENGINEERING SERVICES	A	B		N	N	29		667,000	74,295	0	592,705	1/10/2019	O	12/31/2023	
4600003581	EME CONSULTING ENGINEERING GROUP LLC 129 W 27TH ST - FL 7 NEW YORK, NY 10001-6206 US	ENERGY EFFICIENCY ON-CALL ENGINEERING SERVICES	A	B		N	N	29		667,000	0	0	667,000	1/10/2019	O	12/31/2023	
4600003582	TEG ENERGY GROUP INC 19 MORRIS AVE BLDG 128 BROOKLYN, NY 11205 US	SUPPORT CONTROL SYSTEM UPGRADES	S	B	8	N	N	1		2,000,000	572,018	295,043	1,427,982	5/1/2019	O	4/30/2024	

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4600003583	E-HAZARD DBA FOR E-HAZARD MANAGEMENT LLC 3018 EASTPOINT PKWY LOUISVILLE, KY 40223-4185 US	REVIEW OF EXISTING ARC FLASH STUDIES AT NYPA OPERATIONAL FACILITIES	A	1	8	N	N	1		850,000	666,257	25,348	183,743	4/26/2019	O	1/15/2021	
4600003585	THE LUMRY COMPANY INC 10033 E SLEEPY HOLLOW TRL GOLD CANYON, AZ 85118-6936 US	HELICOPTER SUPPORT SERVICES	P	C	8	F	N	2		800,000	276,006	147,551	523,994	2/1/2019	C		7/21/2020
4600003586	ITRON INC ENERGY INFORMATION SYSTEMS 4401 BLAND RD RALEIGH, NC 27609 US	MV90 SOFTWARE SUPPORT	I	1	8	F	N	1		292,756	177,562	58,508	115,194	1/23/2019	O	5/31/2023	
4600003589	JOHN CRANE INC 6400 OAKTON ST MORTON GROVE, IL 60053-2725 US	JOHN CRANE MECHANICAL SEALS	E	B		F	N	1		750,000	226,003	45,945	523,997	1/30/2019	O	1/29/2022	
4600003590	RFJ INSULATION CONTRACTOR INC 232-C ORINOCO DR BRIGHTWATERS, NY 11718 US	INSULATION SERVICES	S	B	8	N	N	1		750,000	156,434	16,591	593,566	1/30/2019	C		1/29/2020
4600003591	KRELLER BUSINESS INFORMATION GROUP 817 MAIN ST FL 3 CINCINNATI, OH 45202-2134 US	3RD PARTY VETTING SERVICES	S	B		F	N	10		167,000	0	0	167,000	2/1/2019	O	1/31/2024	
4600003593	BUCK GLOBAL LLC DBA FOR SCHR US ACQUISITIONS INC 420 LEXINGTON AVE NEW YORK, NY 10017-2220 US	BENEFIT ADMINISTRATION AND CONSULTING SERVICES	P	B		N	N	2		1,544,350	429,227	309,714	1,115,123	12/16/2018	O	12/15/2023	
4600003594	QUINTAL CONTRACTING CORP PO BOX 427 ISLIP, NY 11751-0427 US	ALGAE SCRAPING OF THE REINJECTION PONDS	S	B		N	01	1		200,000	67,067	40,938	132,933	2/12/2019	O	2/11/2024	
4600003596	BHA ALTAIR LLC 11501 OUTLOOK ST STE 100 OVERLAND PARK, KS 66211 US	INLET AIR FILTERS	E	B	8	F	N	1		750,000	100,934	0	649,066	2/20/2019	O	2/19/2024	
4600003597	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244 US	ON-CALL SPECIALTY ENGINEERING SERVICES	A	B		N	N	4		2,333,333	0	0	2,333,333	3/8/2019	O	2/28/2024	
4600003598	HYDRO TECH INC 65 INDUSTRIAL COURT B SAULT STE MARIE, ON P6B 5Z9 CA	ON-CALL SPECIALTY ENGINEERING SERVICES	A	B		N	N	4		2,333,333	152,602	152,602	2,180,731	3/8/2019	O	2/28/2024	
4600003599	POWER ENGINEERING INC 16632 MILLIKAN AVE - STE B IRVINE, CA 92606-5008 US	ON-CALL SPECIALTY ENGINEERING SERVICES	A	B		N	N	4		2,333,333	1,068,068	733,923	1,265,265	3/8/2019	O	2/28/2024	
4600003600	KEMCO INDUSTRIES LLC 70 KEYES CT SANFORD, FL 32773 US	RELAYS	E	B		F	N	2		4,500,000	838,835	442,913	3,661,165	3/11/2019	O	3/10/2024	
4600003601	WESTROCK MECHANICAL CORP PO BOX 56 TALLMAN, NY 10982 US	HVAC SERVICES	S	B		N	N	6		5,000,000	245,895	128,559	4,754,105	3/12/2019	O	3/11/2024	

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4600003602	NPTS INC 2060 SHERIDAN DR BUFFALO, NY 14223-1470 US	QA ENGINEERING AND INSPECTION SERVICES	A	B		N	04	13		800,000	138,717	42,732	661,283	4/1/2019	O	12/31/2023	
4600003603	BUREAU VERITAS NORTH AMERICA INC 390 BENMAR DR - STE 100 HOUSTON, TX 77060-2922 US	QA ENGINEERING AND INSPECTION SERVICES	A	B		N	N	13		800,000	75,333	35,994	724,667	4/1/2019	O	12/31/2023	
4600003604	PROCUREMENT SERVICES CONSULTING INC 3121 ROUTE 22 E - STE 304 BRANCHBURG, NJ 08876-3559 US	QA ENGINEERING AND INSPECTION SERVICES	A	B		N	N	13		800,000	7,402	7,402	792,598	4/1/2019	O	12/31/2023	
4600003605	STANTEC CONSULTING SERVICES INC 475 5TH AVE FL 12 NEW YORK, NY 10017-7239 US	QA ENGINEERING AND INSPECTION SERVICES	A	B		N	N	13		800,000	39,598	39,598	760,402	4/1/2019	O	12/31/2023	
4600003606	BVR CONSTRUCTION CO INC 8 KING RD CHURCHVILLE, NY 14428 US	HEAD GATE AND STOP LOG SLOT AND RAIL REFURBISHMENT	C	B		N	N	2		16,573,977	2,402,780	594,772	14,171,197	3/19/2019	O	3/18/2028	
4600003607	AECOM USA INC 125 BROAD ST NEW YORK, NY 10004-2400 US	DISTRIBUTED ENERGY RESOURCES	S	B		N	N	45		6,000,000	0	0	6,000,000	6/5/2019	O	8/31/2022	
4600003608	AES DISTRIBUTED ENERGY INC 4875 PEARL EAST CIRCLE STE 200 BOULDER, CO 80301-6103 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		F	N	45		6,000,000	0	0	6,000,000	5/30/2019	O	8/31/2022	
4600003609	BQ ENERGY DEVELOPMENT LLC 4000 MARKET INDUSTRIAL PARK STE 32 WAPPINGERS FALLS, NY 12590-7709 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		N	N	45		6,000,000	0	0	6,000,000	5/22/2019	O	8/31/2022	
4600003610	BRIGHT POWER INC 11 HANOVER SQ FL 21 NEW YORK, NY 10005-2844 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		N	N	45		6,000,000	0	0	6,000,000	5/22/2019	O	8/31/2022	
4600003611	CYPRESS CREEK RENEWABLES LLC DBA FOR CYPRESS CREEK HOLDINGS LLC 3402 PICO BLVD SANTA MONICA, CA 90405-2118 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		F	N	45		6,000,000	0	0	6,000,000	5/22/2019	O	8/31/2022	
4600003612	DELAWARE RIVER SOLAR LLC 33 IRVING PLACE STE 1090 NEW YORK, NY 10003-2332 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		N	N	45		6,000,000	0	0	6,000,000	5/22/2019	O	8/31/2022	
4600003613	DIMENSION ENERGY LLC 3280 PEACHTREE RD NE FL 7 ATLANTA, GA 30305-2430 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		F	N	45		6,000,000	0	0	6,000,000	5/22/2019	O	8/31/2022	
4600003614	ENGIE SERVICES US INC 500 12TH ST STE 300 OAKLAND, CA 94607-4087 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		F	N	45		6,000,000	0	0	6,000,000	5/22/2019	O	8/31/2022	

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4600003615	EN-POWER GROUP DBA FOR GROUP-S LLC 50 MAIN ST STE 1000 WHITE PLAINS, NY 10606-1900 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		N	N	45		6,000,000	0	0	6,000,000	5/30/2019	O	8/31/2022	
4600003616	ENTERSOLAR LLC 805 THIRD AVE FL 20 NEW YORK, NY 10022-7575 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		N	N	45		6,000,000	0	0	6,000,000	6/5/2019	O	8/31/2022	
4600003617	GE GRID SOLUTIONS LLC 4200 WILDWOOD PKWY BLDG 2018 ATLANTA, GA 30339-8402 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		F	N	45		6,000,000	0	0	6,000,000	6/5/2019	O	8/31/2022	
4600003618	GI ENDURANT LLC 150 MICHIGAN AVE STE 1250 CHICAGO, IL 60601-7560 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		F	N	45		6,000,000	0	0	6,000,000	5/30/2019	O	8/31/2022	
4600003619	EDF RENEWABLES DISTRIBUTED SOLUTIONS INC 5 COMMERCE AVE WEST LEBANON, NH 03784-1675 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		F	N	45		6,000,000	0	0	6,000,000	5/22/2019	O	8/31/2022	
4600003620	LUMOS SOLAR LLC DBA FOR CLEAN ENERGY SOLUTIONS INC 80 BIG SPRINGS DR NEDERLAND, CO 80466-8900 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		F	N	45		6,000,000	0	0	6,000,000	5/30/2019	O	8/31/2022	
4600003621	FOREFRONT POWER LLC DBA FOR MYPOWER CORP 100 MONTGOMERY ST STE 725 SAN FRANCISCO, CA 94104-4377 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		F	N	45		6,000,000	0	0	6,000,000	6/4/2019	O	8/31/2022	
4600003622	NEXTRA ENERGY RESOURCES DEVELOPMENT DBA FIR NEXTRA ENERGY CAP HOLDING I 700 UNIVERSE BLVD JUNO BEACH, FL 33408-2657 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		F	N	45		6,000,000	0	0	6,000,000	5/30/2019	O	8/31/2022	
4600003623	STRATA SOLAR LLC 800 TAYLOR ST STE 200 DURHAM, NC 27701-4096 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		F	N	45		6,000,000	0	0	6,000,000	5/30/2019	O	8/31/2022	
4600003624	TRC ENGINEERS INC 215 GREENFIELD PKWY - STE 102 LIVERPOOL, NY 13088-6651 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		N	N	45		6,000,000	0	0	6,000,000	6/4/2019	O	8/31/2022	
4600003625	NATIONAL VACUUM ENVIRONMENTAL SERVICES CORP 6389 INDUCON DR W SANBORN, NY 14132-9018 US	INDUSTRIAL CLEANING AND VACUUMING SERVICES	S	B		N	N	3		750,000	369,879	252,176	380,121	4/1/2019	O	3/31/2023	
4600003626	CONSOLIDATED EDISON SOLUTIONS INC 100 SUMMITT LAKE DR - STE 210 VALHALLA, NY 10595-1373 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		N	N	45		6,000,000	0	0	6,000,000	5/22/2019	O	8/31/2022	

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4600003627	SIEMENS INDUSTRY INC 10900 WAYZATA BLVD - STE 400 MINNETONKA, MN 55305-5602 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		F	N	45		6,000,000	0	0	6,000,000	5/30/2019	O	8/31/2022	
4600003628	GENERAL ELECTRIC INTERNATIONAL, INC BLDG 66 1 RIVER ROAD SCHENECTADY, NY 12345-6000 US	DISTRIBUTED ENERGY RESOURCES SOLAR PV	S	B		N	N	45		6,000,000	0	0	6,000,000	6/5/2019	O	8/31/2022	
4600003629	NORTH HILLS OFFICE SERVICES INC 265 EXECUTIVE DR STE 250 PLAINVIEW, NY 11803-1743 US	HOUSEKEEPING AND CUSTODIAL SERVICES	S	B		N	N	1		250,000	39,885	13,046	210,115	4/1/2019	O	3/31/2024	
4600003630	JAMES H MALOY INC 421 ALBANY SHAKER RD - PO BOX 11016 LOUDONVILLE, NY 12211-1815 US	CRESCENT AND VISCHER FERRY FLASHBOARDS INSTALLATION AND REMOVAL	C	B		N	01	2		2,006,315	728,410	608,410	1,277,905	4/15/2019	O	3/31/2024	
4600003631	AFL TELECOMMUNICATIONS INC 170 RIDGEVIEW CENTER CIRCLE DUNCAN, SC 29334-9635 US	OPGW CABLE	E	B		F	N	5		10,216,341	4,447,630	3,226,973	5,768,711	5/2/2019	O	3/25/2024	
4600003632	MVA POWER INC 1 HOLLY RD MONTREAL QC, PQ H3X 3K6 CA	OPGW CABLE	E	B		F	N	5		7,616,341	0	0	7,616,341	5/2/2019	O	3/25/2024	
4600003633	HAUGLAND ENERGY GROUP LLC 336 S SERVICE RD MELVILLE, NY 11747-3232 US	UNDERGROUND UTILITIES EMERGENCY RESPONSE SERVICES	C	B		N	N	5		2,500,000	0	0	2,500,000	4/15/2019	O	4/14/2024	
4600003634	UNDERGROUND SYSTEMS INC 3A TROWBRIDGE DR BETHEL, CT 06801-2858 US	UNDERGROUND UTILITIES EMERGENCY RESPONSE SERVICES	C	B		F	N	5		2,500,000	18,162	0	2,481,838	4/16/2019	O	4/15/2024	
4600003635	ADVANCED CONTROL SYSTEMS INC 2755 NORTHWOODS PKWY PEACHTREE CORNERS, GA 30071-1533 US	ACS HARDWARE	E	B		F	N	1		400,000	188,286	53,614	211,714	4/17/2019	O	4/16/2022	
4600003636	SMART ELECTRIC POWER ALLIANCE DBA FOR SOLAR ELECTRIC POWER ASSOC 1220 19TH ST NW - STE 800 WASHINGTON, DC 20036-2400 US	COMMUNITY DISTRIBUTED GENERATION PROGRAM SUPPORT	P	B	8	F	N	15		250,000	79,805	79,805	170,195	4/23/2019	C		4/22/2020
4600003637	MITSUBISHI POWER AMERICAS INC STE 400 400 COLONIAL CENTER PKWY LAKE MARY, FL 32746-7682 US	PARTS AND EQUIPMENT FOR STEAM TURBINES	E	B		F	N	1		5,000,000	451,329	419,101	4,548,671	4/24/2019	O	4/23/2024	
4600003638	GOPOWER INC 239 HIGH ST MEDFORD, MA 02155-3706 US	UNDERGROUND UTILITIES EMERGENCY RESPONSE SERVICES	C	B		F	N	5		2,500,000	0	0	2,500,000	4/29/2019	O	4/14/2024	
4600003639	AECOM USA INC 125 BROAD ST NEW YORK, NY 10004-2400 US	PROJECT DEVELOPMENT AND LICENSING SUPPORT SERVICES	A	B		N	N	16		533,333	0	0	533,333	5/1/2019	O	4/30/2024	

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4600003640	BURNS & MCDONNELL CONSULTANTS INC 9400 WARD PKWY KANSAS CITY, MO 64114-3319 US	PROJECT DEVELOPMENT AND LICENSING SUPPORT SERVICES	A	B		N	N	16		633,333	110,284	110,284	523,049	6/1/2019	O	5/31/2024	
4600003641	LOUIS BERGER US INC 412 MOUNT KEMBLE AVE MORRISTOWN, NJ 07962-6666 US	PROJECT DEVELOPMENT AND LICENSING SUPPORT SERVICES	A	B		N	N	16		2,333,333	263,083	263,083	2,070,250	6/1/2019	O	5/31/2024	
4600003642	TETRA TECH INC 6 CENTURY DR - STE 3 PARSIPPANY, NJ 07054-4611 US	PROJECT DEVELOPMENT AND LICENSING SUPPORT SERVICES	A	B		N	N	16		1,133,333	155,208	155,208	978,125	6/1/2019	O	5/31/2024	
4600003643	TRC ENGINEERS INC 215 GREENFIELD PKWY - STE 102 LIVERPOOL, NY 13088-6651 US	PROJECT DEVELOPMENT AND LICENSING SUPPORT SERVICES	A	B		N	N	16		4,333,333	705,541	705,541	3,627,792	6/1/2019	O	5/31/2024	
4600003644	SNC LTD 100 GREAT OAKS BVLD STE 126 ALBANY, NY 12203-7914 US	PROJECT DEVELOPMENT AND LICENSING SUPPORT SERVICES	A	B		N	N	16		533,333	0	0	533,333	6/1/2019	O	5/31/2024	
4600003645	ASCENTTRA LLC 8300 BOONE BLVD STE 500 VIENNA, VA 22182-2681 US	HOMELAND SECURITY AND NATIONAL INCIDENT MANAGEMENT	A	B		N	N	8		3,750,000	95,645	75,344	3,654,355	5/1/2019	O	4/30/2024	
4600003646	TETRA TECH INC 6 CENTURY DR - STE 3 PARSIPPANY, NJ 07054-4611 US	HOMELAND SECURITY AND NATIONAL INCIDENT MANAGEMENT	A	B		N	N	8		3,750,000	0	0	3,750,000	5/1/2019	O	4/30/2024	
4600003647	ACCOUNTABILITY DBA FOR ACCOUNTABILITY NORTH AMERIC 477 MADISON AVE FL 3 NEW YORK, NY 10022-5802 US	GRI STANDARDS REPORT	A	B		N	N	5		618,770	522,776	295,177	95,994	6/1/2019	O	5/31/2022	
4600003649	AECOM USA INC 125 BROAD ST NEW YORK, NY 10004-2400 US	GENERAL ENVIRONMENTAL SERVICES	A	B		N	N	32		833,333	0	0	833,333	6/1/2019	O	5/31/2024	
4600003650	CHA CONSULTING INC III WINNERS CIRCLE ALBANY, NY 12205-0269 US	GENERAL ENVIRONMENTAL SERVICES	A	B		N	N	32		833,333	39,379	39,379	793,954	6/1/2019	O	5/31/2024	
4600003651	LIRO ENGINEERS INC 3 AERIAL WAY SYOSSET, NY 11791-5501 US	GENERAL ENVIRONMENTAL SERVICES	A	B		N	N	32		833,333	0	0	833,333	6/1/2019	O	5/31/2024	
4600003652	LOUIS BERGER US INC 412 MOUNT KEMBLE AVE MORRISTOWN, NJ 07962-6666 US	GENERAL ENVIRONMENTAL SERVICES	A	B		N	N	32		833,333	105,768	105,768	727,565	6/1/2019	O	5/31/2024	
4600003653	TRC ENGINEERS INC 215 GREENFIELD PKWY - STE 102 LIVERPOOL, NY 13088-6651 US	GENERAL ENVIRONMENTAL SERVICES	A	B		N	N	32		833,333	315,041	209,541	518,292	6/1/2019	O	5/31/2024	
4600003654	PARSONS ENGINEERING OF NEW YORK INC 301 PLAINFIELD RD STE 350 SYRACUSE, NY 13212-4573 US	GENERAL ENVIRONMENTAL SERVICES	A	B		N	N	32		833,333	0	0	833,333	6/1/2019	O	5/31/2024	
4600003655	MIDAL CABLES LTD BUILDING 744 ROAD 5128 BLOCK 951 ASKAR, 00 BH	ACSR CONDUCTORS - MA1-MA2 PROJECT	E	B		F	N	4		8,314,586	2,459,212	2,459,212	5,855,374	8/1/2019	O	7/31/2024	

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4600003656	JEFFORDS STEEL & ENGINEERING CO DBA FOR JEFFORDS STEEL&SPECIALITY PO BOX 40 PLATTSBURGH, NY 12901-0040 US	MOD STEEL ASSEMBLIES	E	B		N	01	2		50,000	19,135	4,670	30,865	5/15/2019	O	5/14/2022	
4600003657	CONCORDE SPECIALTY GASES INC 36 EATON RD EATONTOWN, NJ 07724 US	SF6 GAS CYLINDERS FOR THE SITES	E	B		F	N	1		750,000	50,467	24,821	699,533	6/1/2019	O	5/31/2029	
4600003658	UPS MIDSTREAM SERVICES INC 806 SEACO CT DEER PARK, TX 77536-3176 US	GAS COMPRESSOR MAINTENANCE SERVICES	S	B		F	N	2		1,063,179	370,997	305,243	692,182	5/29/2019	O	5/28/2024	
4600003661	MILLER ENVIRONMENTAL GROUP INC 538 EDWARDS AVE CALVERTON, NY 11933-1636 US	OIL SPILL EMERGENCY RESPONSE	S	B		N	N	6		600,000	32,562	32,562	567,438	3/1/2020	O	2/28/2025	
4600003662	CLEAN HARBORS ENVIRONMENTAL SERVICES INC 42 LONGWATER DR NORWELL, MA 02061-1612 US	OIL SPILL EMERGENCY RESPONSE	S	B		N	N	6		500,000	0	0	500,000	3/1/2020	O	2/28/2025	
4600003663	NATIONAL VACUUM ENVIRONMENTAL SERVICES CORP 6389 INDUCON DR W SANBORN, NY 14132-9018 US	OIL SPILL EMERGENCY RESPONCE	S	B		N	N	6		400,000	0	0	400,000	3/1/2020	O	2/28/2025	
4600003664	NRC NY ENVIRONMENTAL SERVICES INC 6392 DEERE RD - STE 1 SYRACUSE, NY 13206-1323 US	OIL SPILL EMERGENCY RESPONSE	S	B		N	N	6		500,000	20,861	20,861	479,139	3/1/2020	O	2/28/2025	
4600003665	SOURCE IT TECHNOLOGIES LLC KARA HOMAN 24 EAST AVE - STE 244 NEW CANAAN, CT 06840-5529 US	HITACHI LEM (LIFE EXTENSION MODERNIZATION) PROJECT	H	B	7	F	03	2		29,595,936	28,954,191	1,017,129	641,745	5/27/2019	O	5/26/2024	
4600003666	HENKELS & MCCOY INC PO BOX 1742 YORK, PA 17405 US	OPGW-CONSTRUCTION	C	B	8	F	N	4		13,250,000	0	0	13,250,000	6/21/2019	O	6/20/2024	
4600003667	PAR ELECTRICAL CONTRACTORS INC 4770 N BELLEVIEW AVE STE 300 KANSAS CITY, MO 64116-2191 US	OPGW-CONSTRUCTION	C	B	8	F	N	4		23,250,000	2,182,868	2,182,868	21,067,132	6/21/2019	O	6/20/2024	
4600003668	MICHELS POWER INC DBA FOR M10 INC 1775 E SHADY LN NEENAH, WI 54956 US	OPGW-CONSTRUCTION	C	B	8	F	N	4		33,250,000	61,969	61,969	33,188,031	6/21/2019	O	6/20/2024	
4600003669	J W DIDADO ELECTRIC LLC 1033 KELLY AVE AKRON, OH 44306-3143 US	OPGW-CONSTRUCTION	C	B	8	F	N	4		23,250,000	3,885,774	3,885,774	19,364,226	6/21/2019	O	6/20/2024	

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4600003670	PINTO CONSTRUCTION SERVICES INC 132 DINGENS ST BUFFALO, NY 14210-2308 US	UNDERGROUND UTILITY REPAIRS	C	B		N	N	2		175,000	164,912	164,912	10,088	6/21/2019	C		7/31/2020
4600003671	CLEAN RENTAL UNIFORMS DBA FOR CLEAN RENTAL SERVICES INC 4352 N AMERICAN ST PHILADELPHIA, PA 19140-2419 US	UNIFORM RENTAL AND CLEANING	E	B		F	N	3		750,000	236,184	200,870	513,816	8/1/2019	O	7/31/2022	
4600003672	TRC ENGINEERS INC 215 GREENFIELD PKWY - STE 102 LIVERPOOL, NY 13088-6651 US	MICROWAVE PROJECT	C	B		N	N	2		9,504,654	771,210	771,210	8,733,444	6/21/2019	O	6/20/2026	
4600003673	O'CONNELL ELECTRIC CO 830 PHILLIPS RD VICTOR, NY 14564 US	PLATTSBURG BREAKER AND RELAY REPLACEMENT PROJECT	C	B		N	N	2		3,166,430	594,271	594,271	2,572,159	7/1/2019	O	12/31/2022	
4600003674	M ARTHUR GENSLER JR & ASSOC INC 45 FREMONT ST STE 1500 SAN FRANCISCO, CA 94105-2214 US	EVOLVE NY CHARGING STATION DESIGN AND FABRICATION	A	B		N	N	2		1,250,000	84,693	84,693	1,165,307	8/1/2019	O	7/31/2022	
4600003675	THE VISUAL BRAND LLC 24 WHITNEY ST WESTPORT, CT 06880-3735 US	EVOLVE NY CHARGING STATION DESIGN AND FABRICATION	A	B		N	N	2		1,250,000	0	0	1,250,000	8/1/2019	O	7/31/2022	
4600003676	SIEMENS ENERGY INC 4400 N ALAFAYA TRL ORLANDO, FL 32826-2301 US	SERVICE AND EXTENDED PARTS AGREEMENT	S	B		F	N	1		45,000,000	1,610,699	1,610,699	43,389,301	7/31/2019	O	7/30/2039	
4600003678	UPSTATE METROLOGY INC 6388 NIVER RD CONESUS, NY 14435-9514 US	TEST EQUIPMENT CALIBRATION SERVICES	S	B	5	N	N	1		10,000	6,280	2,262	3,720	7/8/2019	C		7/7/2020
4600003680	JOHN DINEEN CONTRACTING DBA FOR JOHN DINEEN 10031 4TH AVE STE 6H BROOKLYN, NY 11209-8334 US	ROOF REPAIR	S	B		N	N	2		5,000,000	891,050	829,850	4,108,950	7/16/2019	O	7/15/2024	
4600003681	ATLANTIC COOLING TECHNOLOGIES & SERVICES LLC 80 KERO RD CARLSTADT, NJ 07072-2604 US	COOLING TOWER SERVICE/REPAIR	S	B		F	N	1		5,000,000	60,412	60,412	4,939,588	7/20/2019	O	7/19/2024	
4600003682	PRAGMATICUS LLC DBA FOR KEVIN M NEDD 65 KIM LN LONG VALLEY, NJ 07853-4008 US	CONSULTING SUPPORT SERVICES	P	B		N	04	23		1,500,000	643,680	434,160	856,320	7/15/2019	O	7/14/2022	
4600003684	O'CONNELL ELECTRIC CO 830 PHILLIPS RD VICTOR, NY 14564-9417 US	NORTH COUNTRY ENERGY STORAGE PROJECT	C	B		N	N	6		25,600,000	9,253,324	8,546,449	16,346,676	7/15/2019	O	7/14/2022	
4600003685	SEDIVER USA 1 SEDIVER WAY WEST MEMPHIS, AR 72301-2977 US	MA1 MA2 SMART PATH GLASS INSULATORS	E	B		F	N	7		1,476,500	291,032	291,032	1,185,468	8/9/2019	O	8/8/2024	

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4600003686	HEXAGON PPM DBA FOR INTERGRAPH CORP 305 INTERGRAPH WAY MADISON, AL 35758-7567 US	DIGITAL UTILITY STRATEGIC PARTNERSHIP	P	B		F	N	42		457,461	317,569	33,869	139,892	7/24/2019	O	10/22/2022	
4600003687	SENTEC PROMOTIONS INC DBA SUSIE SPECIALTIES 24 LAWRENCE LANE WILLIAMSVILLE, NY 14221 US	PROMOTIONAL ITEMS	E	B		N	N	5		3,500,000	475,444	59,490	3,024,556	7/24/2019	O	7/23/2026	
4600003688	ART TECH PROMOTIONALS SUITE 270 3310 PONCE DE LEON BVLD CORAL GABLES, FL 33134 US	PROMOTIONAL ITEMS	E	B		F	N	5		500,000	0	0	500,000	7/26/2019	O	7/25/2026	
4600003689	MULTI MEDIA PROMOS LLC 33 SOUTHWICK COURT S PLAINVIEW, NY 11803 US	PROMOTIONAL ITEMS	E	B	8	N	03	5		1,000,000	86,650	86,650	913,350	7/26/2019	O	7/25/2026	
4600003690	MARKETING TOOLS INC 3690 JEFFERSON AVENUE SE WYOMING, MI 49548 US	PROMOTIONAL ITEMS	E	B	8	F	N	5		500,000	0	0	500,000	7/26/2019	O	7/25/2026	
4600003691	STANDARD BUYING SERVICE LTD DBA SBS PROMO ROOM 203 110 WEST 40TH STREET NEW YORK, NY 10018 US	PROMOTIONAL ITEMS	E	B	8	N	N	5		500,000	1,304	1,304	498,696	7/29/2019	O	7/28/2026	
4600003693	THE STATE GROUP INDUSTRIAL (USA) 100 STRADTMAN ST BUFFALO, NY 14206-2666 US	DESIGN, FABRICATE, INSTALL PENSTOCK PLATFORM	C	B		N	N	3		69,449,446	3,838,667	3,838,667	65,610,779	8/1/2019	O	8/1/2033	
4600003694	INDUSTRIAL ELECTRICAL AND TECHNICAL SERVICES INC (IETS) 7265 SLOCUM RD LIMA, NY 14485-9455 US	ELECTRICAL BREAKER REPAIR SERVICES	S	B		N	N	5		750,000	336,081	278,201	413,919	8/1/2019	O	7/31/2022	
4600003695	HAYES PUMP INC 295 FAIRFIELD AVE FAIRFIELD, NJ 07004-3833 US	PUMP SERVICE AND REPAIRS	S	B		F	N	2		5,000,000	59,960	25,829	4,940,040	8/6/2019	O	8/5/2024	
4600003697	BENFIELD CONTROL AND POWER 55 LAFAYETTE AVE WHITE PLAINS, NY 10603 US	METERING CABINET FABRICATION	S	B		N	N	3		300,000	21,710	7,950	278,290	8/8/2019	O	8/7/2024	
4600003699	PRO-QUIP INC 4 MARK RD - STE C KENILWORTH, NJ 07033-1025 US	PRO-QUIP VALVE ACTUATOR SERVICES	S	B		F	N	1		5,000,000	228,039	228,039	4,771,961	8/12/2019	O	8/11/2024	
4600003700	CEMTEK ENVIROMENTAL INC D/B/A CEMTEK KVB-ENERTEC 3041 S ORANGE AVE SANTA ANA, CA 92707-4247 US	MAINTENANCE - CEMS	S	1	8	F	N	1		577,065	157,271	52,755	419,794	8/1/2019	O	7/31/2022	
4600003701	ROTUNDO PLUMBING CORP 95 MARSH HILL RD PUTNAM VALLEY, NY 10579-3103 US	ON-CALL PLUMBING SERVICES	S	B		N	N	1		375,000	144,566	137,169	230,434	8/15/2019	O	8/14/2024	
4600003703	CEC STUYVESANT COVE INC DBA SOLAR ONE 37 W 26TH ST - RM 209 NEW YORK, NY 10010-1129 US	STEM EDUCATIONAL PROGRAMMING	P	B		N	N	8		130,667	41,074	41,074	89,593	9/3/2019	O	8/31/2021	

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4600003704	CURIOUS-ON-HUDSON LLC DBA FOR ADELAIDE E FALCO 77 TARRYTOWN RD WHITE PLAINS, NY 10607-1644 US	STEM EDUCATIONAL PROGRAMMING	P	B			N	N	8		130,667	13,500	13,500	117,167	9/3/2019	O	8/31/2021	
4600003705	BIOBUS INC 1361 AMSTERDAM AVE STE 340 NEW YORK, NY 10027-2510 US	STEM EDUCATIONAL PROGRAMMING	P	B			N	N	8		130,667	14,500	9,300	116,167	9/3/2019	O	8/31/2021	
4600003706	VERTICAL ACCESS SOLUTIONS LLC 4465 CAMPBELLS RUN RD PITTSBURGH, PA 15205-1311 US	GENERAL SCAFFOLDING SERVICES	S	B			F	N	2		2,500,000	166,916	166,916	2,333,084	9/3/2019	O	9/2/2024	
4600003707	PRAXAIR DISTRIBUTION INC 39 OLD RIDGEBURY RD DANBURY, CT 06810-5108 US	NITROGEN AND HYDROGEN GASSES	E	B			N	N	4		200,000	10,874	8,683	189,126	9/5/2019	O	9/4/2022	
4600003708	HAUGLAND ENERGY GROUP LLC 336 S SERVICE RD MELVILLE, NY 11747-3232 US	GENERAL ELECTRICAL SERVICES	S	B			N	N	3		2,500,000	0	0	2,500,000	9/5/2019	O	9/4/2024	
4600003711	K & A ENGINEERING CONSULTING PC 445 HAMILTON AVE STE 406 WHITE PLAINS, NY 10601-1825 US	CONSULTING SUPPORT SERVICES	P	B			N	04	23		1,827,234	969,404	795,213	857,830	7/15/2019	O	7/14/2022	
4600003712	E J ELECTRIC INSTALLATION CO 46-41 VERNON BLVD LONG ISLAND CITY, NY 11101 US	GENERAL ELECTRICAL SERVICES	E	B			N	N	2		2,500,000	84,800	84,800	2,415,200	9/10/2019	O	9/9/2024	
4600003713	BURO HAPPOLD CONSULTING ENG PC DBA HAPPOLD CONSULTING 100 BROADWAY FL 23 NEW YORK, NY 10005-4502 US	CONSULTING SUPPORT SERVICES	P	B			N	N	23		7,458,237	1,477,800	1,477,800	5,980,437	7/15/2019	O	7/14/2022	
4600003714	ERNST & YOUNG LLP 5 TIMES SQ NEW YORK, NY 10036-6540 US	CONSULTING SUPPORT SERVICES	P	B			N	N	23		3,000,000	1,033,069	713,516	1,966,931	7/15/2019	O	7/14/2022	
4600003715	M J BRADLEY & ASSOCIATES LLC 47 JUNCTION SQUARE DR CONCORD, MA 01742 US	PROGRAM CONSULTING SERVICES	P	B			F	N	18		200,000	0	0	200,000	11/1/2019	O	10/31/2024	
4600003716	PARAG SONI WESTERN POWER PROJECT ADVISORS 19220 PIRES AVE CERRITOS, CA 90703-7355 US	PROGRAM CONSULTING SERVICES	P	B			F	04	18		200,000	0	0	200,000	11/1/2019	O	10/31/2024	
4600003717	WEST MONROE PARTNERS LLC 222 WEST ADAMS STREET 11TH FLOOR CHICAGO, IL 60606-5235 US	PROGRAM CONSULTING SERVICES	P	B			F	N	18		200,000	0	0	200,000	11/1/2019	O	10/31/2024	
4600003718	BURNS & MCDONNELL CONSULTANTS INC 9400 WARD PKWY KANSAS CITY, MO 64114-3319 US	ELECTRIC TRANSPORTATION PROGRAM CONSULTING SERVICES	P	B			F	N	18		250,000	0	0	250,000	12/12/2019	O	10/31/2024	
4600003719	AECOM USA INC 125 BROAD ST NEW YORK, NY 10004-2400 US	ELECTRIC TRANSPORTATION PROGRAM CONSULTING SERVICES	P	B			N	N	18		250,000	0	0	250,000	11/1/2019	O	10/31/2024	

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4600003720	NAVIGANT CONSULTING INC 685 3RD AVE - FL 14 NEW YORK, NY 10017-4024 US	ELECTRIC TRANSPORTATION PROGRAM CONSULTING SERVICES	P	B		N	N	18		200,000	0	0	200,000	11/1/2019	O	10/31/2024	
4600003723	VERMONT ENERGY INVESTMENT CORPORATI 128 LAKESIDE AVE STE 401 BURLINGTON, VT 05401-5907 US	PROGRAM CONSULTING SERVICES	P	B		F	N	18		200,000	0	0	200,000	11/1/2019	O	10/31/2024	
4600003724	AKIMEKA LLC 901 NORTH LAKE DESTINY RD STE 151 MAITLAND, FL 32751-4889 US	ELECTRICAL TRANSPORTATION PROGRAM CONSULTING SERVICES	P	B		F	N	18		200,000	0	0	200,000	1/3/2020	O	10/31/2024	
4600003725	ENERGY & ENVIRONMANETAL ECONOMICS 44 MONTGOMERY ST SUITE 1500 SAN FRANCISCO, CA 94104-4715 US	PROGRAM CONSULTING SERVICES	P	B		F	N	18		200,000	0	0	200,000	11/1/2019	O	10/31/2024	
4600003726	YORK SCAFFOLD EQUIPMENT CORP 3720 TWELFTH ST LONG ISLAND CITY, NY 11101-6009 US	GENERAL SCAFFOLDING CONTRACT	S	B		N	N	2		2,500,000	42,600	42,600	2,457,400	9/19/2019	O	9/18/2024	
4600003727	AIRGAS USA LLC DBA FOR AIRGAS INC 259 N RADNOR CHESTER RD RADNOR, PA 19087-5240 US	NITROGEN AND HYDROGEN GASSES	E	B		N	N	4		200,000	10,303	5,816	189,697	9/23/2019	O	9/22/2022	
4600003728	PRICEWATERHOUSECOOPERS ADVIS SVC DBA FOR PWC HOLDING NO 21 LLC 300 MADISON AVE NEW YORK, NY 10017-6232 US	CONSULTING SUPPORT SERVICES	P	B		N	N	23		3,000,000	1,184,163	1,184,163	1,815,837	7/15/2019	O	7/14/2022	
4600003729	STUART C IRBY CO 4583 BUCKLEY RD LIVERPOOL, NY 13088-2508 US	TRANSMISSION EMERGENCY RESPONSE PROGRAM MATERIALS	E	B		F	N	3		750,000	0	0	750,000	10/3/2019	O	10/2/2022	
4600003730	CUSTOMER CARE NETWORK INC 665 RIVER KNOLL DR SE MARIETTA, GA 30067-4748 US	CONSULTING SUPPORT SERVICES	P	B		F	N	23		3,000,000	875,297	692,997	2,124,703	7/15/2019	O	7/14/2022	
4600003731	ACCENTURE LLP 111 WASHINGTON ST ALBANY, NY 12210-2209 US	CONSULTING SUPPORT SERVICES	P	B		N	N	23		563,152	551,535	551,535	11,617	7/15/2019	O	7/14/2022	
4600003732	HATCH ASSOCIATES CONSULTANTS INC 100 SYLVAN PKWY AMHERST, NY 14228-1146 US	ENGINEERING SUPPORT FOR ADVANCED GRID INNOVATION LAB (AGILE)	A	B		N	N	14		2,500,000	0	0	2,500,000	10/1/2019	O	9/30/2024	
4600003733	SNC LTD 100 GREAT OAKS BVLD STE 126 ALBANY, NY 12203-7914 US	ENGINEERING SUPPORT FOR ADVANCED GRID INNOVATION LAB (AGILE)	A	B		N	N	14		2,500,000	134,438	65,864	2,365,562	10/1/2019	O	9/30/2024	
4600003734	COLDEN CORP 5842 HERITAGE LANDING DR EAST SYRACUSE, NY 13057-9359 US	INDUSTRIAL HYGIENE, OCCUPATIONAL HEALTH, AND SAFETY CONSULTING	P	B		N	N	2		1,250,000	279,686	273,809	970,314	10/30/2019	O	9/30/2024	

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4600003735	AMERICAN VETERAN ENTERPRISE TEAM LLC - JASON L AMBROSINO 855 GREEN CORNERS RD AMSTERDAM, NY 12010-8508 US	GLOVES, ARC FLASH RATED	E	B		N	02	3		750,000	337,330	193,593	412,670	10/2/2019	O	10/1/2024	
4600003736	DELOITTE CONSULTING LLP 30 ROCKEFLLER PLAZA NEW YORK, NY 10112-0015 US	CONSULTING SUPPORT SERVICES	P	B		N	N	23		3,000,000	301,281	301,281	2,698,719	7/15/2019	O	7/14/2022	
4600003737	MARATHON MEDICAL CORPORATION 3251 LEWISTON ST AURORA, CO 80011-1530 US	GLOVES, ARC FLASH RATED	E	B		N	02	2		750,000	194,654	158,943	555,346	10/3/2019	O	10/2/2024	
4600003738	ANIXTER INC 2301 PATRIOT BLVD GLENVIEW, IL 60026 US	TRANSMISSION EMERGENCY REPONSE PROGRAM MATERIALS	E	B		F	N	3		250,000	0	0	250,000	1/1/2020	O	12/31/2022	
4600003739	PA CONSULTING GROUP INC 405 LEXINGTON AVE - FL 45 NEW YORK, NY 10174-0002 US	CONSULTING SUPPORT SERVICES	P	B		N	N	23		3,000,000	1,123,031	1,123,031	1,876,969	7/15/2019	O	7/14/2022	
4600003740	GE ENERGY MANAGEMENT SERVICES LLC DBA FOR GRID SOLUTIONS (US) LLC 4200 WILDWOOD PKWY ATLANTA, GA 30339-8402 US	KELMAN ANALYZERS	E	B	8	F	N	1		1,000,000	144,223	142,173	855,777	9/16/2019	O	9/15/2024	
4600003741	KENNY CONSTRUCTION COMPANY 2215 SANDERS RD STE 400 NORTHBROOK, IL 60062-6114 US	MATERIAL MANAGEMENT SERVICES FOR MOSES ADIRONDACK SMART PATH RELIABILITY PROJECT (MASPRP)	C	B		F	N	5		11,122,740	0	0	11,122,740	10/14/2019	C		1/8/2020
4600003743	ABSCOPE ENVIRONMENTAL INC 7086 COMMERCIAL DR CANASTOTA, NY 13032-4763 US	PLANNED AND EMERGENCY RESPONSE ABATEMENT OF ASBESTOS, LEAD AND PCB SERVICES	C	B		N	N	4		50,000	44,709	44,709	5,291	10/16/2019	O	10/15/2024	
4600003744	NRC NY ENVIRONMENTAL SERVICES INC 6392 DEERE RD - STE 1 SYRACUSE, NY 13206-1323 US	PLANNED AND EMERGENCY RESPONSE ABATEMENT OF ASBESTOS, LEAD AND PCB SERVICES	C	B		N	N	4		100,000	29,280	28,322	70,720	10/16/2019	O	10/15/2024	
4600003745	MCKINSEY & COMPANY INC WASHINGTON DC 1200 19TH ST NW STE 1100 WASHINGTON, DC 20036-2412 US	CONSULTING SUPPORT SERVICES	P	B		N	N	23		3,819,735	2,619,735	2,619,735	1,200,000	7/15/2019	O	7/14/2022	
4600003746	BUFFALO ENVIRONMENTAL CONSULTANTS INC 7815 BUFFALO AVE NIAGARA FALLS, NY 14304-4221 US	INDUSTRIAL HYGIENE, OCCUPATIONAL HEALTH, AND SAFETY CONSULTING	P	B		N	N	2		1,250,000	0	0	1,250,000	10/18/2019	O	10/31/2024	
4600003747	BERGMANN ASSOC ARCHITECTS ENGINEERS LANDSCAPE ARCHITECTS&SURVEYORS DPC 280 E BROAD ST - STE 200 ROCHESTER, NY 14604-1740 US	POWER STATION ENGINEERING	P	B		N	N	23		2,083,333	59,148	59,148	2,024,185	11/1/2019	O	10/31/2024	

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4600003748	ALLIED ENVIRONMENTAL SERVICES OF NY 19 RANSIER DR STE C WEST SENECA, NY 14224-2259 US	ROCKFALL REMOVAL SERVICES	S	B		N	N	2		100,000	83,151	83,151	16,849	10/22/2019	C		10/21/2020
4600003749	NAVIGANT CONSULTING INC 685 3RD AVE - FL 14 NEW YORK, NY 10017-4024 US	CONSULTING SUPPORT SERVICES	P	B		N	N	23		1,560,141	1,188,186	1,188,186	371,955	7/15/2019	O	7/14/2022	
4600003750	CHA CONSULTING INC III WINNERS CIRCLE ALBANY, NY 12205-0269 US	POWER STATION ENGINEERING	P	B		N	N	23		2,083,333	85,019	85,019	1,998,314	10/24/2019	O	10/31/2024	
4600003751	HATCH ASSOCIATES CONSULTANTS INC 100 SYLVAN PKWY AMHERST, NY 14228-1146 US	POWER STATION ENGINEERING	P	B		N	N	23		2,083,333	94,198	94,198	1,989,135	10/24/2019	O	10/31/2024	
4600003752	KLEINSCHMIDT ASSOCIATES PA PC PO BOX 650 PITTSFIELD, ME 04967-0650 US	POWER STATION ENGINEERING	P	B		N	N	23		2,083,333	40,066	40,066	2,043,267	10/24/2019	O	10/31/2024	
4600003753	POWER ENGINEERS CONSULTING A PROFESSIONAL SERVICE CORP 3940 GLENBROOK DR HAILEY, ID 83333-8446 US	POWER STATION ENGINEERING	P	B		N	N	23		2,083,333	0	0	2,083,333	10/24/2019	O	10/31/2024	
4600003754	STANTEC CONSULTING SERVICES INC 61 COMMERCIAL ST ROCHESTER, NY 14614-1009 US	POWER STATION ENGINEERING	P	B		N	N	23		2,083,333	0	0	2,083,333	10/24/2019	O	10/31/2024	
4600003755	MOTT MACDONALD NY INC 1400 BROADWAY - FL 30 NEW YORK, NY 10018-5330 US	POWER STATION ENGINEERING	P	B		N	N	23		2,083,333	61,525	61,525	2,021,808	10/24/2019	O	10/31/2024	
4600003756	SUBSTATION ENGINEERING CO 300 MAIN ST STE 2 VESTAL, NY 13850-1545 US	POWER STATION ENGINEERING	P	B		N	N	23		2,083,333	0	0	2,083,333	10/24/2019	O	10/31/2024	
4600003757	SNC LTD 100 GREAT OAKS BVLD STE 126 ALBANY, NY 12203-7914 US	POWER STATION ENGINEERING	P	B		N	N	23		2,083,333	0	0	2,083,333	10/24/2019	O	10/31/2024	
4600003758	MIDDOUGH INC 1901 EAST 13TH ST STE 400 CLEVELAND, OH 44114-3542 US	POWER STATION ENGINEERING	P	B		N	N	23		2,083,333	0	0	2,083,333	10/24/2019	O	10/31/2024	
4600003759	TRC ENGINEERS INC 215 GREENFIELD PKWY - STE 102 LIVERPOOL, NY 13088-6651 US	POWER STATION ENGINEERING	P	B		N	N	23		2,083,333	0	0	2,083,333	10/24/2019	O	10/31/2024	
4600003760	KPMG LLP STE 200 515 BROADWAY - 4TH FL ALBANY, NY 12207-2930 US	AUDIT AND ACCOUNTING SERVICES	P	B		N	N	2		3,000,000	491,321	491,321	2,508,679	9/15/2019	O	9/14/2024	
4600003762	DNV GL ENERGY INSIGHTS USA INC 1400 RAVELLO DR KATY, TX 77449-5164 US	ELECTRIC TRANSPORTATION PROGRAM CONSULTING SERVICES	P	B		F	N	18		200,000	0	0	200,000	11/1/2019	O	10/31/2024	

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4600003763	BURNS & MCDONNELL ENGINEERING 9400 WARD PARKWAY KANSAS CITY, MO 64114 US	DESIGN, FABRICATION AND INSTALLATION OF THE ICS AS WELL AS THE BACKUP CONTROL ROOM AND CONTROL ROOM UPGRADE @ RMNPP	C	B		F	N	3		134,000,000	16,274,232	15,161,692	117,725,768	8/8/2019	O	8/8/2033	
4600003764	LINDSEY MANUFACTURING CO 760 N GEORGIA AVE - PO BOX 877 AZUSA, CA 91702-2248 US	TRANSMISSION LINE MONITOR SENSORS	E	B		F	N	4		240,488	139,488	139,488	101,000	10/29/2019	O	10/28/2024	
4600003765	AMPACIMON INC 2450 ATLANTA HWY STE 102 CUMMING, GA 30040-1251 US	TRANSMISSION LINE MONITORING SENSORS	E	B		F	N	4		413,675	312,800	312,800	100,875	10/29/2019	O	10/28/2024	
4600003766	CORE FACILITY SERVICES LLC 150 E 42ND ST - RM 701 NEW YORK, NY 10017-5688 US	ADMINISTRATION SERVICES OF OPERATING ENGINEERS	S	B		N	N	2		9,250,000	1,219,366	1,219,366	8,030,634	1/22/2020	O	1/21/2025	
4600003767	DIVAL SAFETY EQUIPMENT INC 1721 NIAGARA ST BUFFALO, NY 14207-3108 US	RAINWEAR, ARC FLASH RATED	E	B		N	N	4		750,000	180,154	180,154	569,846	11/5/2019	O	11/6/2024	
4600003768	FIRSTLINE LOCKSMITH LLC 2277 ROUTE 33 STE 406 HAMILTON, NJ 08690-1700 US	LOCKSMITH SERVICE	S	B		N	N	2		100,000	6,768	6,768	93,232	11/5/2019	C		11/4/2020
4600003769	STRATEGY MUSE INC 621 S AVENUE 60 LOS ANGELES, CA 90042-4304 US	CHANGE MANAGEMENT EMPLOYEE VALUE PROPOSITION	P	B		F	N	13		680,000	442,409	441,772	237,591	11/5/2019	O	11/4/2022	
4600003770	CAREY & WALSH INC 529 N STATE RD - PO BOX 2529 BRIARCLIFF MANOR, NY 10510 US	ON-CALL HEATING, VENTILATION AND AIR CONDITIONING SERVICES	S	B		N	01	2		750,000	97,802	97,802	652,198	10/1/2019	O	9/30/2024	
4600003771	BAYSIDE REFRIGERATION, INC D/B/A AIRLOGIX 24-26 46TH STREET ASTORIA, NY 11103-1008 US	ON-CALL HEATING, VENTILATION AND AIR CONDITIONING SERVICES	S	B		N	03	2		750,000	67,275	67,275	682,725	10/1/2019	O	9/30/2024	
4600003772	CUSTOM LEARNING TECHNOLOGIES LLC LISA HAGERTY 4555 STATE ROUTE 150 WYNANTSKILL, NY 12198-8182 US	ELEARNING AND GRAPHICS SUPPORT	S	B		N	N	4		100,000	70,657	70,657	29,343	11/6/2019	C		11/5/2020
4600003773	G-CUBE WEBWIDE SOFTWARE PVT LTD 1600 DUANE AVE SANTA CLARA, CA 95054-3442 US	ELEARNING AND GRAPHICS SUPPORT	S	B		F	N	4		150,000	20,146	20,146	129,854	11/6/2019	C		11/5/2020
4600003774	JUDGE TECHNICAL SERVICES INC DBA JUDGE TECHNICAL STAFFING 151 S WARNER RD STE 100 WAYNE, PA 19087-2127 US	PERMANENT STAFF RECRUITING	S	B		F	N	27		200,000	0	0	200,000	11/13/2019	O	11/12/2022	
4600003775	ACME INDUSTRIAL INC 326-328 FRONT ST STATEN ISLAND, NY 10304 US	GENERAL MAINTENANCE SERVICES	S	B		N	01	3		4,000,000	1,009,534	1,009,534	2,990,466	11/14/2019	O	11/13/2024	

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4600003776	ROBERT HALF INTERNATIONAL INC 2613 CAMINO RAMON SAN RAMON, CA 94583-4289 US	PERMANENT STAFF RECRUITING	S	B		F	N	27		200,000	15,000	15,000	185,000	11/13/2019	O	11/12/2022	
4600003777	UNGER SECURITY SOLUTIONS LLC 1104 SILVER RUN PL KNOXVILLE, MD 21758-1038 US	DESIGN BUILD ADVISORY SERVICES	P	B		N	N	2		750,000	177,007	177,007	572,993	11/12/2019	O	10/31/2024	
4600003778	HARTGEN ARCHEOLOGICAL ASSOCIATES INC 1744 WASHINGTON AVE EXT RENSSELAER, NY 12144-9510 US	GENERAL CULTURAL RESOURCES SERVICES	P	B		N	N	10		350,000	5,180	5,180	344,820	3/1/2020	O	2/28/2024	
4600003779	AECOM USA INC 125 BROAD ST NEW YORK, NY 10004-2400 US	GENERAL CULTURAL RESOURCES SERVICES	P	B		N	N	10		350,000	0	0	350,000	3/1/2020	O	2/28/2024	
4600003780	LOUIS BERGER US INC 412 MOUNT KEMBLE AVE MORRISTOWN, NJ 07962-6666 US	GENERAL CULTURAL RESOURCES SERVICES	P	B		N	N	10		350,000	0	0	350,000	3/1/2020	O	2/28/2024	
4600003781	LANDMARK ARCHAEOLOGY INC 6242 HAWES RD ALTAMONT, NY 12009-4606 US	GENERAL CULTURAL RESOURCES SERVICES	P	B		N	03	10		350,000	0	0	350,000	3/1/2020	O	2/28/2024	
4600003782	RICHARD GRUBB AND ASSOCIATES INC 259 PROSPECT PLAINS RD - BLDG D CRANBURY, NJ 08512-3706 US	GENERAL CULTURAL RESOURCES SERVICES	P	B		N	03	10		350,000	0	0	350,000	3/1/2020	O	2/28/2024	
4600003783	OVE ARUP & PARTNERS PC 77 WATER ST NEW YORK, NY 10005-4401 US	DESIGN BUILD ADVISORY SERVICES	P	B		N	N	2		750,000	80,000	80,000	670,000	12/11/2019	O	10/31/2024	
4600003784	CHARGEPOINT INC 254 E HACIENDA AVE CAMPBELL, CA 95008-6617 US	FURNISH, DELIVER, INSTALL,SERVICE, MAINTAIN, AND WARRANTY EVSE	E	B		F	N	26		6,500,000	0	0	6,500,000	2/21/2020	O	11/14/2023	
4600003785	CLIPPERCREEK INC 11850 KEMPER RD STE E AUBURN, CA 95603-9013 US	FURNISH, DELIVER, INSTALL,SERVICE, MAINTAIN, AND WARRANTY EVSE	E	B		F	N	26		6,500,000	0	0	6,500,000	2/18/2020	O	11/14/2023	
4600003786	VOLKSWAGEN GROUP OF AMERICA INC DBA ELECTRIFY AMERICA LLC 2003 EDMUND HALLEY DR STE 200 RESTON, VA 20191-3498 US	FURNISH, DELIVER, INSTALL, SERVICE, MAINTAIN, AND WARRANTY EVSE	C	B		F	N	26		15,000,000	0	0	15,000,000	1/13/2020	O	11/14/2023	
4600003787	EVSE LLC 89 PHOENIX AVE ENFIELD, CT 06082-4439 US	FURNISH, DELIVER, AND WARRANTY EVSE	E	B		F	N	26		6,500,000	0	0	6,500,000	12/16/2019	O	11/14/2023	
4600003788	FREEWIRE TECHNOLOGIES 1933 DAVIS ST STE 234 SAN LEANDRO, CA 94577-1263 US	FURNISH, DELIVER, AND WARRANTY EVSE	E	B		F	N	26		6,500,000	0	0	6,500,000	1/6/2020	O	11/14/2023	
4600003789	HELIOX TECHOLOGY INC 160 GREENTREE DR STE 101 DOVER, DE 19904-7620 US	FURNISH, DELIVER, INSTALL,SERVICE, MAINTAIN, AND WARRANTY EVSE	C	B		F	N	26		6,500,000	0	0	6,500,000	2/3/2020	O	11/14/2023	

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4600003790	LILYPAD EV LLC 9801 W 100TH TER OVERLAND PARK, KS 66212-5306 US	FURNISH, DELIVER, MAINTAIN, AND WARRANTY EVSE	E	B			F	N	26		6,500,000	0	0	6,500,000	12/16/2019	O	11/14/2023	
4600003791	MAVERICK CONSTRUCTION CORPORATION 1 WESTINGHOUSE PLZ BLDG D BOSTON, MA 02136 US	FURNISH, DELIVER, INSTALL, SERVICE, MAINTAIN, AND WARRANTY EVSE	C	B			F	N	26		6,500,000	0	0	6,500,000	12/16/2019	O	11/14/2023	
4600003792	PLUG-IN STATIONS ONLINE LLC 418 BROADWAY ALBANY, NY 12207-2950 US	FURNISH, DELIVER, INSTALL, SERVICE, MAINTAIN, AND WARRANTY EVSE	C	B			N	N	26		10,000,000	482,414	482,414	9,517,586	12/16/2019	O	11/14/2023	
4600003793	SIEMENS INDUSTRY INC 10900 WAYZATA BLVD - STE 400 MINNETONKA, MN 55305-5602 US	FURNISH, DELIVER, AND WARRANTY OVERHEAD BUS CHARGERS EVSE	E	B			F	N	26		6,500,000	0	0	6,500,000	2/20/2020	O	11/14/2023	
4600003794	SOLAR LIBERTY ENERGY SYSTEMS INC 6500 SHERIDAN DR - STE 120 BUFFALO, NY 14221-4845 US	FURNISH, DELIVER, INSTALL, SERVICE, MAINTAIN, AND WARRANTY EVSE	C	B			N	N	26		6,500,000	0	0	6,500,000	12/16/2019	O	11/14/2023	
4600003795	DELOITTE CONSULTING LLP 4022 SELLS DR HERMITAGE, TN 37076-2903 US	CHANGE MANAGEMENT EMPLOYEE VALUE PROPOSITION	P	B			F	N	13		660,000	276,379	276,379	383,621	11/5/2019	O	11/4/2022	
4600003797	INFOJINI INC PMB #115 344 GROVE ST JERSEY CITY, NJ 07303-5923 US	PERMANENT STAFF RECRUITING	S	B			F	N	27		200,000	23,400	23,400	176,600	11/13/2019	O	11/12/2022	
4600003798	MARUBENI AMERICA CORPORATION REPRESENTED BY TEAMEX CORP 375 LEXINGTON AVE NEW YORK, NY 10017-5644 US	FURNISH, DELIVER, AND WARRANTY EVSE AND NETWORK SOFTEWARE	E	B			N	N	26		6,500,000	0	0	6,500,000	1/22/2020	O	11/14/2023	
4600003799	AMPCUS INC 14900 CONFERENCE CENTER DR STE 500 CHANTILLY, VA 20151-3840 US	PERMANENT STAFF RECRUITING	S	B			F	N	27		200,000	0	0	200,000	11/13/2019	O	11/12/2022	
4600003800	RANGAM CONSULTANTS INC 270 DAVIDSON AVE STE 103 SOMERSET, NJ 08873-4141 US	PERMANENT STAFF RECRUITING	S	B			F	04	27		200,000	0	0	200,000	11/13/2019	O	11/12/2022	
4600003801	FRESH MEADOW POWER LLC 6501 FRESH MEADOW LN FRESH MEADOWS, NY 11365-2011 US	ON-CALL GENERAL MAINTENANCE SERVICES	S	B			N	N	3		1,000,000	0	0	1,000,000	11/26/2019	O	11/25/2024	
4600003802	FERGUSON ELECTRIC CONSTRUCTION CO INC 333 ELLICOTT ST BUFFALO, NY 14203-1618 US	SWITCHYARD LIFE EXTENSION	C	B			N	N	2		29,447,000	9,554,661	9,554,661	19,892,339	11/26/2019	O	12/31/2022	
4600003804	SARGENT & LUNDY LLC 55 E MONROE ST CHICAGO, IL 60603 US	POWER STATION ENGINEERING	P	B			N	N	23		2,083,333	0	0	2,083,333	11/1/2019	O	10/31/2024	
4600003805	MOSDORFER GMBH MOSDORFERGASSE 1 WEIZ, OÖ 8160 AT	SMART PATH - MA1 MA2 LINE HARDWARE - FURNISH AND DELIVER	E	B			F	N	7		2,810,276	647,044	647,044	2,163,232	12/16/2019	O	8/5/2024	

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4600003806	MASTERMANS LLP 11 C STREET AUBURN, MA 01501 US	VESTS, ARC FLASH RATED	E	B		N	N	8		750,000	141,841	141,841	608,159	12/4/2019	O	12/3/2024	
4600003807	GUTH DECONZO CONSULTING ENGINEERS PC 242 W 30TH ST - 3RD FL NEW YORK, NY 10001-4903 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	N	23		200,000,000	24,967,069	24,967,069	175,032,931	12/11/2019	O	12/10/2026	
4600003808	WENDEL ENERGY SERVICES LLC 375 ESSJAY RD - STE 200 WILLIAMSVILLE, NY 14221-5761 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	N	23		75,000,000	17,026,122	17,026,122	57,973,878	12/11/2019	O	12/10/2026	
4600003810	PRES SERVICES LLC PRES ENERGY 95 STARK ST TONAWANDA, NY 14150-1210 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	N	23		50,000,000	33,599	33,599	49,966,401	12/11/2019	O	12/10/2026	
4600003811	DYNAMIC US INC 2900 WESTCHESTER AVE STE 207 PURCHASE, NY 10577-2551 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	N	23		80,000,000	492,894	492,894	79,507,106	12/11/2019	O	12/10/2026	
4600003812	BETTE & CRING LLC 18438 US ROUTE 11 WATERTOWN, NY 13601-5699 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	N	23		50,000,000	0	0	50,000,000	12/11/2019	O	12/10/2026	
4600003813	AECOM USA INC 125 BROAD ST NEW YORK, NY 10004-2400 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	N	23		50,000,000	2,903,349	2,903,349	47,096,651	12/11/2019	O	12/10/2026	
4600003814	NORESCO LLC 1 RESEARCH DR STE 400C WESTBOROUGH, MA 01581-3963 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		F	N	23		25,000,000	0	0	25,000,000	12/11/2019	O	12/10/2026	
4600003815	WILLDAN ENERGY SOLUTIONS INC 88 PINE ST - FL 18 NEW YORK, NY 10005 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	N	23		50,000,000	0	0	50,000,000	12/11/2019	O	12/10/2026	
4600003816	IMPERIA ENGINEERING PARTNERS LLC 2 ADVANTAGE COURT FL 2 BORDENTOWN, NJ 08505 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		F	N	23		50,000,000	0	0	50,000,000	12/11/2019	O	12/10/2026	
4600003817	MACAN DEVE ENGINEERS DPC 763 BLACKBERRY YORKTOWN HEIGHTS, NY 10598-1966 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	03	23		50,000,000	4,000	4,000	49,996,000	12/11/2019	O	12/10/2026	
4600003818	LABELLA ASSOCIATES D P C 300 STATE ST - STE 201 ROCHESTER, NY 14614-1019 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	N	23		50,000,000	0	0	50,000,000	12/11/2019	O	12/10/2026	
4600003819	JOHN W DANFORTH CO 300 COLVIN WOODS PKWY TONAWANDA, NY 14150-6976 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	N	23		25,000,000	0	0	25,000,000	12/11/2019	O	12/10/2026	

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4600003820	CAMP DRESSER MCKEE & SMITH DBA FOR CDM SMITH INC 60 CROSSWAYS PARK DR W - STE 340 WOODBURY, NY 11797-2018 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	N	23		50,000,000	0	0	50,000,000	12/11/2019	O	12/10/2026	
4600003821	ARCADIS OF NEW YORK INC 44 S BROADWAY - FL 15 WHITE PLAINS, NY 10601-4411 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	N	23		50,000,000	0	0	50,000,000	12/11/2019	O	12/10/2026	
4600003822	BARILE GALLAGHER & ASSOCIATES 39 MARBLE AVE PLEASANTVILLE, NY 10570-2918 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	N	23		25,000,000	0	0	25,000,000	12/11/2019	O	12/10/2026	
4600003823	LIRO ENGINEERS INC 3 AERIAL WAY SYOSSET, NY 11791-5501 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	N	23		50,000,000	0	0	50,000,000	12/11/2019	O	12/10/2026	
4600003824	FULCRUM FACILITIES SERVICES DBA THE FULCRUM GROUP 80 BROAD ST - STE 1601 NEW YORK, NY 10004-2209 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	N	23		25,000,000	24,620	24,620	24,975,380	12/11/2019	O	12/10/2026	
4600003825	ENERGY SYSTEMS GROUP LLC SUBSIDARY OF VECTREN ENERGY SERV 9877 EASTGATE CT NEWBURGH, IN 47630-9366 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		F	N	23		50,000,000	0	0	50,000,000	12/11/2019	O	12/10/2026	
4600003826	ABM BUILDING SOLUTIONS LLC 14141 SW FREEWAY STE 400 SUGAR LAND, TX 77478-4651 US	FURNISH, DELIVER, INSTALL, SERVICE, MAINTAIN, AND WARRANTY EVSE	C	B		F	N	26		6,500,000	0	0	6,500,000	12/16/2019	O	11/14/2023	
4600003827	SISU ENERGY & ENVIRONMENTAL SUITE 1005 5801 E 41ST STREET TULSA, OK 74135 US	CATALYST ENGINEERING SERVICES	S	B		F	N	1		4,903,123	616,765	616,765	4,286,358	8/29/2019	O	8/28/2024	
4600003828	UNDERGROUND SYSTEMS INC 3A TROWBRIDGE DR BETHEL, CT 06801-2858 US	UNDERGROUND TRANSMISSION LINES ASSESSMENT	P	B		F	N	8		981,349	0	0	981,349	1/9/2020	O	1/8/2023	
4600003829	SEMACONNECT INC 4961 TESLA DR STE A BOWIE, MD 20715-4409 US	FURNISH, DELIVER, INSTALL, SERVICE, MAINTAIN, AND WARRANTY EVSE	C	B		F	N	26		6,500,000	0	0	6,500,000	12/16/2019	O	11/14/2023	
4600003830	JOHNSON CONTROLS FIRE PROTECTION LP DBA FOR TYCO FIRE & SECUITY MGMT IN 6850 MAIN ST - STE 3 WILLIAMSVILLE, NY 14221 US	FIRE PROTECTION SYSTEM MAINTENANCE	S	B		N	N	2		500,000	57,451	57,451	442,549	1/1/2020	O	12/31/2024	
4600003831	POWER ENGINEERS CONSULTING A PROFESSIONAL SERVICE CORP 3940 GLENBROOK DR HAILEY, ID 83333-8446 US	UNDERGROUND TRANSMISSION LINES ASSESSMENT	P	B		F	N	8		702,879	91,699	91,699	611,180	1/9/2020	O	1/8/2023	
4600003832	CHA CONSULTING INC III WINNERS CIRCLE ALBANY, NY 12205-0269 US	UNDERGROUND TRANSMISSION LINES ASSESSMENT	P	B		N	N	8		394,506	0	0	394,506	1/9/2020	O	1/8/2023	

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4600003833	CASELLA WASTE MNGMNT OF NY INC DBA NORTHERN SANITATION INC 67 CARBIDE RD PLATTSBURGH, NY 12901-5905 US	REFUSE SERVICES	S	B	5	N	N	1		20,000	3,982	3,982	16,018	2/15/2020	O	2/14/2023	
4600003834	M G MCLAREN ENGINEERING AND LAND SURVEYING PC 530 CHESTNUT RIDGE RD WOODCLIFF LAKE, NJ 07677-8407 US	UNDERWATER INSPECTION SERVICES - ON-CALL	S	B		N	N	7		1,500,000	0	0	1,500,000	12/17/2019	O	12/31/2024	
4600003835	HOHL INDUSTRIAL SERVICES INC 770 RIVERVIEW BLVD TONAWANDA, NY 14150-7880 US	UNDERWATER INSPECTION SERVICES - ON-CALL	S	B		N	01	7		1,500,000	549,708	549,708	950,292	12/17/2019	O	12/31/2024	
4600003836	BOKLAND CUSTOM VISUALS 122 INDUSTRIAL PARK RD ALBANY, NY 12206-2062 US	PUBLIC OUTREACH AND STRATEGIC COMMUNICATIONS SERVICES	P	B		N	N	13		772,727	0	0	772,727	1/1/2020	O	12/31/2024	
4600003837	MEDIAGRAPHICS INC 152 NEW JERSEY AVE ABSECON, NJ 08201-2434 US	PUBLIC OUTREACH AND STRATEGIC COMMUNICATIONS SERVICES	P	B		F	N	13		772,727	14,345	14,345	758,382	1/1/2020	O	12/31/2024	
4600003838	ARCH STREET COMMUNICATIONS INC 31 MAMARONECK AVE - STE 400 WHITE PLAINS, NY 10601-3378 US	PUBLIC OUTREACH AND STRATEGIC COMMUNICATIONS SERVICES	P	B		N	03	13		772,727	127,530	127,530	645,197	1/1/2020	O	12/31/2024	
4600003839	KIVVIT DBA FOR ASGK PUBLIC STRATEGIES LLC 200 VARICK ST - STE 201 NEW YORK, NY 10014-4871 US	PUBLIC OUTREACH AND STRATEGIC COMMUNICATIONS SERVICES	P	B		N	N	13		772,727	72,228	72,228	700,499	1/1/2020	O	12/31/2024	
4600003840	OLDCASTLE PRECAST INC 1002 15TH ST SW - STE 110 AUBURN, WA 98001-6502 US	CABLE TRENCH	E	B		N	N	2		2,000,000	147,677	147,677	1,852,323	12/27/2019	O	12/26/2024	
4600003841	THE PAIGE GROUP 258 GENESEE ST STE 204 UTICA, NY 13502-4623 US	PUBLIC OUTREACH AND STRATEGIC COMMUNICATIONS SERVICES	P	B		N	03	13		772,727	42,290	42,290	730,437	1/1/2020	O	12/31/2024	
4600003842	THE VISUAL BRAND LLC 24 WHITNEY ST WESTPORT, CT 06880-3735 US	PUBLIC OUTREACH AND STRATEGIC COMMUNICATIONS SERVICES	P	B		F	N	13		772,727	69,762	69,762	702,965	1/1/2020	O	12/31/2024	
4600003843	R6CATALYST LLC 23 DAWSON AVE WEST ORANGE, NJ 07052-2307 US	PUBLIC OUTREACH AND STRATEGIC COMMUNICATIONS SERVICES	P	B		F	04	13		772,727	0	0	772,727	1/1/2020	O	12/31/2024	
4600003844	THE MARINO ORGANIZATION DBA MARINO 747 3RD AVE FL 18 NEW YORK, NY 10017-2879 US	PUBLIC OUTREACH AND STRATEGIC COMMUNICATIONS SERVICES	P	B		N	N	13		772,727	0	0	772,727	1/1/2020	O	12/31/2024	
4600003845	AECOM USA INC 125 BROAD ST NEW YORK, NY 10004-2400 US	PROGRAM PROJECT MANAGEMENT	P	B		N	N	25		40,000,000	2,600,422	2,600,422	37,399,578	1/2/2020	O	12/31/2024	

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4600003846	CHA CONSULTING INC III WINNERS CIRCLE ALBANY, NY 12205-0269 US	PROGRAM PROJECT MANAGEMENT	P	B		N	N	25		12,000,000	179,916	179,916	11,820,084	1/2/2020	O	12/31/2024	
4600003847	JACOBS ENGINEERING NEW YORK INC DBA JACOBS PROJECT MANAGEMENT CO 500 7TH AVE 17TH FLOOR NEW YORK, NY 10018-4502 US	PROGRAM PROJECT MANAGEMENT	P	B		N	N	25		12,000,000	134,415	134,415	11,865,585	1/2/2020	O	12/31/2024	
4600003848	JINGOLI POWER LLC 100 LENOX DR STE 100 LAWRENCEVILLE, NJ 08648-2332 US	PROGRAM PROJECT MANAGEMENT	P	B		N	N	25		15,000,000	991,606	991,606	14,008,394	1/2/2020	O	12/31/2024	
4600003849	POWER ENGINEERS CONSULTING A PROFESSIONAL SERVICE CORP 3940 GLENBROOK DR HAILEY, ID 83333-8446 US	PROGRAM PROJECT MANAGEMENT	P	B		N	N	25		15,000,000	0	0	15,000,000	1/2/2020	O	12/31/2024	
4600003850	WSP USA INC ONE PENN PLZ - FL 2 NEW YORK, NY 10119-0021 US	PROGRAM PROJECT MANAGEMENT	P	B		N	N	25		15,000,000	0	0	15,000,000	1/2/2020	O	12/31/2024	
4600003851	ESSENSE PARTNERS DBA AKASAKA ENTERPRISES 125 PARK AVE - FL 25 NEW YORK, NY 10017-5550 US	PUBLIC OUTREACH AND STRATEGIC COMMUNICATIONS SERVICES	P	B		N	04	13		772,727	0	0	772,727	1/1/2020	O	12/31/2024	
4600003852	CALL OF THE LOON PRODUCTIONS 104 ASPEN ST LIVERPOOL, NY 13088-5102 US	PUBLIC OUTREACH AND STRATEGIC COMMUNICATIONS SERVICES	P	B		N	03	13		772,727	0	0	772,727	1/1/2020	O	12/31/2024	
4600003853	STANTON COMMUNICATIONS INC 45 ROCKEFELLER PLZ STE 2000 NEW YORK, NY 10111-3193 US	PUBLIC OUTREACH AND STRATEGIC COMMUNICATIONS SERVICES	P	B		N	N	13		772,727	0	0	772,727	1/1/2020	O	12/31/2024	
4600003854	ICF INCORPORATED LLC 9300 LEE HWY FAIRFAX, VA 22031-6050 US	ENTERPRISE RESILIENCE CONSULTING SERVICES	P	B		F	N	7		1,105,500	0	0	1,105,500	12/12/2019	O	12/11/2022	
4600003855	ACCENTURE LLP 111 WASHINGTON ST ALBANY, NY 12210-2209 US	ENTERPRISE RESILIENCE CONSULTING SERVICES	P	B		N	N	7		1,799,760	445,133	445,133	1,354,627	12/12/2019	O	12/11/2022	
4600003856	TOFFLER ASSOCIATES INC STE 410 4301 WILSON BVLD ARLINGTON, VA 22203-4419 US	ENTERPRISE RESILIENCE CONSULTING SERVICES	P	B		F	N	7		1,048,595	149,100	149,100	899,495	12/12/2019	O	12/11/2022	
4600003857	PLUG'N DRIVE COALITION OF ONTARIO UNIT 1 1126 FINCH AVENUE WEST NORTH YORK, ON M3J 3J6 CA	EV MODEL COMMUNITIES	P	B		N	N	24		1,700,000	24,835	24,835	1,675,165	1/8/2020	O	1/7/2023	
4600003858	GRANITE POWER INC 550 W VAN BUREN ST STE 1150 CHICAGO, IL 60607-3827 US	MATERIAL MANAGEMENT SERVICES	C	B		F	N	5		11,122,740	3,151,416	3,151,416	7,971,324	1/8/2020	O	10/13/2024	
4600003859	WINOLA INDUSTRIAL INC 5790 MISLEVY RD FACTORYVILLE, PA 18419-7852 US	WORKING LADDERS	E	B		F	N	2		1,567,200	476,980	476,980	1,090,220	1/31/2020	O	1/30/2025	

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4600003860	AECOM USA INC 125 BROAD ST NEW YORK, NY 10004-2400 US	EEL LADDER OPERATING, MAINTAINING AND MONITORING SERVICES	S	B		N	N	1		600,000	88,938	88,938	511,062	1/15/2020	O	12/31/2024	
4600003861	CHA CONSULTING INC III WINNERS CIRCLE ALBANY, NY 12205-0269 US	ENGINEERING BRIDGE INSPECTION	P	B		N	N	5		666,666	0	0	666,666	1/1/2020	O	12/31/2024	
4600003862	GREENMAN-PEDERSEN INC 400 RELLA BLVD - STE 207 MONTEBELLO, NY 10901-4256 US	ENGINEERING BRIDGE INSPECTION	P	B		N	N	5		666,666	136,064	136,064	530,602	1/1/2020	O	12/31/2024	
4600003863	RFJ INSULATION CONTRACTOR INC 232-C ORINOCO DR BRIGHTWATERS, NY 11718 US	INSULATION SERVICES	S	B		F	N	3		5,000,000	506,018	506,018	4,493,982	1/30/2020	O	1/29/2025	
4600003864	STELLA JONES CORP 1640 MARC AVE TACOMA, WA 98421-2939 US	WOOD POLES	E	B		F	N	2		1,427,415	80,485	80,485	1,346,930	1/20/2020	O	6/27/2022	
4600003866	MJ ENGINEERING & LAND SURVEYING 1533 CRESCENT RD CLIFTON PARK, NY 12065-7701 US	ENGINEERING BRIDGE INSPECTION	P	B		N	N	5		666,666	0	0	666,666	1/22/2020	O	12/31/2024	
4600003867	WASTE-STREAM INC CASELLA RESOURCE SOLUTIONS 472 W PARISHVILLE RD POTSDAM, NY 13676-3474 US	DISPOSAL OF TREATED WOOD POLES	S	B		N	N	2		1,000,000	69,156	69,156	930,844	1/23/2020	O	1/22/2025	
4600003868	EVOQUA WATER TECHNOLOGIES LLC DBA FOR EWT HOLDINGS III CORP 95 LOWER MORRISVILLE RD FALLSINGTON, PA 19054-1403 US	DEMINERALIZED WATER TRAILERS	E	B		F	N	3		5,000,000	131,229	131,229	4,868,771	2/1/2020	O	1/31/2025	
4600003869	CLARKSON UNIVERSITY 8 CLARKSON AVE POTSDAM, NY 13699 US	CLIMATE CHANGE EDUCATION PARTNERSHIP WITH ACADEMIC INSTITUTION	P	B		N	N	2		1,000,000	0	0	1,000,000	1/23/2020	O	1/22/2025	
4600003870	CORNELL UNIVERSITY OFFICE OF SPONSORED PROGARMS 373 PINE TREE RD ITHACA, NY 14850-2820 US	CLIMATE CHANGE EDUCATION PARTNERSHIP WITH ACEDEMIC INSTITUTION	P	B		N	N	2		1,000,000	0	0	1,000,000	1/23/2020	O	1/22/2025	
4600003871	COLLIBRA INC 61 BROADWAY FL 31 NEW YORK, NY 10006-2803 US	DATA GOVERNANCE AND INTEGRATION TOOLS	E	B		N	N	20		2,000,000	337,845	337,845	1,662,155	1/23/2020	O	1/15/2023	
4600003872	MPW INDUSTRIAL WATER SERVICES INC DBA FOR MPW INDUSTRIAL SERVICES GRO 9711 LANCASTER RD SE HEBRON, OH 43025-9764 US	DEMINERALIZED WATER TRAILERS	E	B		F	N	3		5,000,000	339,156	339,156	4,660,844	2/1/2020	O	1/31/2025	

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4600003873	BSI SERVICES & SOLUTIONS (NYC) INC CREATIVE ENVIRONMENT SOLUTIONS 141 W 36TH ST FL 3 NEW YORK, NY 10018-6927 US	GAP ANALYSIS OF SAFETY MANAGEMENT SYSTEM	P	B		N	N	13		143,510	0	0	143,510	1/31/2020	O	1/30/2021	
4600003875	SYNCSORT INC 1700 DISTRICT AVE STE 300 BURLINGTON, MA 01803-5231 US	DATA GOVERNANCE AND INTEGRATION TOOLS	E	B		N	N	20		2,000,000	818,814	818,814	1,181,186	2/3/2020	O	1/16/2023	
4600003876	COI ENERGY SERVICES INC 10 HUDSON YARDS FL 48 NEW YORK, NY 10001-2161 US	DEMAND RESPONSE SERVICES	P	B		N	N	12		500,000	16,275	16,275	483,725	2/4/2020	O	6/30/2021	
4600003877	ENBALA POWER NETWORKS (USA) INC #007 3000 LAWRENCE ST DENVER, CO 80205-3422 US	DEMAND RESPONSE SERVICES	P	B		N	N	12		1,500,000	15,663	15,663	1,484,337	4/1/2020	O	3/31/2024	
4600003878	SKDKNICKERBOCKER LLC STAGWELL MEDIA LP 1150 18TH ST NW STE 800 WASHINGTON, DC 20036-3845 US	CANALS PUBLIC OUTREACH AND STRATEGIC COMMUNICATIONS	P	B		N	N	10		1,000,000	566,263	566,263	433,737	3/1/2020	O	2/28/2025	
4600003879	GENUINE PARTS COMPANY PO BOX 409043 ATLANTA, GA 30384-9043 US	FLEET PARTS	E	B		N	N	2		3,500,000	46,592	46,592	3,453,408	4/1/2020	O	3/31/2027	
4600003881	NYE AUTOMOTIVE GROUP INC 1479 GENESEE ST ONEIDA, NY 13421 US	FLEET PARTS	E	B		N	N	2		500,000	0	0	500,000	2/14/2020	O	2/13/2027	
4600003882	ARCH STREET COMMUNICATIONS INC 31 MAMARONECK AVE - STE 400 WHITE PLAINS, NY 10601-3378 US	CANAL PUBLIC OUTREACH AND STRATEGIC COMMUNICATIONS	P	B		N	03	10		1,000,000	0	0	1,000,000	3/1/2020	O	2/28/2025	
4600003883	HO PENN MACHINERY CO INC 122 NOXON RD POUGHKEEPSIE, NY 12603-2940 US	FUEL	S	B		N	N	1		500,000	88,084	88,084	411,916	2/11/2020	O	2/10/2021	
4600003884	RAMBOLL AMERICAS INTEGRATED SOLUTIONS INC 333 W WASHINGTON ST SYRACUSE, NY 13202-9203 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	N	23		50,000,000	5,751,832	5,751,832	44,248,168	12/11/2019	O	12/10/2026	
4600003885	EDM INTERNATIONAL INC 4001 AUTOMATION WAY FORT COLLINS, CO 80525-3479 US	MAINTENANCE OF SAGOMETER CONDUCTORS	P	1	8	N	N	1		116,250	23,250	23,250	93,000	4/1/2020	O	3/31/2025	
4600003886	BBG&G ADVERTISING INC 3020 ROUTE 207 SUITE 101 CAMPBELL HALL, NY 10916-2232 US	PUBLIC OUTREACH AND STRATEGIC COMMUNICATIONS	P	B		N	N	10		1,000,000	0	0	1,000,000	3/1/2020	O	2/28/2025	
4600003887	PUBLIC UTILITIES MAINTENANCE INC 212-26 99TH AVE QUEENS VILLAGE, NY 11429 US	TRANSMISSION STEEL TOWER PROJECT	C	B		N	N	1		20,232,110	0	0	20,232,110	2/20/2020	O	12/31/2023	

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4600003888	AMPCUS INC 14900 CONFERENCE CENTER DR STE 500 CHANTILLY, VA 20151-3840 US	IT CONTINGENT STAFFING	W	B		F	N	54		2,400,000	0	0	2,400,000	6/1/2020	O	5/31/2023	
4600003889	ECLARO INTERNATIONAL INC 450 7TH AVE - STE 506 NEW YORK, NY 10123-0506 US	IT CONTINGENT STAFFING	W	B		N	04	54		2,733,432	355,091	355,091	2,378,341	6/1/2020	O	5/31/2023	
4600003890	JUDGE TECHNICAL SERVICES INC DBA JUDGE TECHNICAL STAFFING 151 S WARNER RD STE 100 WAYNE, PA 19087-2127 US	IT CONTINGENT STAFFING	W	B		F	N	54		2,400,000	0	0	2,400,000	6/1/2020	O	5/31/2023	
4600003891	LANCESOFT INC 13454 SUNRISE VALLEY DR - STE 120 HERNDON, VA 20171-3278 US	IT CONTINGENT STAFFING	W	B		F	N	54		2,400,000	0	0	2,400,000	6/1/2020	O	5/31/2023	
4600003892	TRIGYN TECHNOLOGIES INC 100 METROPLEX DR - STE 101 EDISON, NJ 08817-2684 US	IT CONTINGENT STAFFING	W	B		F	N	54		2,400,000	77,756	77,756	2,322,244	6/1/2020	O	5/31/2023	
4600003893	UNIQUE COMP INC 2708 42ND RD LONG ISLAND CITY, NY 11101-4112 US	IT CONTINGENT STAFFING	W	B		N	04	54		2,400,000	64,823	64,823	2,335,177	6/1/2020	O	5/31/2023	
4600003894	VTECH SOLUTION INC 1100 H ST NW - STE 750 WASHINGTON, DC 20005-5479 US	IT CONTINGENT STAFFING	W	B		F	N	54		2,400,000	0	0	2,400,000	6/1/2020	O	5/31/2023	
4600003895	S & L ELECTRIC INC 5313 STATE HIGHWAY 56 COLTON, NY 13625 US	HEADGATE SYSTEM UPGRADES	C	B		N	N	2		3,908,700	0	0	3,908,700	3/3/2020	O	12/31/2024	
4600003896	E-J ELECTRIC T&D LLC 53 N PLAINS INDUSTRIAL RD WALLINGFORD, CT 06492-5808 US	STATEWIDE LED STREET LIGHT OPERATION AND MAINTENANCE	S	B		N	N	3		15,000,000	0	0	15,000,000	3/3/2020	O	3/2/2025	
4600003898	ELECTRIC CAR INSIDER DBA FOR CHRISTOPHER ALAN 9740 CAMPO RD SPRING VALLEY, CA 91977-1415 US	EV MODEL COMMUNITY PROGRAM	P	B		N	N	24		820,000	0	0	820,000	3/14/2020	O	3/13/2023	
4600003899	LOWE & PARTNERS WORLWIDE INC CAMPBELL EWALD NY 386 PARK AVE S FL 15 NEW YORK, NY 10016-8833 US	EVOLVE MARKETING SERVICES	P	B		N	N	14		6,000,000	586,277	586,277	5,413,723	3/14/2020	O	3/13/2023	
4600003900	STRUCTURAL INTEGRITY ASSOCIATES INC 5215 HELLYER AVE SAN JOSE, CA 95138-1025 US	HIGH ENERGY PIPING ASSESSMENT SERVICES	S	B		F	N	1		900,000	0	0	900,000	3/3/2020	O	3/2/2021	
4600003901	GE PACKAGED POWER LLC DBA FOR GENERAL ELECTRIC CO 16415 JACINTOPORT BLVD BLDG "B" HOUSTON, TX 77015 US	LM6000 ENGINE MAINTENANCE	S	B		F	N	2		80,000,000	3,861,896	3,861,896	76,138,104	3/23/2020	O	3/22/2030	

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4600003902	CDM CONSTRUCTORS INC 60 CROSSWAYS PARK W - STE 340 WOODBURY, NY 11797-2018 US	IMPLEMENTATION CONTRACTORS FOR ENERGY SERVICES PROGRAM STATEWIDE	C	B		N	N	23		50,000,000	82,170	82,170	49,917,830	12/11/2019	O	12/10/2026	
4600003905	COGENT INFOTECH CORPORATION 1035 BOYCE RD STE 108 PITTSBURGH, PA 15241-3932 US	IT CONTINGENT STAFFING	W	B		F	07	54		28,000,000	88,098	88,098	27,911,902	6/1/2020	O	5/31/2023	
4600003907	CROSSFIRE CONSULTING CORP 1940 COMMERCE ST YORKTOWN HEIGHTS, NY 10598-4428 US	IT CONTINGENT STAFFING	W	B		N	N	54		28,000,000	0	0	28,000,000	6/1/2020	O	5/31/2023	
4600003908	EXPERIS US INC 99 PARK AVE - STE 1120 NEW YORK, NY 10016-1601 US	IT CONTINGENT STAFFING	W	B		N	N	54		28,000,000	0	0	28,000,000	6/1/2020	O	5/31/2023	
4600003909	INFOQUEST CONSULTING GROUP INC STE 106 68 CULVER RD MONMOUTH JUNCTION, NJ 08852-2820 US	IT CONTINGENT STAFFING	W	B		F	N	54		28,000,000	132,879	132,879	27,867,121	6/1/2020	O	5/31/2023	
4600003910	SPRUCE TECHNOLOGY STE G 1149 BLOOMFIELD AVE CLIFTON, NJ 07012-2314 US	IT CONTINGENT STAFFING	W	B		F	07	54		28,000,000	3,544	3,544	27,996,456	6/1/2020	O	5/31/2023	
4600003911	CEMTEK SYSTEMS INC 1750 BRIELLE AVE - STE B2 OCEAN, NJ 07712-3953 US	CONTINUOUS EMISSIONS MONITORING SERVICES	S	B		N	N	3		3,000,000	187,284	187,284	2,812,716	4/1/2020	O	3/31/2025	
4600003912	ENERGETIX CORPORATION 2000 N DREXEL BLVD OKLAHOMA CITY, OK 73107-3130 US	DRUG SCREENING	P	B		F	N	2		100,000	0	0	100,000	5/4/2020	O	5/3/2025	
4600003913	WALTER T GORMAN PE PC 99 TULIP AVE - STE 106 FLORAL PARK, NY 11001-1927 US	CODE COMPLIANCE AND PERMITTING SERVICES	S	B		N	N	2		500,000	72,560	72,560	427,440	5/1/2020	O	4/30/2025	
4600003915	AVIATION SERVICES UNLIMITED LLC PO BOX 629 ORISKANY, NY 13424 US	GENERAL HELICOPTER SERVICES	P	B		N	N	3		1,900,000	16,660	16,660	1,883,340	8/10/2020	O	8/9/2025	
4600003916	RIGHT BROTHER AVIATION DBA FOR RIGHT BROTHER AVIATION LLC 12100 ALLEN RD CHAFFEE, NY 14030-9417 US	GENERAL HELICOPTER SERVICES	P	B		N	N	3		2,000,000	0	0	2,000,000	8/10/2020	O	8/9/2025	
4600003917	SOUTH AMERICAN JETS LLC 3785 NW 82 AVE DORAL, FL 33166-6655 US	GENERAL HELICOPTER SERVICES	P	B		N	N	3		2,000,000	0	0	2,000,000	8/10/2020	O	8/9/2025	
4600003918	EGGAN EXCAVATING EQUIPMENT CO INC 7439 TOWNLINE RD ROME, NY 13440-1450 US	EMERGENCY ENVIRONMENTAL SERVICES	S	B		N	01	1		80,000	11,903	11,903	68,097	5/8/2020	O	5/7/2024	

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4600003919	HEALY ELECTRIC CONTRACTING INC 4 FISHER LANE WHITE PLAINS, NY 10603 US	ON-CALL ELECTRICAL SERVICES	S	B			N	N	1		5,000,000	0	0	5,000,000	6/1/2020	O	5/31/2025	
4600003920	ERNST & YOUNG LLP 5 TIMES SQ NEW YORK, NY 10036-6540 US	FINANCIAL ADVISORY SERVICES FOR ENERGY PROJECTS	P	B	8	N	N	18		250,000	0	0	250,000	5/12/2020	O	5/11/2025	
4600003921	ISLAND OCCUPATIONAL MEDICAL RES 618 BROADWAY AMITYVILLE, NY 11701-2124 US	COVID 19 TESTING SERVICES	S	C	1	N	N	8		450,000	314,500	314,500	135,500	5/26/2020	O	5/25/2021	
4600003922	PROGRESSIVE PRIMARY CARE SOLUTIONS FIRST CALL SCREENERS 1 REYNOLDS ST ONEONTA, NY 13820-2017 US	COVID-19 TESTING SERVICES	S	C	1	N	N	8		73,000	11,790	11,790	61,210	5/26/2020	O	5/25/2021	
4600003923	WELLNOW URGENT CARE PO BOX 10459 ALBANY, NY 12201-5459 US	COVID-19 TESTING SERVICES	S	C	1	N	N	8		450,000	341,700	341,700	108,300	5/26/2020	O	5/25/2021	
4600003924	ROCKFLEET FINANCIAL SERVICES INC 420 LEXINGTON AVE RM 300 NEW YORK, NY 10170-0399 US	FINANCIAL ADVISORY SERVICES FOR ENERGY PROJECTS	P	B	8	N	N	18		5,000	0	0	5,000	5/12/2020	O	5/11/2025	
4600003926	JACKSON LEWIS PC 1 N BROADWAY FL 15 WHITE PLAINS, NY 10601-2310 US	LEGAL SERVICES	P	B		N	N	34		1,000,000	42,540	42,540	957,460	5/26/2020	O	5/25/2023	
4600003927	KATTEN MUCHIN ROSEMAN LLP 575 MADISON AVE NEW YORK, NY 10022-8508 US	LEGAL SERVICES	P	B		N	N	34		250,000	0	0	250,000	5/26/2020	O	5/25/2023	
4600003928	VAN NESS FELDMAN LLP 1050 THOMAS JEFFERSON ST NW WASHINGTON, DC 20007-3877 US	LEGAL SERVICES	P	B		F	N	34		2,000,000	629,644	629,644	1,370,356	5/26/2020	O	5/25/2023	
4600003929	BARCLAY DAMON LLP 125 E JEFFERSON ST SYRACUSE, NY 13202-2022 US	LEGAL SERVICES	P	B		N	N	34		560,000	12,371	12,371	547,629	5/26/2020	O	5/25/2023	
4600003930	GIBBONS P C 1 GATEWAY CTR - STE 300 NEWARK, NJ 07102-5321 US	LEGAL SERVICES	P	B		F	N	34		75,000	39,832	39,832	35,168	5/26/2020	O	5/25/2023	
4600003931	STINSON LLP 1201 WALNUT ST STE 2900 KANSAS CITY, MO 64106-2178 US	LEGAL SERVICES	P	B		F	N	34		168,000	17,349	17,349	150,651	5/26/2020	O	5/25/2023	
4600003932	HOLLAND & KNIGHT LLP 31 W 52ND ST - 11TH FL NEW YORK, NY 10019-6111 US	LEGAL SERVICES	P	B		N	N	34		2,000,000	99,290	99,290	1,900,710	5/26/2020	O	5/25/2023	
4600003933	DENTONS US LLP 1900 K STREET NW STE 1000 WASHINGTON, DC 20006-1100 US	LEGAL SERVICES	P	B		F	N	34		250,000	176,033	176,033	73,967	5/26/2020	O	5/25/2023	
4600003934	FOX ROTHSCHILD LLP 101 PARK AVE - STE 1700 NEW YORK, NY 10178-0002 US	LEGAL SERVICES	P	B		N	N	34		600,000	262,736	262,736	337,264	5/26/2020	O	5/25/2023	

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4600003935	CREDIT AGRICOLE CORP & INVESTMENT 1301 AVENUE OF THE AMERICAS NEW YORK, NY 10019-6022 US	FINANCIAL ADVISORY SERVICES FOR ENERGY PROJECTS	P	B		N	N	18		2,560,000	120,000	120,000	2,440,000	6/12/2020	O	6/11/2025	
4600003936	HAWKINS DELAFIELD & WOOD LLP 7 WORLD TRADE CENTER NEW YORK, NY 10007-2140 US	LEGAL SERVICES	P	B		N	N	34		1,000,000	17,433	17,433	982,567	5/26/2020	O	5/25/2023	
4600003937	BENTLY NEVADA LLC BAKER HUGHES A GE COMPANY 1631 BENTLY PKWY S MINDEN, NV 89423-4119 US	CONDITION AND MONITORING ASSESSMENT	S	B		F	N	1		300,000	0	0	300,000	9/23/2020	O	9/22/2021	
4600003938	BOND SCHOENECK & KING PLLC PO BOX 11607 SYRACUSE, NY 13218-1607 US	LEGAL SERVICES	P	B		N	N	34		400,000	15,152	15,152	384,848	5/26/2020	O	5/25/2023	
4600003939	ABRAMS & ABRAMS LLP - 363 7TH AVE - 12TH FL NEW YORK, NY 10001-3904 US	LEGAL SERVICES	P	B		N	N	34		210,000	112,271	112,271	97,729	5/26/2020	O	1/5/2021	
4600003940	GUIDEHOUSE INC 1800 TYSONS BVLD #7 MCLEAN, VA 22102-4257 US	FINANCIAL ADVISORY SERVICES FOR ENERGY PROJECTS	P	B		N	N	18		5,000	0	0	5,000	6/12/2020	O	6/11/2025	
4600003941	BRYANT RABBINO LLP 650 5th AVE STE 3300 NEW YORK, NY 10019-6108 US	LEGAL SERVICES	P	B		N	04	34		22,000	12,000	12,000	10,000	5/26/2020	O	5/25/2023	
4600003942	BURGHERGRAY LLP 1350 BROADWAY RM 406 NEW YORK, NY 10018-0970 US	LEGAL SERVICES	P	B		N	N	34		30,000	0	0	30,000	5/26/2020	O	5/25/2023	
4600003943	CARTER LEDYARD & MILBURN 2 WALL ST NEW YORK, NY 10005 US	LEGAL SERVICES	P	B		N	N	34		54,550	0	0	54,550	5/26/2020	O	5/25/2023	
4600003944	DELLAVERSON PC 381 PARK AVE S RM 720 NEW YORK, NY 10016-8831 US	LEGAL SERVICES	P	B		N	N	34		160,000	20,000	20,000	140,000	5/26/2020	O	5/25/2023	
4600003945	DEVAPRASAD PLLC 119 WASHINGTON AVE ALBANY, NY 12210-2243 US	LEGAL SERVICES	P	B		N	N	34		10,000	0	0	10,000	5/26/2020	O	5/25/2023	
4600003946	FRIED FRANK HARRIS SHRIVER & JACOBSON LLP 1 NEW YORK PLZ - FL 27 NEW YORK, NY 10004-1903 US	LEGAL SERVICES	P	B		N	N	34		10,000	0	0	10,000	5/26/2020	O	5/25/2023	
4600003947	HARDWICK LAW FIRM LLC 14 WALL ST FL 20 NEW YORK, NY 10005-2123 US	LEGAL SERVICES	P	B		N	N	34		10,000	0	0	10,000	5/26/2020	O	5/25/2023	
4600003948	NORTON ROSE FULBRIGHT US LLP 1301 AVENUE OF THE AMERICAS NEW YORK, NY 10019-6022 US	LEGAL SERVICES	P	B		N	N	34		10,000	0	0	10,000	5/26/2020	O	5/25/2023	
4600003949	STOEL RIVES LLP 1150 18TH ST NW STE 325 WASHINGTON, DC 20036-3856 US	LEGAL SERVICES	P	B		F	N	34		10,000	0	0	10,000	5/26/2020	O	5/25/2023	

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4600003950	EME CONSULTING ENGINEERING GROUP LLC 129 W 27TH ST - FL 7 NEW YORK, NY 10001-6206 US	MECHANICAL, ELECTRICAL AND PLUMBING (MEP) ENGINEERING SERVICES	S	B		N	N	18		250,000	0	0	250,000	6/29/2020	O	6/28/2025	
4600003951	ENSIGN ENGINEERING PC 1111 CALHOUN AVE BRONX, NY 10465-1800 US	MECHANICAL, ELECTRICAL AND PLUMBING (MEP) ENGINEERING SERVICES	S	B		N	03	18		250,000	9,284	9,284	240,716	6/29/2020	O	6/28/2025	
4600003952	FELLENZER ENGINEERING LLP 22 MULBERRY ST STE 2A MIDDLETOWN, NY 10940-5741 US	MECHANICAL, ELECTRICAL AND PLUMBING (MEP) ENGINEERING SERVICES	S	B		N	N	18		250,000	0	0	250,000	6/29/2020	O	6/28/2025	
4600003953	NIXON PEABODY LLP 437 MADISON AVE NEW YORK, NY 10022-7001 US	LEGAL SERVICES	P	B		N	N	34		60,000	6,783	6,783	53,217	5/26/2020	O	5/25/2023	
4600003954	ASSOCIATED FIRE PROTECTION 100 JACKSON ST PATERSON, NJ 07501-2806 US	ALARM AND FIRE PROTECTION SYSTEM	E	B		F	N	3		2,000,000	97,541	97,541	1,902,459	7/6/2020	O	7/5/2025	
4600003955	MINTZER MAUCH PLLC 290 MADISON AVE FL 4 NEW YORK, NY 10017-7728 US	LEGAL SERVICES	P	B		N	N	34		10,000	0	0	10,000	5/26/2020	O	5/25/2023	
4600003957	GRUNAU COMPANY INC 8302 SOUTHERN BLVD BOARDMAN, OH 44512 US	ALARM AND FIRE PROTECTION SYSTEM	E	B		F	N	3		1,000,000	26,730	26,730	973,270	7/15/2020	O	7/14/2025	
4600003958	BLEAKLEY PLATT & SCHMIDT LLP 1 N LEXINGTON AVE WHITE PLAINS, NY 10601-1712 US	LEGAL SERVICES	P	B		N	N	34		85,000	19,377	19,377	65,623	5/26/2020	O	5/25/2023	
4600003959	JP MORGAN SECURITIES LLC 383 MADISON AVE NEW YORK, NY 10179-0001 US	FINANCIAL ADVISORY SERVICES FOR ENERGY PROJECTS	P	B		N	N	18		5,000	0	0	5,000	6/12/2020	O	6/11/2025	
4600003960	WL CONCEPTS & PRODUCTION 1 BENNINGTON AVE FREEPORT, NY 11520-3953 US	THE FABRICATION AND INSTALLATION OF CHARGING STATION BRANDING ELEMENTS	E	2	8	N	02	1		853,985	27,603	27,603	826,382	7/17/2020	O	7/16/2025	
4600003961	NOWAK INDUSTRIAL LLC 145 SUZETTE DR CHEEKTOWAGA, NY 14227-3701 US	PRE AND POST WELD HEAT TREATMENT AND CONTROL	C	B		N	02	2		1,979,055	0	0	1,979,055	8/17/2020	O	10/14/2035	
4600003962	BAKER BOTTS LLP 30 ROCKEFELLER PLZ NEW YORK, NY 10112-0015 US	LEGAL SERVICES	P	B		N	N	34		60,000	20,374	20,374	39,626	5/26/2020	O	5/25/2023	
4600003963	TROUTMAN PEPPER HAMILTON SANDERS formally TROUTMAN SANDERS LLP 600 PEACHTREE ST NE ATLANTA, GA 30308-2219 US	LEGAL SERVICES	P	B		F	N	34		10,000	0	0	10,000	5/26/2020	O	5/25/2023	
4600003964	SCHIFF HARDIN LLP 233 S WACKER DR STE 7100 CHICAGO, IL 60606-6446 US	LEGAL SERVICES	P	B		F	N	34		10,000	0	0	10,000	5/26/2020	O	5/25/2023	
4600003965	JENNER & BLOCK LLP 919 3RD AVE NEW YORK, NY 10022-3902 US	LEGAL SERVICES	P	B		N	N	34		10,000	0	0	10,000	5/26/2020	O	5/25/2023	

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4600003966	DAVINCISKY E&M 209 20TH ST N STE 135 BIRMINGHAM, AL 35203-3601 US	HELICOPTER SUPPORT SERVICES	P	B		F	N	3		4,500,000	252,766	252,766	4,247,234	8/1/2020	O	7/31/2025	
4600003967	CHA CONSULTING INC III WINNERS CIRCLE ALBANY, NY 12205-0269 US	LAND MANAGEMENT - ASSESSMENT AND EDUCATION	P	B		N	N	9		160,000	0	0	160,000	8/3/2020	O	7/31/2025	
4600003968	AMRO UNITED CORP DBA AMRO FORESTRY 2835 HICKORY ST WHITNEY POINT, NY 13862-1904 US	LAND MANAGEMENT - ASSESSMENT AND EDUCATION	P	B		N	N	9		160,000	0	0	160,000	8/4/2020	O	7/31/2025	
4600003969	KONECRANES INC 1020 LEHIGH STATION RD HENRIETTA, NY 14467-9369 US	ON-CALL CRANE MAINTENANCE AND REPAIR SERVICES	M	B		N	N	3		4,250,000	0	0	4,250,000	9/11/2020	O	12/31/2024	
4600003970	SIMMERS CRANE DESIGN & SERVICES CO DBA FOR POLLOCK REASEARCH & DESIGN 1134 SALEM PKWY SALEM, OH 44460-1063 US	ON-CALL CRANE MAINTENANCE AND REPAIR SERVICES	M	B		F	N	3		4,250,000	0	0	4,250,000	9/11/2020	O	12/31/2024	
4600003971	BOLTTECH MANNINGS INC 311 W MAIN ST ROCKAWAY, NJ 07866-3317 US	PRE AND POST WELD HEAT TREATMENT AND CONTROL	C	B		F	N	2		1,334,513	0	0	1,334,513	8/17/2020	O	10/14/2035	
4600003972	COMPOSITE TECHNOLOGY & INFRASTRUCTURE LLC BLD C-6 166 COEYMANS INDUSTRIAL PAR COEYMANS, NY 12045 US	ABATEMENT CLEANING OF LEAD CONTAINING PAINT AND PRIMING	C	B		N	N	2		2,266,643	0	0	2,266,643	8/17/2020	O	10/14/2035	
4600003973	NRC NY ENVIRONMENTAL SERVICES INC 6392 DEERE RD - STE 1 SYRACUSE, NY 13206-1323 US	ABATEMENT CLEANING OF LEAD CONTAINING PAINT AND PRIMING	C	B		N	N	2		2,709,182	0	0	2,709,182	8/17/2020	O	10/14/2035	
4600003974	MILLER AEROSPACE COMPANY LLC DBA MAC AIR 1019 JAMESON PL COVINGTON, LA 70433-6420 US	HELICOPTER SUPPORT SERVICES	P	B		F	N	3		4,500,000	0	0	4,500,000	8/12/2020	O	8/11/2025	
4600003975	GRAYBAR ELECTRIC CO INC 800 HUYLER ST TETERBORO, NJ 07608 US	DIRECT INSTALL LIGHTING PROJECT - STATEWIDE	C	B	7	F	N	1		10,000,000	0	0	10,000,000	12/2/2020	O	1/31/2023	
4600003976	ICF RESOURCES LLC 9300 LEE HIGHWAY FAIRFAX, VA 22031-6050 US	ENERGY ENVIRONMENT POLICY DEVELOPMENT	P	B		N	N	20		1,000,000	0	0	1,000,000	8/1/2020	O	7/31/2025	
4600003977	BASSON TRADING LLC DBA ALADON 908 RABBIT RUN WILMINGTON, NC 28409-2206 US	FACILITATOR MENTORING SERVICES	P	B		F	N	2		2,750,000	49,375	49,375	2,700,625	8/24/2020	O	8/23/2025	
4600003978	TRUVIEW BSI LLC 390 RXR PLAZA UNIONDALE, NY 11556-0390 US	BACKGROUND SCREENING SERVICES	P	B		N	02	3		2,500,000	0	0	2,500,000	8/24/2020	O	8/23/2025	

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4600003979	ADVANCED AUTOMATION CORPORATION 201 MILL ST ROME, NY 13440-6955 US	FINANCIAL ADVISORY SERVICES FOR ENERGY PROJECTS	P	B		N	N	18		5,000	0	0	5,000	6/12/2020	O	6/11/2025	
4600003980	IGNITION COACHING LLC DBA FOR KULVINDER KAUR JASWAL PO BOX 634 RYE, NY 10580-0634 US	PROFESSIONAL COACHING SERVICES	P	B		N	N	10		208,333	0	0	208,333	9/14/2020	O	9/13/2023	
4600003981	CAREER CONCEPTS INC DBA CCI CONSULTING 721 ARBOR WAY-STE 180-HILLCREST II BLUE BELL, PA 19422-1977 US	PROFESSIONAL COACHING SERVICES	P	B		F	N	10		208,333	0	0	208,333	9/14/2020	O	9/13/2023	
4600003982	IMPACT LEARNING & DEVELOPMENT INC 18 W PUTMAN AVE GREENWICH, CT 06830-5341 US	PROFESSIONAL COACHING SERVICES	P	B		F	N	10		208,333	0	0	208,333	9/14/2020	O	9/13/2023	
4600003983	FIRST ENVIRONMENT INC 91 FULTON ST - STE 1 BOONTON, NJ 07005-1942 US	CLIMATE REGISTRY VERIFICATION	P	M	8	N	02	1		104,000	0	0	104,000	9/2/2020	O	8/31/2021	
4600003984	FRESH MEADOW POWER LLC 6501 FRESH MEADOW LN FRESH MEADOWS, NY 11365-2011 US	ON-CALL MAINTENANCE SERVICES	M	B		N	N	2		25,000,000	342,530	342,530	24,657,470	10/1/2020	O	9/30/2025	
4600003997	ISLAND OCCUPATIONAL MEDICAL RES 618 BROADWAY AMITYVILLE, NY 11701-2124 US	COVID-19 TESTING SERVICES	S	C	1	N	N	5		597,700	0	0	597,700	9/17/2020	O	9/16/2021	
4600003998	WELLNOW URGENT CARE PO BOX 10459 ALBANY, NY 12201-5459 US	COVID-19 TESTING SERVICES	S	C	1	N	N	5		400,000	0	0	400,000	9/18/2020	O	9/17/2021	
4600004000	E-J ELECTRIC T&D LLC 53 N PLAINS INDUSTRIAL RD WALLINGFORD, CT 06492-5808 US	STATEWIDE STREET LIGHTING INSTALLATION	C	B		F	N	7		50,000,000	0	0	50,000,000	10/1/2020	O	9/30/2025	
4600004001	CANDELA SYSTEMS CORP 168 OLD SAW MILL RIV RD HAWTHORNE, NY 10532-1515 US	STATEWIDE STREET LIGHTING INSTALLATION	C	B		N	04	7		50,000,000	0	0	50,000,000	10/1/2020	O	9/30/2025	
4600004002	D&M ELECTRICAL CONTRACTING INC 90 S CENTRAL AVE ELMSFORD, NY 10523-3534 US	STATEWIDE STREET LIGHTING INSTALLATION	C	B		N	N	7		50,000,000	0	0	50,000,000	10/1/2020	O	9/30/2025	
4600004004	LOADSPRING SOLUTIONS INC 1500 DISTRICT AVE BURLINGTON, MA 01803-5069 US	ORACLE PRIMAVERA HOSTING SERVICES	E	B		F	N	3		3,250,000	0	0	3,250,000	12/21/2020	O	12/20/2025	
4600004005	HARRIS BEACH PLLC 100 WALL ST NEW YORK, NY 10005 US	LEGAL SERVICES	P	B		N	N	34		200,000	82,035	82,035	117,965	10/1/2020	O	5/25/2023	

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4600004008	ADMAR SUPPLY CO INC STE 1 1950 BRIGHTON HENRIETTA TL RD ROCHESTER, NY 14623-2597 US	FLEET HEAVY EQUIPMENT RENTAL	E	B	8	N	N	11		180,000	0	0	180,000	12/31/2020	O	12/30/2023	
4600004009	TURTLE & HUGHES INC 59 MALL DR - PO BOX 9027 COMMACK, NY 11725-9027 US	FURNISH AND DELIVER LIGHTING	E	B		N	03	5		250,353	0	0	250,353	12/3/2020	O	7/13/2021	
4600004016	HERC RENTALS INC 4578 BUCKLEY RD LIVERPOOL, NY 13088-2509 US	FLEET HEAVY EQUIPMENT RENTAL	E	B	8	N	N	11		90,000	0	0	90,000	12/31/2020	O	12/30/2023	
4600004017	UNITED RENTALS (NORTH AMERICA) INC UNITED RENTALS 7178 SCHUYLER RD EAST SYRACUSE, NY 13057-9743 US	FLEET HEAVY EQUIPMENT RENTAL	E	B		N	N	11		180,000	0	0	180,000	12/31/2020	O	12/30/2023	
4700000000	AECOM USA INC 605 3RD AVE NEW YORK, NY 10158-0180 US	CONSTRUCTION MANAGEMENT AND INSPECTION SERVICES	P	B		N	N	5		1,442,915	1,032,038	617,953	410,877	1/2/2017	O	12/31/2021	
4700000001	ARCADIS OF NEW YORK INC 44 S BROADWAY - FL 15 WHITE PLAINS, NY 10601-4411 US	CONSTRUCTION MANAGEMENT AND INSPECTION SERVICES	P	B	8	N	N	18		1,449,619	1,036,903	184,865	412,716	1/2/2017	O	12/31/2021	
4700000002	GREENMAN-PEDERSEN INC 80 WOLF RD - STE 300 ALBANY, NY 12205-2608 US	CONSTRUCTION MANAGEMENT AND INSPECTION SERVICES	P	B	8	N	N	18		1,961,809	1,741,378	278,139	220,431	1/2/2017	O	12/31/2021	
4700000003	MOTT MACDONALD NY INC 1400 BROADWAY - FL 30 NEW YORK, NY 10018-5330 US	CONSTRUCTION MANAGEMENT AND INSPECTION SERVICES	P	B	8	N	N	18		3,467,364	2,880,461	488,395	586,903	1/2/2017	O	12/31/2021	
4700000004	RAVI ENGINEERING & LAND SURVEYING PC 2110 S CLINTON AVE STE 1 ROCHESTER, NY 14618 US	CONSTRUCTION MANAGEMENT AND INSPECTION SERVICES	P	B	8	N	04	18		5,278,293	4,725,248	350,410	553,045	1/2/2017	O	12/31/2021	
4700000005	BERGMANN ASSOC ARCHITECTS ENGINEERS LANDSCAPE ARCHITECTS&SURVEYORS DPC 280 E BROAD ST - STE 200 ROCHESTER, NY 14604-1740 US	ENGINEERING SERVICES	P	C	8	N	N	18		4,690,489	3,602,646	1,247,288	1,087,843	1/2/2017	O	12/31/2021	
4700000006	CHA CONSULTING INC III WINNERS CIRCLE ALBANY, NY 12205-0269 US	ENGINEERING SERVICES	P	C	8	N	N	18		3,545,571	3,001,086	1,194,266	544,485	1/2/2017	O	12/31/2021	
4700000007	LABELLA ASSOCIATES D P C 300 STATE ST - STE 201 ROCHESTER, NY 14614-1019 US	ENGINEERING SERVICES	P	C	8	N	N	18		1,257,813	771,123	401,884	486,690	1/2/2017	O	12/31/2021	
4700000009	RAMBOLL AMERICAS ENGINEERING SOLUTIONS INC 333 W WASHINGTON ST - STE 610 SYRACUSE, NY 13202-9203 US	ENGINEERING SERVICES	P	C	8	N	N	18		1,326,000	1,004,747	184,777	321,253	1/2/2017	O	12/31/2021	

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4700000010	PAUL C RIZZO ENGINEERING - NEW YORK PLLC 580 WHITE PLAINS RD - STE 4250 TARRYTOWN, NY 10591-5189 US	ENGINEERING SERVICES	P	C	8	N	N	18		2,613,573	2,499,371	5,016	114,202	1/2/2017	O	12/31/2021	
4700000012	NRC NY ENVIRONMENTAL SERVICES INC 6392 DEERE RD - STE 1 SYRACUSE, NY 13206-1323 US	EMERGENCY SPILL RESPONSE AND RECOVERY	P	B		N	N	3		1,500,000	242,054	181,902	1,257,946	12/12/2017	O	12/30/2021	
4700000013	CLEAN HARBORS ENVIRONMENTAL SERVICES INC 42 LONGWATER DR NORWELL, MA 02061-1612 US	EMERGENCY SPILL RESPONSE AND RECOVERY	P	B		N	N	3		1,500,000	80,071	13,703	1,419,929	12/12/2017	O	12/30/2021	
4700000014	KLEINSCHMIDT ASSOCIATES PA PC PO BOX 650 PITTSFIELD, ME 04967-0650 US	GENERAL ENVIRONMENTAL SERVICES	P	B		F	N	29		1,436,506	1,296,273	95,995	140,233	12/14/2017	O	12/31/2021	
4700000015	LABELLA ASSOCIATES PC 300 STATE ST ROCHESTER, NY 14614 US	GENERAL ENVIRONMENTAL SERVICES	P	B		N	N	29		128,122	114,334	9,883	13,788	12/14/2017	C		12/31/2020
4700000016	LOUIS BERGER & ASSOC PC 48 WALL ST - FL 16 NEW YORK, NY 10005-2927 US	GENERAL ENVIRONMENTAL SERVICES	P	B		N	N	29		200,000	0	0	200,000	12/14/2017	C		12/31/2020
4700000017	LIRO ENGINEERS INC 3 AERIAL WAY SYOSSET, NY 11791-5501 US	GENERAL ENVIRONMENTAL SERVICES	P	B		N	N	29		1,355,916	1,246,129	637,096	109,787	12/14/2017	C		12/31/2020
4700000018	BERGMANN ASSOC ARCHITECTS ENGINEERS LANDSCAPE ARCHITECTS&SURVEYORS DPC 280 E BROAD ST - STE 200 ROCHESTER, NY 14604-1740 US	GENERAL ENVIRONMENTAL SERVICES	P	B		N	N	29		271,147	167,889	92,656	103,258	12/14/2017	O	12/31/2021	
4700000019	LOUIS BERGER & ASSOC PC 48 WALL ST - FL 16 NEW YORK, NY 10005-2927 US	CULTURAL RESOURCE PROFESSIONAL SERVICES	P	B		N	N	10		100,000	0	0	100,000	12/15/2017	C		12/14/2020
4700000020	THE RESEARCH FOUNDATION FOR SUNY PO BOX 9 ALBANY, NY 12201-0009 US	CULTURAL RESOURCE PROFESSIONAL SERVICES	P	B	8	N	N	10		10,000	0	0	10,000	12/15/2017	C		12/14/2020
4700000021	LANDMARK ARCHAEOLOGY INC 6242 HAWES RD ALTAMONT, NY 12009-4606 US	CULTURAL RESOURCE PROFESSIONAL SERVICES	P	B		N	03	10		11,500	11,500	0	0	12/17/2017	C		12/14/2020
4700000027	LOUIS BERGER US INC 412 MOUNT KEMBLE AVE MORRISTOWN, NJ 07962-6666 US	GENERAL ENVIRONMENTAL SERVICES	P	B		N	N	29		399,187	329,137	44,384	70,050	1/17/2018	O	2/28/2021	
4700000028	LOUIS BERGER US INC 412 MOUNT KEMBLE AVE MORRISTOWN, NJ 07962-6666 US	CULTURAL RESOURCE PROFESSIONAL SERVICES	P	B		N	N	10		490,000	315,235	121,735	174,765	1/16/2018	O	6/30/2021	
4700000029	HARTGEN ARCHEOLOGICAL ASSOCIATES INC 1744 WASHINGTON AVE EXT RENSSELAER, NY 12144-9510 US	CULTURAL RESOURCE PROFESSIONAL SERVICES	P	B		N	N	10		312,000	56,931	0	255,069	10/2/2017	O	10/1/2022	

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4700000033	TETRA TECH INC 6 CENTURY DR - STE 3 PARSIPPANY, NJ 07054-4611 US	CULTURAL RESOURCE PROFESSIONAL SERVICES	P	B		F	N	10		10,000	9,878	0	122	3/14/2018	C		12/14/2020
4700000035	BERGMANN ASSOC ARCHITECTS ENGINEERS LANDSCAPE ARCHITECTS&SURVEYORS DPC 280 E BROAD ST - STE 200 ROCHESTER, NY 14604-1740 US	STATEWIDE DAM SAFETY ENGINEERING SERVICES	P	B		N	N	13		5,000,000	3,310,469	1,420,950	1,689,531	8/8/2018	O	10/31/2023	
4700000036	GRAINGER DBA FOR W W GRAINGER INC DEPT 807245360 PALATINE, IL 60038-0001 US	MRO INDUSTRIAL SUPPLIES STATEWIDE	E	B		F	N	4		5,000,000	1,271,392	731,476	3,728,608	10/8/2018	O	10/7/2021	
4700000037	TIOGA CONSTRUCTION CO INC 333 GROS BLVD HERKIMER, NY 13350-1497 US	STATEWIDE ON DEMAND MARINE VESSEL RECOVERY	C	B		N	N	3		8,869,500	428,555	17,700	8,440,945	11/20/2018	O	11/19/2023	
4700000038	TIOGA CONSTRUCTION CO INC 333 GROS BLVD HERKIMER, NY 13350-1497 US	STATEWIDE ON DEMAND INFRASTRUCTURE REPAIRS	C	B		N	N	6		18,721,000	13,501,164	2,347,331	5,219,836	11/20/2018	O	11/19/2023	
4700000039	D A COLLINS CONSTRUCTION CO INC 269 BALLARD RD WILTON, NY 12831-1357 US	STATEWIDE ON DEMAND INFRASTRUCTURE REPAIRS	C	B		N	N	6		18,512,500	3,164,085	1,980,597	15,348,415	11/15/2018	O	11/14/2023	
4700000040	HOHL INDUSTRIAL SERVICES INC 770 RIVERVIEW BLVD TONAWANDA, NY 14150-7880 US	STATEWIDE ON DEMAND INFRASTRUCTURE REPAIRS	C	B		N	01	6		20,119,900	8,212,090	338,948	11,907,810	11/15/2018	O	11/14/2023	
4700000041	GILMAN CORPORATION PO BOX 68 GILMAN, CT 06336-0068 US	GILMAN BUOYS	E	2	8	F	01	1		150,000	149,211	34,084	789	1/1/2019	O	12/31/2023	
4700000044	NRC NY ENVIRONMENTAL SERVICES INC 6392 DEERE RD - STE 1 SYRACUSE, NY 13206-1323 US	RUBBISH REMOVAL	E	B		N	N	3		250,000	59,783	44,430	190,217	4/1/2019	O	3/31/2022	
4700000045	J M POWER AGGREGATES INC 808 PROCTOR AVENUE OGDENSBURG, NY 13669 US	NATURAL CINDERS	E	B	8	N	01	1		750,000	107,987	92,842	642,013	4/8/2019	O	4/7/2022	
4700000046	CHA CONSULTING INC III WINNERS CIRCLE ALBANY, NY 12205-0269 US	ON-CALL ENGINEERING AND CM SERVICES	A	B		N	N	20		3,000,000	11,646	11,646	2,988,354	8/1/2019	O	7/31/2024	
4700000047	ARCADIS OF NEW YORK INC 44 S BROADWAY - FL 15 WHITE PLAINS, NY 10601-4411 US	ON-CALL ENGINEERING AND CM SERVICES	A	B		N	N	20		3,000,000	972,153	904,685	2,027,847	8/1/2019	O	7/31/2024	
4700000048	GREENMAN-PEDERSEN INC 400 RELLA BLVD - STE 207 MONTEBELLO, NY 10901-4256 US	ON-CALL ENGINEERING AND CM SERVICES	A	B		N	N	20		3,000,000	129,388	129,388	2,870,612	8/1/2019	O	7/31/2024	
4700000049	POPLI ARCHITECTURE + ENGINEERING & LS DPC 555 PENBROOKE DR PENFIELD, NY 14526-2035 US	ON-CALL ENGINEERING AND CM SERVICES	A	B		N	04	20		3,000,000	374,264	374,264	2,625,736	8/1/2019	O	7/31/2024	

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4700000050	RAVI ENGINEERING & LAND SURVEYING PC 2110 S CLINTON AVE STE 1 ROCHESTER, NY 14618 US	ON-CALL ENGINEERING AND CM SERVICES	A	B		N	04	20		3,000,000	1,967,371	1,849,777	1,032,629	8/1/2019	O	7/31/2024	
4700000051	MOTT MACDONALD NY INC 1400 BROADWAY - FL 30 NEW YORK, NY 10018-5330 US	ON-CALL ENGINEERING AND CM SERVICES	A	B		N	N	20		3,000,000	22,568	1,114	2,977,432	8/1/2019	O	7/31/2024	
4700000052	BERGMANN ASSOC ARCHITECTS ENGINEERS LANDSCAPE ARCHITECTS&SURVEYORS DPC 280 E BROAD ST - STE 200 ROCHESTER, NY 14604-1740 US	ON-CALL ENGINEERING AND CM SERVICES	A	B		N	N	20		3,000,000	257,044	257,044	2,742,956	8/1/2019	O	7/31/2024	
4700000053	GOMEZ AND SULLIVAN ENGINEERS DPC 288 GENESEE ST UTICA, NY 13502 US	ON-CALL ENGINEERING AND CM SERVICES	A	B		N	N	20		3,000,000	116,507	116,507	2,883,493	8/1/2019	O	7/31/2024	
4700000054	T Y LIN INTERNATIONAL ENGINEERING A 255 EAST AVE ROCHESTER, NY 14604 US	ON-CALL ENGINEERING AND CM SERVICES	A	B		N	N	20		3,000,000	0	0	3,000,000	8/1/2019	O	7/31/2024	
4700000055	WSP USA INC ONE PENN PLZ - FL 2 NEW YORK, NY 10119-0021 US	ON-CALL ENGINEERING AND CM SERVICES	A	B		N	N	20		3,000,000	73,251	73,251	2,926,749	8/1/2019	O	7/31/2024	
4700000056	CLARK RIGGING & RENTAL CORP 500 OHIO ST LOCKPORT, NY 14094-4222 US	CRANE RENTAL EQUIPMENT SERVICES WITH OR WITHOUT OPERATOR	E	B		N	N	4		5,000,000	1,632,480	1,456,425	3,367,520	7/30/2019	O	7/30/2024	
4700000057	M G MCLAREN ENGINEERING AND LAND SURVEYING PC 530 CHESTNUT RIDGE RD WOODCLIFF LAKE, NJ 07677-8407 US	STRUCTURAL INSPECTION SUPPORT SERVICES	P	B		N	N	7		1,200,000	452,740	452,740	747,260	12/17/2019	O	2/28/2024	
4700000058	GREENMAN-PEDERSEN INC 400 RELLA BLVD - STE 207 MONTEBELLO, NY 10901-4256 US	STRUCTURAL INSPECTION SUPPORT SERVICES	P	B		N	N	7		1,200,000	326,465	326,465	873,535	12/17/2019	O	2/28/2024	
4700000059	COLLINS ENGINEERS P.C. 44 DALLIBA AVE STE 240 WATERVLIET, NY 12189-4017 US	STRUCTURAL INSPECTION SUPPORT SERVICES	P	B		N	N	7		1,200,000	280,606	280,606	919,394	12/17/2019	O	2/28/2024	
4700000060	BERGMANN ASSOC ARCHITECTS ENGINEERS LANDSCAPE ARCHITECTS&SURVEYORS DPC 280 E BROAD ST - STE 200 ROCHESTER, NY 14604-1740 US	STRUCTURAL INSPECTION SUPPORT SERVICES	P	B		N	N	7		1,200,000	0	0	1,200,000	12/17/2019	O	2/28/2024	
4700000062	HEREDIA-GONZALEZ INC DBA TOP AND BOTTOM WEAR 4TH FLOOR 610 YORK ROAD STE 400 JENKINTOWN, PA 19046 US	UNIFORMS	E	B		F	04	3		300,000	28,084	28,084	271,916	1/1/2020	O	12/31/2022	

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4700000063	JMT OF NEW YORK INC 307 SOUTH TOWNSEND ST SYRACUSE, NY 13202-2138 US	STRUCTURAL INSPECTIONS	P	B		N	N	7		1,200,000	0	0	1,200,000	1/15/2020	O	2/28/2024	
4700000064	LIRO ENGINEERS INC 3 AERIAL WAY SYOSSET, NY 11791-5501 US	GENERAL ENVIRONMENTAL SERVICES	P	B		N	N	23		3,200,000	843,289	843,289	2,356,711	2/1/2020	O	1/31/2024	
4700000065	GENUINE PARTS COMPANY PO BOX 409043 ATLANTA, GA 30384-9043 US	FLEET PARTS	E	B		N	N	2		750,000	0	0	750,000	4/1/2020	O	3/31/2027	
4700000066	NYE AUTOMOTIVE GROUP INC 1479 GENESEE ST ONEIDA, NY 13421 US	FLEET PARTS	E	B		N	N	2		250,000	0	0	250,000	2/14/2020	O	2/13/2027	
4700000067	CIVIL AND ENVIROMENTAL CONSULTANTS OF NEW YORK INC 908 NIAGARA FALLS BVLD NORTH TONAWANDA, NY 14120-2019 US	GENERAL ENVIRONMENTAL SERVICES	P	B		N	N	23		450,000	0	0	450,000	2/1/2020	O	1/31/2024	
4700000068	PARSONS ENGINEERING OF NEW YORK INC 301 PLAINFIELD RD STE 350 SYRACUSE, NY 13212-4573 US	GENERAL ENVIRONMENTAL SERVICES	P	B		N	N	23		450,000	0	0	450,000	2/1/2020	O	1/31/2024	
4700000069	CT MALE ASSOC ENGINEERING SURVEY ARCHITECT & LANDSCAPE ARCHITECT DPC 50 CENTURY HILL DR LATHAM, NY 12110-0727 US	GENERAL ENVIRONMENTAL SERVICES	P	B		N	N	23		450,000	0	0	450,000	2/1/2020	O	1/31/2024	
4700000070	LABELLA ASSOCIATES D P C 300 STATE ST - STE 201 ROCHESTER, NY 14614-1019 US	GENERAL ENVIRONMENTAL SERVICES	P	B		N	N	23		450,000	0	0	450,000	2/11/2020	O	1/31/2024	
4700000071	US DEPT OF AGRICULTURE ANIMAL & PLANT HEALTH INSPECTION PO BOX 979043 SAINT LOUIS, MO 63197-9000 US	WILDLIFE AND TRAPPING SERVICES	S	2	8	N	N	1		405,860	23,450	23,450	382,410	4/22/2020	O	4/21/2025	
4700000072	STONE INDUSTRIES LLC STONE PORTABLE TOILET RENTALS 4305 ROUTE 50 SARATOGA SPRINGS, NY 12866-2914 US	TOILET RENTAL	E	M	8	N	N	13		250,000	207,850	207,850	42,150	6/23/2020	C		12/31/2020
4700000073	WATERMASTER NORTH AMERICA LLC 390 SUMAC LN ANN ARBOR, MI 48105-3013 US	AMPHIBIOUS MULTI-PURPOUS DREDGE	A	B		N	N	1		1,497,562	909,787	909,787	587,775	7/7/2020	O	7/6/2021	
4700000074	BRISTOL HARBOR GROUP INC 99 POPPASQUASH RD UNIT H BRISTOL, RI 02809-1018 US	INLAND TUG VESSELS	A	B		N	N	6		510,160	51,030	51,030	459,130	7/8/2020	O	6/30/2025	
4700000077	WASTE MANAGEMENT LLC 1661 MOUNT READ BLVD ROCHESTER, NY 14606 US	REFUSE AND RECYCLING SERVICES	S	B		N	N	3		77,500	254	254	77,246	10/1/2020	O	9/30/2025	

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4700000078	K+D DISPOSAL INC 5076 ROUTE 31 W NEWARK, NY 14513-9613 US	REFUSE AND RECYCLING SERVICES	S	B		N	N	2		37,500	200	200	37,300	10/1/2020	O	9/30/2025	
4700000079	CONTROLLED WASTE SYSTEMS INC 1331 BELLE AVE UTICA, NY 13501-2615 US	REFUSE AND RECYCLING SERVICES	S	B		N	N	3		35,000	0	0	35,000	10/1/2020	O	9/30/2025	
4700000080	COUNTY WASTE & RECYCLING SERVICE IN 1927 ROUTE 9 PO BOX 431 CLIFTON PARK, NY 12065 US	REFUSE AND RECYCLING SERVICES	S	B		N	N	2		110,000	755	755	109,245	10/19/2020	O	9/30/2025	
4700000081	WASTE MANAGEMENT LLC 1661 MOUNT READ BLVD ROCHESTER, NY 14606 US	REFUSE AND RECYCLING SERVICES	S	B	8	N	N	2		40,000	0	0	40,000	10/19/2020	O	9/30/2025	
C010290	DAVIS VISION INC PO BOX 848376 DALLAS, TX 75284-8376 US	EMPLOYEE VISION CARE SERVICES	S	B		N	N	1		1,453,551	39,426	8,984	1,414,125	3/1/2015	O	12/31/2021	
C010318	N Y S OFFICE OF GENERAL SERVICES OGS - AGENCY 01050 EMPIRE STATE PLZ PO BOX 2166 ALBANY, NY 12220 US	MEDIA SERVICES	P	B		N	N	1		104,387	0	0	104,387	11/14/2014	C		11/13/2020
C010324	WAGEWORKS INC 29 COUNTRY FAIR FL 2 TALLAHASSEE, FL 32303 US	EMPLOYEE FLEXIBLE SPENDING PROGRAM	S	B		N	N	1		33,498	3,480	596	30,018	8/1/2015	O	4/30/2021	
C010353	VILLAGE OF PALMYRA 144 EAST MAIN ST PALMYRA, NY 14522-1018 US	PALMYRA CANAL TRAIL CONNECTOR AND TERMINAL WALL EXTENSION	C	B		N	N	1		124,000	0	0	124,000	1/31/2016	O	12/30/2021	
C010356	VILLAGE OF BROCKPORT 127 MAIN ST BROCKPORT, NY 14420-1907 US	CANAL IMPROVEMENT PROJECT	C	B		N	N	1		75,000	0	0	75,000	1/31/2016	O	12/31/2022	
D214405	SHUMAKER CONSULTING ENGINEERING & L 143 COURT ST BINGHAMTON, NY 13901 US	STORMWATER PROGRAM	C	B		N	03	1		1,000,000	11,068	0	988,932	10/22/2015	C		10/21/2020
D214500	T Y LIN INTERNATIONAL ENGINEERING A 255 EAST AVE ROCHESTER, NY 14604 US	DESIGN ENGINEERING SERVICES	S	B	8	N	N	1		3,000,000	1,277,290	495,637	1,722,710	3/1/2018	C		11/17/2020
Aggr PO > $5K	A & M INDUSTRIAL SUPPLY CO 1414 CAMPBELL ST - PO BOX 1044 RAHWAY, NJ 07065-1044	various	E	A		F						49,865					
Aggr PO > $5K	A 2 Z RENTALS INC 2300 LOCKPORT RD SANBORN, NY 14132-9342	various	E	A		N						7,761					
Aggr PO > $5K	A VERDI LLC 14150 RTE 31 SAVANNAH, NY 13146	various	E	A		N						11,670					
Aggr PO > $5K	ABB ENTERPRISE SOFTWARE I 305 GREGSON DR CARY, NC 27511-6496	various	I	A		F						7,111					

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Aggr PO > $5K	ABB INC STE 500 400 PERIMETER CENTER TER NE ATLANTA, GA 30346-1231	various	E	A		F						14,447					
Aggr PO > $5K	ABB INC 901 MAIN CAMPUS DR STE 500 RALEIGH, NC 27606-5244	various	E	A		F						13,356					
Aggr PO > $5K	ABC FIRE EXTINGUISHER CO INC 719 COURT ST UTICA, NY 13502-4117	various	S	A		N						9,547					
Aggr PO > $5K	ACI CONTROLS INC 295 MAIN ST WEST SENECA, NY 14224-2818	various	E	A		N						27,498					
Aggr PO > $5K	ADIRONDACK ENERGY PRODUCTS INC 17 JUNCTION RD MALONE, NY 12953-4217	various	E	A		N						15,228					
Aggr PO > $5K	ADIRONDACK ENVIRONMENTAL SERVICES 314 N PEARL ST ALBANY, NY 12207-1322	various	S	A		N						15,177					
Aggr PO > $5K	ADMAR SUPPLY CO INC 878 ALBANY SHAKER RD LATHAM, NY 12110-1458	various	E	A		N						8,390					
Aggr PO > $5K	ADVANCED CONTROL SYSTEMS INC 2755 NORTHWOODS PKWY NORCROSS, GA 30071-1533	various	H	A		F						8,700					
Aggr PO > $5K	ADVANCED FILTRATION CO PO BOX 324 HOWELL, NJ 07731-0324	various	E	A		F						21,880					
Aggr PO > $5K	AEBI NEW ENGLAND LLC 166 RIVER ST RTE 123-PO BOX 173 ALSTEAD, NH 03602-0173	various	E	A		F						6,038					
Aggr PO > $5K	AERODERIVATIVE GAS TURBINE 1141 S ROGERS CIR - STE 11 BOCA RATON, FL 33487-2789	various	S	A		F						31,095					
Aggr PO > $5K	AIRGAS USA LLC 84 KARNER RD ALBANY, NY 12205-4730	various	E	A		N						14,006					
Aggr PO > $5K	AIRGAS USA LLC 96 CR8 BRUSHTON, NY 12916	various	E	A		N						26,664					
Aggr PO > $5K	AIRGAS USA LLC 2775 BROADWAY ST CHEEKTOWAGA, NY 14227-1004	various	E	A		N						6,129					
Aggr PO > $5K	AIRGAS USA LLC 40-14 19TH AVE LONG ISLAND CITY, NY 11105	various	E	A		N						31,277					

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Aggr PO > $5K	AIRTEK INC 76 CLAIR ST N HUNTINGDON, PA 15642	various	E	A		F						6,025					
Aggr PO > $5K	AIRWELD INC 243 WAVERLY AVE PATCHOGUE, NY 11772	various	E	A		N						33,590					
Aggr PO > $5K	ALBANY VALVE & FITTING CO INC 741 PIERCE ROAD CLIFTON PARK, NY 12065-1302	various	E	A		N						14,353					
Aggr PO > $5K	ALLIED ELECTRIC SUPPLY INC 783 E MAIN ST - STE 2 COBLESKILL, NY 12043-5002	various	E	A		N						65,866					
Aggr PO > $5K	ALLIED ELECTRONICS INC 333 METRO PARK - STE N211 ROCHESTER, NY 14623-2645	various	E	A		N						50,730					
Aggr PO > $5K	ALL-LIFTS INC 27-39 THATCHER ST ALBANY, NY 12207-3012	various	S	A		N						11,012					
Aggr PO > $5K	ALLSTAR ELEVATOR & ESCALATOR INSP STE 209 700 KINDERKAMACK RD ORADELL, NJ 07649-1533	various	S	A		F	03					11,600					
Aggr PO > $5K	ALTEC INDUSTRIES INC POB 11407 BIRMINGHAM, AL 35246-0414	various	E	A		F						9,267					
Aggr PO > $5K	AMERICAN CARBONATION CORP PO BOX 719 - SECOND ST PALMER, MA 01069-0719	various	S	A		F						9,980					
Aggr PO > $5K	AMERICAN GLASS & MIRROR CO 2055 MILITARY RD NIAGARA FALLS, NY 14304-0343	various	E	A		N						5,196					
Aggr PO > $5K	AMERICAN GOVERNOR CO 27 RICHARD RD IVYLAND, PA 18974-1512	various	E	A		F						19,425					
Aggr PO > $5K	AMETEK POWER INSTRUMENTS 255 N UNION ST ROCHESTER, NY 14605-2644	various	E	A		N						8,880					
Aggr PO > $5K	ANIXTER INC 2301 PATRIOT BLVD GLENVIEW, IL 60026	various	E	A		F						13,995					
Aggr PO > $5K	ANTON PAAR USA INC 10215 TIMBER RIDGE DR ASHLAND, VA 23005	various	E	A		F						7,557					
Aggr PO > $5K	APALACHEE LLC 1423 HIGHLAND AVE ROCHESTER, NY 14620-1877	various	E	A		N						13,194					
Aggr PO > $5K	ARCHROCK SERVICES LP 305 E FAIRMOUNT AVE - STE D LAKEWOOD, NY 14750-2000	various	S	A		N						5,081					

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Aggr PO > $5K	ARMOR SALES AND SERVICE INC 343 ELK ST BUFFALO, NY 14210-2105	various	E	A		N						17,872					
Aggr PO > $5K	ARTHUR J YOUNG & SON BOX 160 PRATTSVILLE, NY 12468-0064	various	E	A		N						5,448					
Aggr PO > $5K	ASP WIRELESS SOLUTIONS INC 1 NATIONAL BLVD MEDFORD, NY 11763	various	E	A		N						6,270					
Aggr PO > $5K	ASSOCIATED FIRE PROTECTION 100 JACKSON ST PATERSON, NJ 07501-2806	various	S	A		F						7,730					
Aggr PO > $5K	ATI TRUCKING LLC 100 INDUSTRY DR PITTSBURGH, PA 15275-1014	various	E	A		F						9,410					
Aggr PO > $5K	ATLANTIC EQUIPMENT RESOURCES LLC 70 KINDERKAMACK RD STE 200 EMERSON, NJ 07630-1812	various	E	A		F						12,342					
Aggr PO > $5K	ATLANTIC PROD SERVICE INC 2 TERMINAL RD - BLDG OB2 CARTERET, NJ 07008	various	S	A		F						14,850					
Aggr PO > $5K	ATLAS CONCRETE BATCHING CORP 9511 147TH PL JAMAICA, NY 11435-4507	various	E	A		N						6,150					
Aggr PO > $5K	AVIATION POWER & MARINE LLC 1811 CORPORATE DR BOYNTON BEACH, FL 33426-9086	various	S	A		F						22,948					
Aggr PO > $5K	B & H PHOTO VIDEO 420 9TH AVE NEW YORK, NY 10001-1644	various	E	A		N						52,743					
Aggr PO > $5K	BAKER HUGHES HOLDINGS LLC 1800 NELSON RD LONGMONT, CO 80501-6324	various	E	A		F						6,118					
Aggr PO > $5K	BALTIMORE AIRCOIL CO 560 WHITE PLAINS RD TARRYTOWN, NY 10591	various	E	A		N						9,093					
Aggr PO > $5K	BARRETT PAVING MATERIALS INC 7971 STATE HIGHWAY 56 NORWOOD, NY 13668-3252	various	E	A		N						9,165					
Aggr PO > $5K	BARRETT PAVING MATERIALS INC 4530 WETZEL RD LIVERPOOL, NY 13090-2517	various	E	A		N						11,942					
Aggr PO > $5K	BASIL FORD OF NIAGARA FALLS 6980 NIAGARA FALLS BLVD NIAGARA FALLS, NY 14304-2250	various	E	A		N						8,074					
Aggr PO > $5K	BEAR ESSENTIALS APPAREL 97 MAIN ST - STE B SARANAC LAKE, NY 12983-5744	various	E	A		N						5,714					

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Aggr PO > $5K	BENTLY NEVADA LLC 1631 BENTLY PKWY S MINDEN, NV 89423-4119	various	E	A		F						5,207					
Aggr PO > $5K	B-LANN EQUIPMENT CO INC 2288 5TH AVE - PO BOX 997 TROY, NY 12180-2201	various	S	A		N						7,711					
Aggr PO > $5K	BOBCAT OF BUFFALO 6830 S TRANSIT RD LOCKPORT, NY 14094	various	E	A		N						15,476					
Aggr PO > $5K	BR JOHNSON LLC 6960 FLY RD EAST SYRACUSE, NY 13057-9660	various	E	A		N						12,548					
Aggr PO > $5K	BRENNTAG NORTH AMERICA INC 42 RUMSEY RD EAST HARTFORD, CT 06108-1133	various	E	A		F						37,337					
Aggr PO > $5K	BUELL FUEL LLC 1276 STATE ROUTE 5S MOHAWK, NY 13407-4332	various	E	A		N						12,382					
Aggr PO > $5K	BUFFALO HYDRAULIC JACK SERVICE 488 WALDEN AVE BUFFALO, NY 14211-0268	various	E	A		N						10,519					
Aggr PO > $5K	BUNZL BUFFALO 3366 WALDEN AVE DEPEW, NY 14043	various	E	A		N						11,312					
Aggr PO > $5K	BURLINGTON SAFETY LABORATORY INC 2009 RT 130 BURLINGTON, NJ 08016	various	E	A		F						20,715					
Aggr PO > $5K	C E M SOLUTIONS INC 1183 E OVERDRIVE CIR HERNANDO, FL 34442-9628	various	E	A		F						8,572					
Aggr PO > $5K	CALL-A-HEAD CORP 304 CROSSBAY BLVD BROAD CHANNEL, NY 11693	various	E	A		N						37,010					
Aggr PO > $5K	CAMFIL USA INC 6060 TARBELL RD SYRACUSE, NY 13206	various	E	A		N						36,502					
Aggr PO > $5K	CAPITOL CLEANERS 1227 MAIN ST NIAGARA FALLS, NY 14301	various	S	A		N						13,118					
Aggr PO > $5K	CARDISH MACHINE WORKS INC 7 ELM ST WATERVLIET, NY 12189-1826	various	E	A		N						13,720					
Aggr PO > $5K	CARGILL INC 24950 COUNTRY CLUB BLVD - STE 450 NORTH OLMSTED, OH 44070-5333	various	E	A		F						9,825					
Aggr PO > $5K	CARRIER NORTHEAST INC 1401 ERIE BLVD E SYRACUSE, NY 13210	various	S	A		N						18,250					

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Aggr PO > $5K	CASHMAN FLUIDS ANALYSIS 600 GLENDALE AVE SPARKS, NV 89431-5794	various	E	A		F						6,202					
Aggr PO > $5K	CASSONE LEASING INC 1900 LAKELAND AVE RONKONKOMA, NY 11779-7400	various	E	A		N	03					39,758					
Aggr PO > $5K	CDW COMPUTER CENTER INC TWO ENTERPRISE DR - STE 404 SHELTON, CT 06484	various	I	A		F						9,808					
Aggr PO > $5K	CDW COMPUTER CENTER INC 200/230 N MILWAUKEE AVE VERNON HILLS, IL 60061	various	I	A		F						14,081					
Aggr PO > $5K	CDW GOVERNMENT INC 75 REMITTANCE DR - STE 1515 CHICAGO, IL 60675-1515	various	H	A		F						5,686					
Aggr PO > $5K	CDW LLC 230 N MILWAUKEE AVE VERNON HILLS, IL 60061-4304	various	H	A		F						5,065					
Aggr PO > $5K	CED BALDWIN HALL CO PO BOX 780758 PHILADELPHIA, PA 19178-0757	various	H	A		F						42,456					
Aggr PO > $5K	CEMTEK SYSTEMS INC 1750 BRIELLE AVE - STE B2 OCEAN, NJ 07712-3953	various	E	A		F						21,619					
Aggr PO > $5K	CHOCTAW-KAUL DISTRIBUTION COMPANY 3540 VINEWOOD AVE DETROIT, MI 48208-2363	various	E	A		F						37,333					
Aggr PO > $5K	CINTAS CORP 12 HARBOR PARK DR PORT WASHINGTON, NY 11050-4649	various	E	A		N						19,500					
Aggr PO > $5K	CINTAS CORP NO 2 5740 GENESEE ST LANCASTER, NY 14086-9734	various	S	A		N						41,024					
Aggr PO > $5K	CITY ELECTRIC COMPANY 450 TRACY ST SYRACUSE, NY 13204-2435	various	E	A		N						78,057					
Aggr PO > $5K	CLARK-RELIANCE CORPORATION 280 HOLIDAY INN DR CAMBRIDGE ON Canada	various	E	A		F						9,572					
Aggr PO > $5K	COMBINED ENERGY SERVICES INC PO BOX 333 THOMPSONVILLE, NY 12784-0333	various	E	A		N						20,860					
Aggr PO > $5K	COMPULINK TECHNOLOGIES INC 260 W 39TH ST - STE 302 NEW YORK, NY 10018-4434	various	S	A		N	04					10,952					
Aggr PO > $5K	CONSERVE ELECTRICAL SUPPLY CORP 39-05 CRESCENT ST LONG ISLAND CITY, NY 11101-1025	various	E	A		N						28,596					

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Aggr PO > $5K	CONTROL ASSOCIATES INC 20 COMMERCE DR - PO BOX 279 ALLENDALE, NJ 07401-1600	various	S	A		F						17,277					
Aggr PO > $5K	CORE & MAIN LP 2208 STATE ROUTE 5 UTICA, NY 13502-7511	various	E	A		N						7,651					
Aggr PO > $5K	CORKY'S COLLISION 313 E ORVIS ST MASSENA, NY 13662-6297	various	S	A		N						10,942					
Aggr PO > $5K	CORR DISTRIBUTORS INC 89 PEARCE AVE TONAWANDA, NY 14150-6711	various	E	A		N	03					19,910					
Aggr PO > $5K	COUNTY WASTE & RECYCLING SERVICE IN 1927 ROUTE 9 PO BOX 431 CLIFTON PARK, NY 12065	various	S	A		N						6,750					
Aggr PO > $5K	CRANESVILLE BLOCK CO INC 1250 RIVERFRONT CTR AMSTERDAM, NY 12010-4602	various	E	A		N						5,262					
Aggr PO > $5K	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069	various	E	A		N	04					19,940					
Aggr PO > $5K	CUMMINS NORTHEAST LLC 6193 EASTERN AVE SYRACUSE, NY 13211	various	E	A		N						10,145					
Aggr PO > $5K	CUMMINS POWER SYSTEMS LLC 890 ZEREGA AVE BRONX, NY 10473-2234	various	E	A		N						5,605					
Aggr PO > $5K	CURBELL INC 7 COBHAM DR ORCHARD PARK, NY 14127	various	E	A		N						10,792					
Aggr PO > $5K	CUTSFORTH INC 37837 ROCK HAVEN RD COHASSET, MN 55721-8912	various	E	A		F						14,985					
Aggr PO > $5K	CYBER MARKETING NETWORK INC 800 WISCONSIN ST UNIT 15 EAU CLAIRE, WI 54703-3560	various	E	A		F						8,038					
Aggr PO > $5K	D & L INSTALLATIONS INC 230 KNICKERBOCKER AVE BOHEMIA, NY 11716-3140	various	S	A		N	03					49,587					
Aggr PO > $5K	DAIKIN APPLIED AMERICAS INC 13600 INDUSTRIAL PARK BLVD MINNEAPOLIS, MN 55441-3743	various	S	A		F						7,298					
Aggr PO > $5K	DIGI KEY CORP 701 BROOKS AVE THIEF RIVER FALLS, MN 56701-0677	various	E	A		F						6,188					
Aggr PO > $5K	DILO CO INC W PASCO INDUS PARK-11642 PYRAMID DR ODESSA, FL 33556-3449	various	E	A		F						5,206					

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Aggr PO > $5K	DILO COMPANY INC 11642 PYRAMID DR ODESSA, FL 33556-3449	various	E	A		F						30,444					
Aggr PO > $5K	DIVAL SAFETY EQUIPMENT INC 1721 NIAGARA ST BUFFALO, NY 14207-3108	various	E	A		N						138,134					
Aggr PO > $5K	DOBLE ENGINEERING CORP 123 FELTON ST MARLBOROUGH, MA 01752	various	E	A		F						16,593					
Aggr PO > $5K	DOBMEIER JANITOR SUPPLY INC 354 ENGLEWOOD AVE BUFFALO, NY 14223-2806	various	E	A		N						45,086					
Aggr PO > $5K	DONALDSON CO INC PO BOX 1299 MINNEAPOLIS, MN 55440-1299	various	E	A		F						16,708					
Aggr PO > $5K	DOOR SPECIALTIES INC 530 FILLMORE AVE TONAWANDA, NY 14150	various	E	A		N						18,181					
Aggr PO > $5K	DOWD BATTERY CO INC 1571 BRONSON RD GRAND ISLAND, NY 14072-2910	various	E	A		N						9,688					
Aggr PO > $5K	DUCANS HEATING & COOLING CORP PO BOX 60 RANSOMVILLE, NY 14131-0010	various	S	A		N						7,580					
Aggr PO > $5K	DURAMAX MARINE LLC 17990 GREAT LAKES PKWY HIRAM, OH 44234-9681	various	E	A		F						10,241					
Aggr PO > $5K	EAST HILLS INSTRUMENTS CORP 38 OVERLOOK TER ROSLYN HEIGHTS, NY 11577-1419	various	E	A		N						12,433					
Aggr PO > $5K	EASTERN COMMUNICATIONS INC 48-014 36TH ST LONG ISLAND CITY, NY 11101-1918	various	E	A		N						5,429					
Aggr PO > $5K	EATON OFFICE SUPPLY CO INC 180 JOHN GLENN DR AMHERST, NY 14228-2292	various	E	A		N						38,724					
Aggr PO > $5K	EDGE ELECTRONICS INC 75 ORVILL DR - STE 2 BOHEMIA, NY 11716-2528	various	E	A		N	03					10,797					
Aggr PO > $5K	EGGAN EXCAVATING EQUIPMENT CO INC 7439 TOWNLINE RD ROME, NY 13440-1450	various	S	A		N						11,948					
Aggr PO > $5K	EL DON BATTERY INC 4109 ST FRANCIS DR HAMBURG, NY 14075	various	E	A		N						7,643					
Aggr PO > $5K	EL ELECTRONICS LLC 1800 SHAMES DR WESTBURY, NY 11590-1730	various	E	A		N						10,487					

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Aggr PO > $5K	ELECTROMARK PO BOX 25 WOLCOTT, NY 14590-4070	various	E	A		N						29,649					
Aggr PO > $5K	ELECTRONIC DRIVES & CONTROLS INC 17 EASTMANS RD PARSIPPANY, NJ 07054-3702	various	S	A		F						6,750					
Aggr PO > $5K	ELECTROSWITCH CORP 180 KING AVE WEYMOUTH, MA 02188-2904	various	E	A		F						7,119					
Aggr PO > $5K	ELLIOTT'S FARM & HOME SUPPLY INC PO BOX 275 WINTHROP, NY 13697-4070	various	E	A		N						10,580					
Aggr PO > $5K	ELMRIDGE PROTECTION PRODUCTS LLC 1200 CLINT MOORE ROAD UNIT 15 BOCA RATON, FL 33487-2731	various	E	A		F						7,915					
Aggr PO > $5K	ELWOOD SAFETY CO INC 2180 ELMWOOD AVE BUFFALO, NY 14216-1081	various	E	A		N						10,460					
Aggr PO > $5K	EMEDCO INC PO BOX 95904 CHICAGO, IL 60694-5904	various	E	A		F						16,122					
Aggr PO > $5K	EMPIRE CRANE CO LLC 7021 PERFORMANCE DR NORTH SYRACUSE, NY 13212	various	E	A		N						13,889					
Aggr PO > $5K	ENCORUS GROUP ENGINEERING PC 23 MECHANIC ST - PO BOX 344 SPRINGVILLE, NY 14141-0344	various	S	A		N						11,857					
Aggr PO > $5K	EPAUL DYNAMICS 16 SINTSINK DRIVE EAST PORT WASHINGTON, NY 11050-2014	various	E	A		N	03					32,490					
Aggr PO > $5K	F & F INDUSTRIAL EQUIPMENT CORP 195 TOWER DR MIDDLETOWN, NY 10941-2034	various	E	A		N						237,504					
Aggr PO > $5K	F W WEBB CO 6792 TOWNLINE RD SYRACUSE, NY 13214	various	E	A		N						9,617					
Aggr PO > $5K	FASTENAL COMPANY 2150 ORISKANY ST W UTICA, NY 13502	various	E	A		N						5,464					
Aggr PO > $5K	FEEDWATER TREATMENT SYSTEMS INC PO BOX 439 ATHOL SPRINGS, NY 14010	various	S	A		N						13,331					
Aggr PO > $5K	FERRELLGAS LP 5859 STATE RTE 31 VERONA, NY 13478-3713	various	E	A		N						9,539					

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Aggr PO > $5K	FILTER EQUIPMENT CO INC 1440 HWY 34 PO BOX 1452 WALL, NJ 07719	various	E	A		F						15,806					
Aggr PO > $5K	FILTRATION UNLTD LLC PO BOX 226 AKRON, NY 14001-0226	various	E	A		N						38,348					
Aggr PO > $5K	FILTREC CORP 5440 LOCKWOOD RD AUBURN, NY 13021-8110	various	S	A		N						8,866					
Aggr PO > $5K	FLEETPRIDE INC 10 SCHARBACH DR MARCY, NY 13403	various	E	A		N						6,373					
Aggr PO > $5K	FOX FENCE INC 2637 LOCKPORT RD NIAGARA FALLS, NY 14305	various	E	A		N						10,894					
Aggr PO > $5K	FREMONT INDUSTRIAL CORP 33 COMAC LOOP UNIT 6 RONKONKOMA, NY 11779-6897	various	E	A		N						7,609					
Aggr PO > $5K	FRENCHIE'S FORD INC 216 E ORVIS ST MASSENA, NY 13662-2243	various	E	A		N						12,871					
Aggr PO > $5K	GAS TURBINE CONTROLS CORP 6 SKYLINE DR - STE 150 HAWTHORNE, NY 10532-8102	various	E	A		N						14,155					
Aggr PO > $5K	GE GRID SOLUTIONS LLC 4200 WILDWOOD PKWY BLDG 2018 ATLANTA, GA 30339-8402	various	E	A		F						6,520					
Aggr PO > $5K	GE PACKAGED POWER LLC 16415 JACINTOPORT BLVD BLDG "B" HOUSTON, TX 77015	various	E	A		F						11,396					
Aggr PO > $5K	GENESIS DISPOSABLES LLC 2676 SOUTHSIDE RD FRANKFORT, NY 13340-5002	various	E	A		N						12,789					
Aggr PO > $5K	GETTYSBURG FLAG WORKS INC PO BOX 524 EAST GREENBUSH, NY 12061	various	E	A		N						5,440					
Aggr PO > $5K	GEXPRO 5500 MAIN ST - STE 301 WILLIAMSVILLE, NY 14221-6737	various	E	A		N						13,558					
Aggr PO > $5K	GEXPRO 6460 DEERE RD - STE 1 SYRACUSE, NY 13206-1344	various	E	A		N						15,043					
Aggr PO > $5K	GILLEE'S AUTO TRUCK & MARINE INC 342 E ORVIS ST MASSENA, NY 13662-3200	various	E	A		N						45,670					
Aggr PO > $5K	GLAUBER EQUIPMENT CORP 1600 COMMERCE PKWY LANCASTER, NY 14086	various	E	A		N						6,687					

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Aggr PO > $5K	GLOBAL EQUIPMENT CO INC 11 HARBOR PARK DR PORT WASHINGTON, NY 11050	various	E	A		N						39,542					
Aggr PO > $5K	GLOBAL MONTELLO GROUP CORP 800 SOUTH ST WALTHAM, MA 02454	various	E	A		F						30,210					
Aggr PO > $5K	GOERGEN-MACKWIRTH CO INC 765 HERTEL AVE BUFFALO, NY 14207-1905	various	E	A		N						5,607					
Aggr PO > $5K	GOODWAY TECHNOLOGIES CORP 420 WEST AVE STAMFORD, CT 06902-6384	various	E	A		F						53,787					
Aggr PO > $5K	GOODYEAR AUTO SERVICE CENTER 1755 MILITARY RD NIAGARA FALLS, NY 14304-1733	various	E	A		N						15,237					
Aggr PO > $5K	GOVCONNECTION INC 732 MILFORD MERRIMACK, NH 03054	various	H	A		F						21,817					
Aggr PO > $5K	GRADE A PETROLEUM CORP 90 EAST HAWTHORNE AVE VALLEY STREAM, NY 11582-1238	various	E	A		N						35,832					
Aggr PO > $5K	GRAINGER DEPT 807245360 PALATINE, IL 60038-0001	various	E	A		F						18,233					
Aggr PO > $5K	GRAPHIC PRODUCTS 9825 SW SUNSHINE CT BEAVERTON, OR 97005-4190	various	E	A		F						32,174					
Aggr PO > $5K	GRAYBAR ELECTRIC CO INC 6605 DEERE RD SYRACUSE, NY 13206-1325	various	E	A		N						73,420					
Aggr PO > $5K	GRAYBAR ELECTRIC CO INC 425 CAYUGA DR CHEEKTOWAGA, NY 14225-1946	various	E	A		N						45,858					
Aggr PO > $5K	HACH CHEMICAL CO PO BOX 389 LOVELAND, CO 80539	various	E	A		F						13,372					
Aggr PO > $5K	HACH CO PO BOX 608 LOVELAND, CO 80539	various	S	A		F						7,326					
Aggr PO > $5K	HAMBURG OVERHEAD DOOR INC 5659 HERMAN HILL RD HAMBURG, NY 14075-6909	various	E	A		N						5,346					
Aggr PO > $5K	HANES SUPPLY INC RAILROAD AVE COLONIE, NY 12205	various	E	A		N						8,806					
Aggr PO > $5K	HANES SUPPLY INC 55 JAMES E CASEY DR BUFFALO, NY 14206-2361	various	E	A		N						66,139					

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Aggr PO > $5K	HAUN WELDING SUPPLY INC 300 WOODWARD AVE BUFFALO, NY 14217	various	E	A		N						49,498					
Aggr PO > $5K	HAUN WELDING SUPPLY INC 564 BROADWAY MENANDS, NY 12204-2802	various	E	A		N						8,126					
Aggr PO > $5K	HAUN WELDING SUPPLY INC 728 BROAD ST UTICA, NY 13501	various	E	A		N						8,691					
Aggr PO > $5K	HAUN WELDING SUPPLY INC 10149 ST HWY 56 MASSENA, NY 13662	various	E	A		N						25,156					
Aggr PO > $5K	HAUN WELDING SUPPLY INC 5921 COURT STREET RD SYRACUSE, NY 13206-1707	various	E	A		N						9,000					
Aggr PO > $5K	HAYES PUMP INC 295 FAIRFIELD AVE FAIRFIELD, NJ 07004-3833	various	E	A		F						10,228					
Aggr PO > $5K	HD SUPPLY CONSTRUCTION SUPPLY LTD 3400 CUMBERLAND BLVD SE ATLANTA, GA 30339	various	E	A		F						10,693					
Aggr PO > $5K	HEATEC INC PO BOX 72760 CHATTANOOGA, TN 37407	various	E	A		F						7,824					
Aggr PO > $5K	HELBERG ELECTRICAL SUPPLY LLC 12B FILMORE PL FREEPORT, NY 11520-3365	various	E	A		N	04					8,398					
Aggr PO > $5K	HELWIG CARBON PRODUCTS INC 8900 W TOWER AVE - BOX 240160 MILWAUKEE, WI 53224-9008	various	E	A		F						6,448					
Aggr PO > $5K	HERC RENTALS INC 4578 BUCKLEY RD LIVERPOOL, NY 13088-2509	various	E	A		N						17,593					
Aggr PO > $5K	HI-LINE UTILITY SUPPLY CO LLC 26 TOWN FOREST ROAD WEBSTER, MA 01570-3111	various	E	A		F						16,778					
Aggr PO > $5K	HILL & MARKES INC 1997 STATE HIGHWAY 5S - PO BOX 7 AMSTERDAM, NY 12010-8177	various	E	A		N						10,660					
Aggr PO > $5K	HILTI INC 4974 HARLEM RD AMHERST, NY 14226-2560	various	E	A		N						9,838					
Aggr PO > $5K	HITACHI T & D SOLUTIONS INC 7250 MCGINNIS FERRY RD SUWANEE, GA 30024-1245	various	E	A		F						25,428					
Aggr PO > $5K	HUBBELL POWER SYSTEMS INC 210 N ALLEN ST CENTRALIA, MO 65240-1302	various	E	A		F						10,462					

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Aggr PO > $5K	HVB SERVICES INC 3000 MCCANNON MILL DR DACULA, GA 30019-5420	various	S	A		F						9,069					
Aggr PO > $5K	HYTORC DIV UNEX CORP 333 ROUTE 17 MAHWAH, NJ 07430-2129	various	E	A		F						7,299					
Aggr PO > $5K	INDUSTRIAL CONTROLS DISTRIBUTORSLLC 17 CHRISTOPHER WAY EATONTOWN, NJ 07724-3325	various	E	A		F						12,161					
Aggr PO > $5K	INDUSTRIAL PROCESS SOLUTIONS ONE IVYBROOK BLVD - STE 130 IVYLAND, PA 18974	various	E	A		F						43,837					
Aggr PO > $5K	INDUSTRIAL SCIENTIFIC CORP 1 LIFE WAY PITTSBURGH, PA 15205-7500	various	E	A		F						7,452					
Aggr PO > $5K	INGERSOLL RAND AIR CENTERS 170 WALES AVE TONAWANDA, NY 14150	various	E	A		N						7,125					
Aggr PO > $5K	INSIGHT SERVICES INC 20338 PROGRESS DR STRONGSVILLE, OH 44149-3220	various	S	A		F						20,033					
Aggr PO > $5K	INTIVITY INC 106 DESPATCH DR - STE 2 EAST ROCHESTER, NY 14445-1448	various	E	A		N	04					133,602					
Aggr PO > $5K	ISLAND OCCUPATIONAL MEDICAL RES 618 BROADWAY AMITYVILLE, NY 11701-2124	various	P	A		N						14,850					
Aggr PO > $5K	ISOPUR FLUID TECHNOLOGIES INC STE W3 183 PROVIDENCE NEW LONDON TP NORTH STONINGTON, CT 06359	various	E	A		F						9,409					
Aggr PO > $5K	J & A SAND & GRAVEL INC 8765 STATE HIGHWAY 30 DOWNSVILLE, NY 13755-3207	various	E	A		N						6,918					
Aggr PO > $5K	J C MERRIMAN INC PO BOX 270 NORWOOD, NY 13668	various	E	A		N						25,169					
Aggr PO > $5K	JAY-K INDEPENDENT LUMBER CORP PO BOX 378 NEW HARTFORD, NY 13413-1894	various	E	A		N						15,426					
Aggr PO > $5K	JEFFORDS STEEL & ENGINEERING CO PO BOX 40 PLATTSBURGH, NY 12901-0040	various	E	A		N						11,437					

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Aggr PO > $5K	JOE CECCONI'S CHRYSLER COMPLEX 2380 MILITARY RD NIAGARA FALLS, NY 14304-1563	various	E	A		N						7,251					
Aggr PO > $5K	JOHN IACONO INC 230 KNICKERBOCKER AVE BOHEMIA, NY 11716-3140	various	S	A		N						9,644					
Aggr PO > $5K	JOHNSON CONTROLS INC 130 JOHN MUIR DR - STE 100 AMHERST, NY 14228-1139	various	E	A		N						19,959					
Aggr PO > $5K	JOHNSON CONTROLS INC 6732 COLLAMER RD STE 4 EAST SYRACUSE, NY 13057	various	E	A		N						8,074					
Aggr PO > $5K	JOHNSON CONTROLS INC 507 E MICHIGAN ST - MAILSTOP M-16 MILWAUKEE, WI 53202-5211	various	E	A		F						22,279					
Aggr PO > $5K	JOS T FEWKES & CO 6 EVES DR MARLTON, NJ 08053	various	E	A		F						8,910					
Aggr PO > $5K	K CONNELLY CORP 16 HAWTHORNE RD KINGS PARK, NY 11754-6297	various	E	A		N						9,925					
Aggr PO > $5K	KAMAN INDUSTRIAL TECHNOLOGIES CORP PO BOX 30672 HARTFORD, CT 06150	various	E	A		F						7,122					
Aggr PO > $5K	KELLEY FARM AND GARDEN INC PO BOX 37 COBLESKILL, NY 12043-0037	various	E	A		N						9,091					
Aggr PO > $5K	KELLY & HAYES ELECTRICAL SUPPLY 66 SOUTHERN BLVD NESCONSET, NY 11767-1092	various	E	A		N						39,712					
Aggr PO > $5K	KELLY SALES CORP 3503 CTY ROUTE 14 MADRID, NY 13660-3105	various	E	A		N						8,788					
Aggr PO > $5K	KEN-MAR FIRE EXTINGUISHER CO INC 168 LARKFIELD RD E NORTHPORT, NY 11731-1894	various	S	A		N						11,600					
Aggr PO > $5K	KINEQUIP INC 7340 THOMPSON RD N N SYRACUSE, NY 13212	various	E	A		N						6,273					
Aggr PO > $5K	KINGSWAY EXTERMINATING CO INC 2216 FLATBUSH AVE BROOKLYN, NY 11234-4516	various	S	A		N						5,495					
Aggr PO > $5K	KIVORT STEEL INC #380 HUDSON RIVER RD WATERFORD, NY 12188	various	E	A		N						6,950					

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Aggr PO > $5K	KLEIN STEEL SERVICE INC 1050 MILITARY RD BUFFALO, NY 14217-2528	various	E	A		N						44,906					
Aggr PO > $5K	KLEIN STEEL SERVICE INC 105 VANGUARD PKWY ROCHESTER, NY 14606-3100	various	E	A		N						10,172					
Aggr PO > $5K	KONECRANES INC 1020 LEHIGH STATION RD HENRIETTA, NY 14467-9369	various	E	A		N						8,486					
Aggr PO > $5K	KRAFTWERKS STORAGE & MATERIAL 92 COOPER AVE TONAWANDA, NY 14150	various	E	A		N	03					15,507					
Aggr PO > $5K	LAKES PIPE & SUPPLY CORP PO BOX 429 NIAGARA FALLS, NY 14302-5966	various	E	A		N						11,623					
Aggr PO > $5K	LATINA BOULEVARD FOODS LLC 1 SCRIVNER DR STE 1 CHEEKTOWAGA, NY 14227-2742	various	E	A		N						9,182					
Aggr PO > $5K	LAYO'S AUTO PARTS 125 MAPLE ST MASSENA, NY 13662	various	E	A		N						15,066					
Aggr PO > $5K	LIBERTY ELECTRIC SALES INC 113 TWIN OAKS DR SYRACUSE, NY 13206-1205	various	E	A		N						12,527					
Aggr PO > $5K	LIFESAVING SYSTEMS CORP 220 ELSBERRY RD APOLLO BEACH, FL 33572	various	E	A		F						6,517					
Aggr PO > $5K	LIGHTNING MECHANICAL 65 NEWARK WAY MAPLEWOOD, NJ 07040-3309	various	S	A		F						12,981					
Aggr PO > $5K	LINDA TOOL 163 DWIGHT ST BROOKLYN, NY 11231-1539	various	E	A		N						7,750					
Aggr PO > $5K	LINEMEN'S SUPPLY DIVISION OF PO BOX 1690 BINGHAMTON, NY 13902-1690	various	E	A		N						7,639					
Aggr PO > $5K	LM PARTS LLC 26 FAYMORE DR AGAWAM, MA 01001-3010	various	E	A		F						5,175					
Aggr PO > $5K	LOUGHLIN MANUFACTURING CORP 1601 9TH AVE BOHEMIA, NY 11716-1202	various	S	A		N						14,700					
Aggr PO > $5K	LUBRICATION TECHNOLOGIES INC 120 BOSWORTH ST WEST SPRINGFIELD, MA 01089-3530	various	E	A		F						9,894					
Aggr PO > $5K	MAIN-FORD GENERAL SUPPLY INC 366 LYELL AVE ROCHESTER, NY 14606-1634	various	E	A		N						8,241					

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Aggr PO > $5K	MASSENA PLUMBING SUPPLY 138 SOUTH RAQUETTE ST MASSENA, NY 13662	various	E	A		N						8,873					
Aggr PO > $5K	MATERIAL SAND & GRAVEL CO PO BOX 8 WEST SAND LAKE, NY 12196	various	E	A		N						16,602					
Aggr PO > $5K	MAYER MALBIN CO INC 41-01 36TH AVE LONG ISLAND CITY, NY 11101	various	E	A		N						10,498					
Aggr PO > $5K	MCMASTER-CARR SUPPLY CO PO BOX 7690 CHICAGO, IL 60680	various	E	A		F						166,914					
Aggr PO > $5K	MCQUADE & BANNIGAN INC 1300 STARK ST - PO BOX 476 UTICA, NY 13503	various	E	A		N						29,288					
Aggr PO > $5K	MEGGER 4271 BRONZE WAY DALLAS, TX 75237	various	E	A		F						10,564					
Aggr PO > $5K	MEGGER VALLEY FORGE CORPORATE CTR 2621 VAN BUREN AVE NORRISTOWN, PA 19403	various	S	A		F						6,450					
Aggr PO > $5K	MEIER SUPPLY CO INC 1684 WALDEN AVE CHEEKTOWAGA, NY 14225-4914	various	E	A		N						6,276					
Aggr PO > $5K	MESA PRODUCTS INC PO BOX 52608 TULSA, OK 74152-0608	various	E	A		F						14,185					
Aggr PO > $5K	METRO FORD SALES INC 3601 STATE ST SCHENECTADY, NY 12304	various	E	A		N						10,488					
Aggr PO > $5K	MICROCAD TRAINING & CONSULTING INC 77 ARKAY DR STE B1 HAUPPAUGE, NY 11788-3700	various	H	A		N	04					19,233					
Aggr PO > $5K	MIDDLEBURGH HARDWARE INC 316 MAIN ST - PO BOX 849 MIDDLEBURGH, NY 12122	various	E	A		N						9,590					
Aggr PO > $5K	MID-VALLEY AUTO PARTS INC 158 WELLS AVE - PO BOX 62 MIDDLEBURGH, NY 12122-6505	various	E	A		N						49,926					
Aggr PO > $5K	MIDWAY INDUSTRIAL SUPPLY INC 505 N FRENCH RD AMHERST, NY 14228	various	E	A		N						21,042					
Aggr PO > $5K	MILLER ENERGY INC 3200 S CLINTON AVE SOUTH PLAINFIELD, NJ 07080-1424	various	E	A		F						37,515					
Aggr PO > $5K	MILLER PROCTOR NICKOLAS INC 2 HUDSON ST SLEEPY HOLLOW, NY 10591-0815	various	S	A		N						20,327					

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Aggr PO > $5K	MILLS ELECTRICAL SUPPLY INC 739 ERIE BLVD W ROME, NY 13440-3913	various	E	A		N						33,546					
Aggr PO > $5K	MILTON CAT 4610 E SAILE DR BATAVIA, NY 14020-1017	various	E	A		N						15,623					
Aggr PO > $5K	MIRABITO FUEL GROUP 10 CARBON ST ONEONTA, NY 13820	various	E	A		N						38,102					
Aggr PO > $5K	MIRABITO FUEL GROUP PO BOX 5306 BINGHAMTON, NY 13902-5306	various	E	A		N						5,660					
Aggr PO > $5K	MIRABITO FUEL GROUP 44 GRAND ST SIDNEY, NY 13838-1183	various	E	A		N						15,183					
Aggr PO > $5K	MOFFETT TURF EQUIPMENT INC 33 THRUWAY PARK DR WEST HENRIETTA, NY 14586-9702	various	E	A		N						17,988					
Aggr PO > $5K	MOHAWK LTD 1 NEWELL LANE - PO BOX 340 CHADWICKS, NY 13319-0355	various	S	A		N	03					13,191					
Aggr PO > $5K	MOLEY MAGNETICS INC 5202 COMMERCE DR LOCKPORT, NY 14094	various	S	A		N						11,964					
Aggr PO > $5K	MONTANA DATACOM 3515 11TH ST LONG ISLAND CITY, NY 11106-5013	various	E	A		N	03					17,802					
Aggr PO > $5K	MOORE TIRE SALES INC PO BOX 449 OWEGO, NY 13827	various	E	A		N						15,497					
Aggr PO > $5K	MOTION INDUSTRIES INC 3780 COMMERCE CT - STE400 NORTH TONAWANDA, NY 14120-2025	various	E	A		N						66,689					
Aggr PO > $5K	MOTION INDUSTRIES INC 311 FOURTH AVE PELHAM, NY 10803-1255	various	E	A		N						11,946					
Aggr PO > $5K	MOUSER ELECTRONICS INC PO BOX 714 MANSFIELD, TX 76063-0714	various	E	A		F						5,867					
Aggr PO > $5K	MSC INDUSTRIAL SUPPLY PO BOX 953635 SAINT LOUIS, MO 63195-3635	various	E	A		F						9,616					
Aggr PO > $5K	MULTI INDUSTRIAL SERVICES (MIS) LLC 634 LAKE RD WEBSTER, NY 14580-1520	various	S	A		N						9,600					
Aggr PO > $5K	MULTI MACHINE INC 2 VILET FARM RD ASBURY, NJ 08802-1171	various	E	A		F						14,216					

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Aggr PO > $5K	MX PETROLEUM CORP PO BOX 638 MASSENA, NY 13662	various	E	A		N						12,037					
Aggr PO > $5K	NALCO COMPANY 544 HALFWAY HOUSE RD WINDSOR LOCKS, CT 06096-1502	various	E	A		F						32,305					
Aggr PO > $5K	NAPA AUTO PARTS 2450 MILITARY RD NIAGARA FALLS, NY 14304-1588	various	E	A		N						65,556					
Aggr PO > $5K	NASSAU NATIONAL CABLE CORP 505 NORTHERN BLVD - STE 209 GREAT NECK, NY 11021-5112	various	E	A		N						9,070					
Aggr PO > $5K	NATHAN STEEL CORP PO BOX 299 UTICA, NY 13502-2534	various	E	A		N						7,981					
Aggr PO > $5K	NATIONAL ELEVATOR INSPECTION 2788 ROOSEVELET HIGHWAY HAMLIN, NY 14464-9327	various	S	A		N						11,834					
Aggr PO > $5K	NATIONAL INDUSTRIES FOR THE BLIND 136 STATE ST - FL 2 ALBANY, NY 12207-1606	various	E	A		N						54,805					
Aggr PO > $5K	NAYLOR PIPE COMPANY 1230 E 92ND ST CHICAGO, IL 60619-7997	various	E	A		F						5,180					
Aggr PO > $5K	NEW ENGLAND FILTER CO INC 76 MAPLE TREE AVE STE 7 STAMFORD, CT 06906-2211	various	E	A		F						11,606					
Aggr PO > $5K	NEW PIG CORP ONE PORK AVE - PO BOX 304 TIPTON, PA 16684-0304	various	E	A		F						53,449					
Aggr PO > $5K	NEW YORK BOILER INC 5885 PRESTON COURT BROOKLYN, NY 11234-1022	various	S	A		N						6,625					
Aggr PO > $5K	NEW YORK LEAK DETECTION INC 1 BURNS COVE JAMESVILLE, NY 13078	various	S	A		N						11,550					
Aggr PO > $5K	NEWARK ELEMENT14 7449 MORGAN RD LIVERPOOL, NY 13090-3973	various	E	A		N						13,949					
Aggr PO > $5K	NIAGARA FRONTIER CUSTOM FABRICATION 760 NORTHLAND AVE BUFFALO, NY 14211-1041	various	E	A		N						6,007					
Aggr PO > $5K	NIAGARA LOCK AND KEY SERVICE 2035 MILITARY RD NIAGARA FALLS, NY 14304	various	E	A		N						5,684					
Aggr PO > $5K	NOBLE GAS SOLUTIONS 10 ERIE BLVD STE 1 ALBANY, NY 12204-2523	various	E	A		N						8,800					

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Aggr PO > $5K	NOCO ENERGY CORP 2440 SHERIDAN DR - STE 202 TONAWANDA, NY 14150-9493	various	E	A		N						12,788					
Aggr PO > $5K	NORTH AMERICAN SWITCHGEAR INC 12502 BEREA RD CLEVELAND, OH 44111	various	E	A		F						5,958					
Aggr PO > $5K	NORTH EAST TECHNICAL SALES 171 RUTH RD HARLEYSVILLE, PA 19438	various	E	A		F						7,669					
Aggr PO > $5K	NORTHEAST CONTROLS INC 3 ENTERPRISE AVE CLIFTON PARK, NY 12065-3423	various	E	A		N						6,921					
Aggr PO > $5K	NORTHERN SAFETY CO INC 232 INDUSTRIAL PARK DR UTICA, NY 13504-4250	various	E	A		N						39,041					
Aggr PO > $5K	NORTHERN TOOL & EQUIPMENT PO B0X 1499 BURNSVILLE, MN 55337	various	E	A		F						21,464					
Aggr PO > $5K	NORTHLAND TRAILERS LLC 9280 RIVER RD MARCY, NY 13403-2069	various	E	A		N						5,367					
Aggr PO > $5K	NORTRAX INC 60 TRADE RD PLATTSBURGH, NY 12901	various	E	A		N						5,179					
Aggr PO > $5K	NYE AUTOMOTIVE GROUP INC 1479 GENESEE ST ONEIDA, NY 13421	various	E	A		N						25,264					
Aggr PO > $5K	NYS INDUSTRIES FOR THE DISABLED INC 11 COLUMBIA CIR ALBANY, NY 12203-5156	various	E	A		N						27,518					
Aggr PO > $5K	OCCUPATIONAL EYEWEAR SERVICES 8 BRADLEY RD UTICA, NY 13501-6604	various	E	A		N						14,014					
Aggr PO > $5K	OEM PARTS NETWORK INC 10763 BELL CT RANCHO CUCAMONGA, CA 91730-4834	various	E	A		F						20,451					
Aggr PO > $5K	OMICRON ELECTRONICS CORP USA 3550 WILLOWBEND BLVD HOUSTON, TX 77054-1127	various	S	A		F						27,913					
Aggr PO > $5K	ON THE MEND MEDICAL SUPPLIES AND EQ 280 NORTH BEDFORD RD MOUNT KISCO, NY 10549	various	E	A		N						9,786					
Aggr PO > $5K	ONSITE ENTERPRISES - REGULATORY 554 CASEY RD EAST AMHERST, NY 14051-1487	various	S	A		N						7,950					

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Aggr PO > $5K	ORKIN PEST CONTROL 5 HEMLOCK ST - STE 3 LATHAM, NY 12110-2298	various	S	A		N						7,260					
Aggr PO > $5K	OTT HYDROMET CORP 22400 DAVIS DR STERLING, VA 20164-7127	various	E	A		F						15,234					
Aggr PO > $5K	PAT'S TIRE & SERVICE INC 501 ERIE BLVD W ROME, NY 13440-4805	various	E	A		N						5,531					
Aggr PO > $5K	PETROSCAN LTD 1990 NEW HWY FARMINGDALE, NY 11735-1102	various	E	A		N	03					19,350					
Aggr PO > $5K	PIERCE STEEL FABRICATORS INC 430 N 7TH ST OLEAN, NY 14760-2330	various	E	A		N						12,327					
Aggr PO > $5K	PINNACLE PARTS & SERVICE CORP 18 HICKORY LN BAYVILLE, NJ 08721-2111	various	E	A		F						11,010					
Aggr PO > $5K	PLAN & PRINT SYSTEMS INC PO BOX 218 EAST SYRACUSE, NY 13057	various	E	A		N						10,165					
Aggr PO > $5K	POOLEY INC 196 VULCAN ST BUFFALO, NY 14207-1120	various	E	A		N						5,082					
Aggr PO > $5K	PORTLAND BOLT & MANUFACTURING 3441 NW GUAM ST PORTLAND, OR 97210-1696	various	E	A		F						5,671					
Aggr PO > $5K	POTTER ASSOCIATES INC 24 BROWN CROFT BLVD ROCHESTER, NY 14609-0117	various	E	A		N						6,825					
Aggr PO > $5K	POWELL ELECTRICAL SYSTEMS INC 8550 MOSLEY DR HOUSTON, TX 77075	various	E	A		F						6,361					
Aggr PO > $5K	POWERTECH CONTROLS CO INC 909 MOTOR PKWY HAUPPAUGE, NY 11788-5250	various	E	A		N	03					11,177					
Aggr PO > $5K	PRAXAIR DISTRIBUTION INC 1811 BROADWAY BUFFALO, NY 14212-2032	various	E	A		N						27,913					
Aggr PO > $5K	PREFERRED MATERIALS LLC 1765 NEW RD NIAGARA FALLS, NY 14304-1547	various	E	A		N						5,600					
Aggr PO > $5K	PRO-QUIP INC 4 MARK RD - STE C KENILWORTH, NJ 07033-1025	various	E	A		F						23,329					
Aggr PO > $5K	QUALITROL COMPANY LLC 1385 FAIRPORT RD FAIRPORT, NY 14450	various	E	A		N						24,619					

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Aggr PO > $5K	QUALITY PLUS INC 60 LAWRENCE BELL DR WILLIAMSVILLE, NY 14221-7074	various	E	A		N						18,815					
Aggr PO > $5K	R & G LABORATORIES INC 217 HOBBS ST- STE 105 TAMPA, FL 33619-8067	various	S	A		F						19,799					
Aggr PO > $5K	R B U'REN EQUIPMENT INC 1120 CONNECTING RD NIAGARA FALLS, NY 14304-0426	various	E	A		N						10,748					
Aggr PO > $5K	R M LILL INC 1263 RTE 9 CASTLETON, NY 12033	various	E	A		N						5,185					
Aggr PO > $5K	R P ADAMS 225 E PARK DR TONAWANDA, NY 14150-7813	various	E	A		N						5,008					
Aggr PO > $5K	R P FEDDER CORP 2501 JAMES ST STE 220 SYRACUSE, NY 13206	various	E	A		N						8,499					
Aggr PO > $5K	R S CRUM & CO 1181 GLOBE AVE MOUNTAINSIDE, NJ 07092-0209	various	E	A		F						20,164					
Aggr PO > $5K	RADIAN RESEARCH INC 3852 FORTUNE DR LAFAYETTE, IN 47905-4879	various	S	A		F						20,965					
Aggr PO > $5K	RADWELL INTERNATIONAL INC 111 MOUNT HOLLY BY PASS LUMBERTON, NJ 08048-1113	various	E	A		F						14,461					
Aggr PO > $5K	RAPID STEEL SUPPLY CORP 4963 30TH ST LONG ISLAND CITY, NY 11101-3406	various	E	A		N						12,896					
Aggr PO > $5K	RARITAN GROUP INC PO BOX 10120 NEW BRUNSWICK, NJ 08906-0120	various	E	A		F						9,869					
Aggr PO > $5K	RED WING BRANDS OF AMERICA INC 7B JULES LN NEW BRUNSWICK, NJ 08901-3611	various	E	A		F						9,249					
Aggr PO > $5K	RED WING BUSINESS ADVANTAGE ACCOUNT 6354 TRANSIT RD DEPEW, NY 14043-1072	various	E	A		N						12,612					
Aggr PO > $5K	RESA POWER LLC 40 OLIVER TERR - PO BOX 619 SHELTON, CT 06484-0343	various	E	A		F						7,403					
Aggr PO > $5K	REXA INC 4 MANLEY ST WEST BRIDGEWATER, MA 02379-1017	various	S	A		F						12,789					
Aggr PO > $5K	REXEL USA INC 505 DUKE RD - STE 400 CHEEKTOWAGA, NY 14225-5101	various	E	A		N						15,485					

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Aggr PO > $5K	RICH BURNS CERTIFIED COLLISION 3694 LUTTS RD YOUNGSTOWN, NY 14174-9711	various	S	A		N						6,533					
Aggr PO > $5K	ROHE INTERNATIONAL INC 349 NORTHGATE DR WARRENDALE, PA 15086-7572	various	E	A		F						8,013					
Aggr PO > $5K	ROLFE INDUSTRIES INC 2 PARKFORD DR - PO BOX 673 CLIFTON PARK, NY 12065-3234	various	E	A		N	03					21,979					
Aggr PO > $5K	ROSS VALVE MANUFACTURING CO INC 79 102ND ST TROY, NY 12180-1125	various	E	A		N						19,227					
Aggr PO > $5K	RUBY INDUSTRIAL TECHNOLOGIES 44 W HATFIELD ST MASSENA, NY 13662-2523	various	E	A		N						15,745					
Aggr PO > $5K	S & B COMPUTER & OFFICE 17 WOOD RD - STE 7000 ROUND LAKE, NY 12151	various	E	A		N	04					80,974					
Aggr PO > $5K	S & S SANITATION & EXCAVATION INC 22 PINE GROVE LN MALONE, NY 12953-2825	various	S	A		N						5,340					
Aggr PO > $5K	S & W SERVICES INC 6057 CORPORATE DR - STE 3 EAST SYRACUSE, NY 13057-1068	various	E	A		N						5,313					
Aggr PO > $5K	S A A LOGISTICS INC 527 TOWNLINE RD STE 301 HAUPPAUGE, NY 11788-2833	various	S	A		N						34,500					
Aggr PO > $5K	S D MYERS LLC 180 SOUTH AVE TALLMADGE, OH 44278-2864	various	S	A		F						5,910					
Aggr PO > $5K	SAFESPAN SCAFFOLDING LLC 252 FILLMORE AVE TONAWANDA, NY 14150	various	S	A		N						8,700					
Aggr PO > $5K	SANITARY WIPING CLOTH CO 501 W 3RD ST - STE 9D JAMESTOWN, NY 14701-4810	various	E	A		N						15,376					
Aggr PO > $5K	SARA L MENDELSOHN MD PLLC 800 WOODBURY RD - STE K WOODBURY, NY 11797-2592	various	P	A		N						8,950					
Aggr PO > $5K	SCHAEFER PLUMBING SUPPLY CO INC 4601 MILITARY RD NIAGARA FALLS, NY 14305	various	E	A		N						22,453					
Aggr PO > $5K	SCHWEITZER ENGINEERING LAB INC 100 W SIXH ST - STE 4 MEDIA, PA 19063-2433	various	E	A		F						14,019					

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Aggr PO > $5K	SCOTT ELECTRIC SUPPLY INC 3253 WALDEN AVE DEPEW, NY 14043-2821	various	E	A		N						29,239					
Aggr PO > $5K	SEALING DEVICES INC 4400 WALDEN AVE LANCASTER, NY 14086-9751	various	E	A		N						17,177					
Aggr PO > $5K	SEAWAY DIVING & SALVAGE CO INC 10 GUIDEBOARD RD WATERFORD, NY 12188-1913	various	S	A		N						11,114					
Aggr PO > $5K	SEAWAY TIRE & AUTO INC 330 E ORVIS ST MASSENA, NY 13662	various	E	A		N						5,148					
Aggr PO > $5K	SHELBY CRUSHED STONE INC 10830 BLAIR RD MEDINA, NY 14103	various	E	A		N						10,413					
Aggr PO > $5K	SHERWIN-WILLIAMS CO 7895 NIAGARA FALLS BLVD NIAGARA FALLS, NY 14304	various	E	A		N						10,727					
Aggr PO > $5K	SIEMENS ENERGY INC 4400 N ALAFAYA TRL ORLANDO, FL 32826-2301	various	E	A		F						6,763					
Aggr PO > $5K	SIEMENS INDUSTRY INC 85 NORTHPOINTE PKWY - STE 8 AMHERST, NY 14228-1886	various	E	A		N						10,657					
Aggr PO > $5K	SIEWERT EQUIPMENT 175 AKRON ST ROCHESTER, NY 14609-7297	various	E	A		N						9,821					
Aggr PO > $5K	SIGNS INC PO BOX 185 MALONE, NY 12953	various	E	A		N	03					10,106					
Aggr PO > $5K	SIMMERS CRANE DESIGN & SERVICES CO 1134 SALEM PKWY SALEM, OH 44460-1063	various	E	A		F						6,687					
Aggr PO > $5K	SIRINA PROTECTION SYSTEMS CORP 112 W 34TH ST - STE 2102 NEW YORK, NY 10120-2401	various	S	A		N						9,850					
Aggr PO > $5K	SITEONE LANDSCAPE SUPPLY 2479 WALDEN AVE CHEEKTOWAGA, NY 14225-4717	various	E	A		N						9,642					
Aggr PO > $5K	SKY TESTING SERVICES INC PO BOX 278 SYRACUSE, NY 13214-0278	various	S	A		N						9,900					
Aggr PO > $5K	SKYWORKS LLC 100 THIELMAN DR BUFFALO, NY 14206-2359	various	E	A		N						15,835					
Aggr PO > $5K	SLACK CHEMICAL CO INC 465 S CLINTON ST - PO BOX 30 CARTHAGE, NY 13619	various	E	A		N						9,927					

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Aggr PO > $5K	SNAP ON INCORPORATED 3011 IL ROUTE 176 CRYSTAL LAKE, IL 60014-2256	various	E	A		F						11,873					
Aggr PO > $5K	SNAP-ON INDUSTRIAL 21755 NETWORK PL CHICAGO, IL 60673-1217	various	E	A		F						21,661					
Aggr PO > $5K	SOMMERFIELD WILDLIFE CONTROL 28 S GRASSE RIVER RD MASSENA, NY 13662-3234	various	E	A		N						6,000					
Aggr PO > $5K	SOUTHERN STATES LLC 30 GEORGIA AVE HAMPTON, GA 30228-2950	various	E	A		F						13,457					
Aggr PO > $5K	SOUTHWORTH-MILTON INC 294 AINSLEY DR SYRACUSE, NY 13205	various	E	A		N						19,404					
Aggr PO > $5K	SPECTRA CONTRACT FLOORING PO BOX 208408 DALLAS, TX 75320-0001	various	E	A		F						5,262					
Aggr PO > $5K	SPX HEAT TRANSFER LLC 2121 N 161ST EAST AVE TULSA, OK 74116-4834	various	E	A		F						10,040					
Aggr PO > $5K	ST LAWRENCE SUPPLY CO PO BOX 5110 POTSDAM, NY 13676-5110	various	E	A		N						10,475					
Aggr PO > $5K	STANDARD BUYING SERVICE LTD ROOM 203 110 WEST 40TH STREET NEW YORK, NY 10018	various	E	A		N						9,000					
Aggr PO > $5K	STAPLES CONTRACT&COMMERCIAL INC 6040 DROTT DR EAST SYRACUSE, NY 13057-2943	various	E	A		N						13,762					
Aggr PO > $5K	STATE CHEMICAL SOLUTIONS 5915 LANDERBROOK DR - STE 300 MAYFIELD HEIGHTS, OH 44124-4034	various	E	A		F						6,252					
Aggr PO > $5K	STATEWIDE DISTRIBUTORS 1733 TILDEN AVE UTICA, NY 13501	various	E	A		N						9,170					
Aggr PO > $5K	STEEL SALES INC PO BOX 539 8085 STATE HIGHWAY 12 SHERBURNE, NY 13460	various	E	A		N	03					9,980					
Aggr PO > $5K	STEELCASE INC 901 44TH ST SE GRAND RAPIDS, MI 49508-7594	various	E	A		F						18,976					
Aggr PO > $5K	STONE INDUSTRIES LLC 4305 ROUTE 50 SARATOGA SPRINGS, NY 12866-2914	various	S	A		N						8,750					

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Aggr PO > $5K	STRITT & PRIEBE INC 37 CLYDE AVE BUFFALO, NY 14215	various	E	A		N						23,778					
Aggr PO > $5K	STUART C IRBY CO 4583 BUCKLEY RD LIVERPOOL, NY 13088-2508	various	E	A		N						107,161					
Aggr PO > $5K	SUBSURFACE UTILITY IMAGING LLC 6431 US HIGHWAY 11 - PO BOX 463 CANTON, NY 13617-3979	various	S	A		N						11,573					
Aggr PO > $5K	SUEZ WTS USA INC 4636 SOMERTON RD TREVOSE, PA 19053	various	E	A		F						29,680					
Aggr PO > $5K	SUPERIOR LUBRICANTS CO INC 32 WARD RD N TONAWANDA, NY 14120-2494	various	E	A		N						43,341					
Aggr PO > $5K	SUPERIOR PLUS ENERGY SERVICES INC 1870 WINTON RD S - STE 200 ROCHESTER, NY 14618-3960	various	E	A		N						5,697					
Aggr PO > $5K	SUR-SEAL INC 12 EDGEBORO RD - UNIT 6 EAST BRUNSWICK, NJ 08816-1651	various	E	A		F						14,004					
Aggr PO > $5K	SYSCO ALBANY LLC 1 LIEBICH LN CLIFTON PARK, NY 12065-1421	various	E	A		N						29,837					
Aggr PO > $5K	TALLMAN EQUIPMENT CO INC PO BOX 704 BENSENVILLE, IL 60106-0704	various	E	A		F						7,834					
Aggr PO > $5K	TEKTRONIX INC 428 PHOENIX DR ROME, NY 13441-4911	various	E	A		N						17,723					
Aggr PO > $5K	TEREX UTILITIES INC 500 OAKWOOK RD WATERTOWN, SD 57201-4166	various	E	A		F						5,911					
Aggr PO > $5K	THE WEEKS-LERMAN GROUP LLC 5838 PAGE PLACE MASPETH, NY 11378	various	E	A		N						9,111					
Aggr PO > $5K	THOMPSON FOUNDRY INC PO BOX 115 UNION HILL, NY 14563-0115	various	E	A		N						5,220					
Aggr PO > $5K	THREADED FASTENERS INC 358 SAINT LOUIS ST MOBILE, AL 36602-2825	various	E	A		F						12,205					
Aggr PO > $5K	THREE GALS INDUSTRIAL LLC PO BOX 177 OYSTER BAY, NY 11771-0177	various	E	A		N	03					58,095					
Aggr PO > $5K	THYSSEN ELEVATOR CO 6067 CORPORATE DR EAST SYRACUSE, NY 13057-1082	various	S	A		N						9,538					

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Aggr PO > $5K	THYSSENKRUPP ELEVATOR CORP 59 OTIS ST WEST BABYLON, NY 11704-1415	various	E	A		N						7,450					
Aggr PO > $5K	TIERNEY & COURTNEY INC 5842 MASPETH AVE MASPETH, NY 11378-2794	various	E	A		N						11,725					
Aggr PO > $5K	TIFCO INDUSTRIES INC 21400 US HYWY 290 CYPRESS, TX 77429	various	E	A		F						25,042					
Aggr PO > $5K	TIREHUB LLC 1 RAVINIA DR STE 1300 DUNWOODY, GA 30346-2128	various	E	A		F						49,210					
Aggr PO > $5K	TP WOODSIDE INC 60 LAWRENCE BELL DR WILLIAMSVILLE, NY 14221-7074	various	E	A		N						19,291					
Aggr PO > $5K	TRACEY ROAD EQUIP INC 6803 MANLIUS CENTER RD EAST SYRACUSE, NY 13057	various	E	A		N						9,000					
Aggr PO > $5K	TRACEY ROAD EQUIPMENT INC 6803 MANLIUS CENTER RD EAST SYRACUSE, NY 13057-3904	various	E	A		N						7,109					
Aggr PO > $5K	TRACK INC 1778 VT ROUTE 105 NEWPORT, VT 05855-9717	various	E	A		F						5,749					
Aggr PO > $5K	TRANSCAT INC 35 VANTAGE POINT DR ROCHESTER, NY 14624	various	E	A		N						10,481					
Aggr PO > $5K	TRIATHLON INDUSTRIES INC 87 N INDUSTRY CT - STE G DEER PARK, NY 11729-4607	various	E	A		N	03					26,770					
Aggr PO > $5K	TRIPLE A LUMBER INC 3 MALBY AVE MASSENA, NY 13662-2319	various	E	A		N						7,430					
Aggr PO > $5K	TRI-TOWN CLEANERS 26 ANDREWS ST MASSENA, NY 13662	various	S	A		N						14,268					
Aggr PO > $5K	TROY BELTING & SUPPLY COMPANY 70 COHOES RD WATERVLIET, NY 12189	various	E	A		N						5,179					
Aggr PO > $5K	TROY BOILER WORKS INC 2800 7TH AVE TROY, NY 12180-1587	various	S	A		N						6,600					
Aggr PO > $5K	TYNDALE CO 5050 APPLEBUTTER RD PIPERSVILLE, PA 18947-1808	various	E	A		F						19,550					
Aggr PO > $5K	U-LINE 400 BOULDER DR BREINIGSVILLE, PA 18031	various	E	A		F						28,172					

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Aggr PO > $5K	UNCLE SAM PIPING SOLUTIONS INC 60 113TH ST TROY, NY 12182-2849	various	E	A		N						7,691					
Aggr PO > $5K	UNIMAR INC 3195 VICKERY RD N SYRACUSE, NY 13212-4574	various	E	A		N						6,265					
Aggr PO > $5K	UNITED RENTALS (NORTH AMERICA) INC 7178 SCHUYLER RD EAST SYRACUSE, NY 13057-9743	various	E	A		N						13,547					
Aggr PO > $5K	UPSTONE MATERIALS INC 111 QUARRY RD PLATTSBURGH, NY 12901	various	E	A		N						6,632					
Aggr PO > $5K	US RUBBER SUPPLY CO 238 N 9TH ST BROOKLYN, NY 11211	various	E	A		N						10,698					
Aggr PO > $5K	UTICA PLUMBING SUPPLY CO 332 LAFAYETTE ST - PO BOX 533 UTICA, NY 13503	various	E	A		N						17,016					
Aggr PO > $5K	UTICA SPRAY & CHEMICAL CO INC 2 CAMPION RD NEW HARTFORD, NY 13413	various	E	A		N						9,719					
Aggr PO > $5K	VIKING-CIVES (USA) RR#2 BOX 36-1/2 HARRISVILLE, NY 13648-9519	various	E	A		N						9,813					
Aggr PO > $5K	VILLAGE FIRE EXTINGUISHER CO INC 7235 EDSALL AVE GLENDALE, NY 11385-7322	various	S	A		N						9,141					
Aggr PO > $5K	VOITH HYDRO INC 760 E BERLIN RD YORK, PA 17408-8701	various	E	A		F						8,539					
Aggr PO > $5K	W B MASON CO INC 59 CENTRE ST - PO BOX 111 BROCKTON, MA 02303-0111	various	E	A		F						15,369					
Aggr PO > $5K	WASTE MANAGEMENT OF NY-UTICA 2003 BLEECKER ST UTICA, NY 13501-1711	various	S	A		N						5,500					
Aggr PO > $5K	WELLS TECHNOLOGY INC 4885 WINDSOR CT NW BEMIDJI, MN 56601-7659	various	E	A		F	04					95,802					
Aggr PO > $5K	WESCO DISTRIBUTION INC 465 NEWELL ST - PO BOX 207 WATERTOWN, NY 13601-2427	various	E	A		N						15,137					
Aggr PO > $5K	WESCO DISTRIBUTION INC 120 GALLERIA DR CHEEKTOWAGA, NY 14225-5193	various	E	A		N						65,143					

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Aggr PO > $5K	WESCO DISTRIBUTION INC PO BOX 390 SYRACUSE, NY 13201-0390	various	E	A		N						146,389					
Aggr PO > $5K	WEST MARINE PRODUCTS INC 2192 NIAGARA ST BUFFALO, NY 14207-14027	various	E	A		N						11,362					
Aggr PO > $5K	WESTERN NEW YORK FLUID SYSTEM 6511 BASILE ROWE EAST SYRACUSE, NY 13057-2928	various	E	A		N						6,859					
Aggr PO > $5K	WILCOX PAPER CO PO BOX 378 SYRACUSE, NY 13206-0378	various	E	A		N						6,630					
Aggr PO > $5K	WINTERS BROS HAULING OF LI LLC 1198 PROSPECT AVE WESTBURY, NY 11590-2723	various	E	A		N						9,900					
Aggr PO > $5K	WOODCHOP SHOP INC 352 COWAN RD CANTON, NY 13617-3965	various	E	A		N						7,447					
Aggr PO > $5K	WOODWARD CO 9 BURDICK DR ALBANY, NY 12205-0309	various	E	A		N						9,120					
Aggr PO > $5K	WORLD WIDE GAS TURBINE PRODUCTS INC 300 COMMERCE DR CLIFTON PARK, NY 12065-1317	various	E	A		N						13,780					
Aggr PO > $5K	WORLDWIDE TRAVEL STAFFING LIMITED 2829 SHERIDAN DR TONAWANDA, NY 14150-9420	various	S	A		N						18,000					
Aggr PO > $5K	WORTHINGTON COMPRESSOR SERVICES 3200 ENGINEERING PKWY ALPHARETTA, GA 30004-7853	various	E	A		F						14,438					
Aggr PO > $5K	YOKOGAWA CORPORATION OF AMERICA 2 DART RD NEWNAN, GA 30265-1040	various	S	A		F						9,426					
Aggr PO > $5K	YORK LADDER INC 3720 12TH ST LONG ISLAND CITY, NY 11101-6098	various	E	A		N						15,079					
Aggr CC > $5K	4 SEASONS TIRE & AUTO 100 SPRUCE ST ILION, NY 13357	various	E	A		N						16,133					
Aggr CC > $5K	4TE REMOTE SATELLITE S 1455 N DUTTON AVE STE A SANTA ROSA, CA 95401	various	E	A		F						5,275					
Aggr CC > $5K	55 ALLIED BLDG PROD 24 RAILROAD AVE ALBANY, NY 12205	various	E	A		N						8,547					

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Aggr CC > $5K	8482 BALDWIN HALL 6552 RIDINGS RD SYRACUSE, NY 13206	various	E	A		N						17,213					
Aggr CC > $5K	A & C FURIA 75 LAFAYETTE AVENUE WHITE PLAINS, NY 10603	various	S	A		N						6,382					
Aggr CC > $5K	A BETTER BITE 99 WASHINGTON AVE ALBANY, NY 12210	various	E	A		N						15,902					
Aggr CC > $5K	A J MADISON 3605 13TH AVE BROOKLYN, NY 11218	various	E	A		N						13,812					
Aggr CC > $5K	ABC-US, INC 4989 PEACHTREE PKWY ST NORCROSS, GA 30092	various	E	A		F						6,875					
Aggr CC > $5K	ADIRONDACK ENVIRONMENT 314 NORTH PEARL ST ALBANY, NY 12207	various	S	A		N						20,622					
Aggr CC > $5K	ADMAR SUPPLY LATHAM 878 OLD ALBANY SHAKER RO LATHAM, NY 12110	various	E	A		N						17,762					
Aggr CC > $5K	ADOBE 345 PARK AVENUE SAN JOSE, CA 95110	various	I	A		F						33,535					
Aggr CC > $5K	AEF SALES 1500 SUNNYSIDE AVE. MAMARONECK, NY 10543	various	E	A		N						5,413					
Aggr CC > $5K	AIR ENGINEERING FI 17 MEMORIAL DRIVE CHAPPAQUA, NY 10514	various	S	A		N						6,000					
Aggr CC > $5K	AIRGAS USA, LLC 6055 ROCKSIDE WOODS BLVD INDEPENDENCE, OH 44131	various	E	A		F						6,099					
Aggr CC > $5K	ALBANY STEEL INC 566 BROADWAY ALBANY, NY 12204	various	E	A		N						35,641					
Aggr CC > $5K	ALBAS PIZZA & RESTAURA 36-20 DITMARS BLVD ASTORIA, NY 11105	various	E	A		N						5,409					
Aggr CC > $5K	ALBION ACE HARDWARE 146 S MAIN ST ALBION, NY 14411	various	E	A		N						6,890					
Aggr CC > $5K	ALL LIFTS - MOTO 27-39 THATCHER ST ALBANY, NY 12207	various	E	A		N						15,420					
Aggr CC > $5K	AMAZON.COM 440 TERRY AVE N SEATTLE, WA 98109	various	E	A		F						324,016					
Aggr CC > $5K	AMERICAN SPOT COOL 219 LUDLOW ST, BUSINESS B WORCESTER, MA 01603	various	S	A		F						10,208					

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Aggr CC > $5K	AMISH BARN COMPANY LLC 6048 STATE HIGHWAY 7 ONEONTA, NY 13820	various	E	A		N						5,675					
Aggr CC > $5K	AMSTERDAM ELECTRIC 314 DIVISION ST AMSTERDAM, NY 12010	various	E	A		N						5,487					
Aggr CC > $5K	APPLE.COM/US ONE APPLE PARK WAY CUPERTINO, CA 95014	various	H	A		F						6,141					
Aggr CC > $5K	ARNOLDS AUTO PARTS INC 116 N LIBERTY ST ALBION, NY 14411	various	E	A		N						17,226					
Aggr CC > $5K	ART-TECH PROMOTION 3306 PONCE DE LEON BOULEV MIAMI, FL 33134	various	E	A		F						27,727					
Aggr CC > $5K	ATEC GROUP 1762 CENTRAL AVE ALBANY, NY 12205	various	H	A		N						14,474					
Aggr CC > $5K	AUTOZONE #2953 6780 ROUTE 31 E NEWARK, NY 14513	various	E	A		N						9,570					
Aggr CC > $5K	A-VERDI LLC 14150 NY-31 SAVANNAH, NY 13146	various	E	A		N						9,125					
Aggr CC > $5K	B&B ROADWAY 15191 HIGHWAY 243 RUSSELLVILLE, AL 35654	various	E	A		F						8,330					
Aggr CC > $5K	B&H PHOTO MOTO 420 9TH AVE NEW YORK, NY 10001	various	E	A		N						10,030					
Aggr CC > $5K	BEATON INDUSTRIAL 6083 TRENTON RD UTICA, NY 13502	various	E	A		N						6,186					
Aggr CC > $5K	BENFIELD ELECTRIC SUPP 25 LAFAYETTE AVENUE WHITE PLAINS, NY 10603	various	S	A		N						12,665					
Aggr CC > $5K	BETLEM SERVICE CORPORA 704 CLINTON AVE S ROCHESTER, NY 14620	various	S	A		N						5,475					
Aggr CC > $5K	BJS WHOLESALE #0097 13705 20TH AVE COLLEGE POINT, NY 11356	various	E	A		N						8,423					
Aggr CC > $5K	BJS WHOLESALE #0301 6100 SAINT LAWRENCE CTR MASSENA, NY 13662	various	E	A		N						8,479					
Aggr CC > $5K	BLEVINS SEAWAY MOTORS 98 CENTER ST MASSENA, NY 13662	various	E	A		N						9,200					
Aggr CC > $5K	BOBCAT OF SARATOGA LLC 1279 SARATOGA RD GANSEVOORT, NY 12831	various	E	A		N						11,818					

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Aggr CC > $5K	BRAY SALES INC 13333 WESTLAND EAST HOUSTON, TX 77041	various	S	A		F						7,780					
Aggr CC > $5K	BURGOYNE QUALITY HAR 3093 STATE ROUTE 4 HUDSON FALLS, NY 12839	various	E	A		N						8,060					
Aggr CC > $5K	BURKE S HOME CENTER 13 65 N 2ND ST # 1358 1358 FULTON, NY 13069	various	E	A		N						8,001					
Aggr CC > $5K	BUYDOORHARDWARE 7700 EASTPORT PARKWAY LEES SUMMIT, MO 64064	various	E	A		F						8,154					
Aggr CC > $5K	C AND M ENTERPRISES 1803 YOUNGS RD DELANSON, NY 12053	various	E	A		N						5,874					
Aggr CC > $5K	CAMILLES SIDEWALK CAFE 15 BANK ST WHITE PLAINS, NY 10606	various	E	A		N						33,769					
Aggr CC > $5K	CANON SOLUTIONS AMER I 100 PARK BOULEVARD ITASCA, IL 60143	various	E	A		F						15,405					
Aggr CC > $5K	CDW 200 N MILWAUKEE AVE. VERNON HILLS, IL 60061	various	H	A		F						38,651					
Aggr CC > $5K	CELLULAR SALES MG-1B 9040 EXECUTIVE PARK DR KNOXVILLE, TN 37923	various	T	A		F						8,960					
Aggr CC > $5K	CINTAS CORP 6800 CINTAS BLVD MASON, OH 45040	various	E	A		F						16,105					
Aggr CC > $5K	CITY PLUMBING & ELECTR 730 E E BUTLER PARKWAY GAINESVILLE, GA 30501	various	E	A		F						6,368					
Aggr CC > $5K	CONNECTION 730 MILFORD ROAD RTE MERRIMACK, NH 03054	various	E	A		F						10,912					
Aggr CC > $5K	COOK BROTHERS TRUCK PA 36 WURZ AVE UTICA, NY 13502	various	E	A		N						6,760					
Aggr CC > $5K	COOPERFRIEDMAN NIAGARA 910 FASHION OUTLET BLVD NIAGARA FALLS, NY 14304	various	E	A		N						15,201					
Aggr CC > $5K	COOPERFRIEDMAN OSWEGO 468 W 1ST ST OSWEGO, NY 13126	various	E	A		N						6,114					
Aggr CC > $5K	CS BUSINESS SYSTEMS 1236 MAIN STREET BUFFALO, NY 14209	various	H	A		N						8,917					
Aggr CC > $5K	CYLINDER SERVICES 900 MAPLE STREET ROCHESTER, NY 14611	various	E	A		N						12,545					

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Aggr CC > $5K	D & W DIESEL, INC. 1503 CLARK STREET ROAD AUBURN, NY 13021	various	E	A		N						9,743					
Aggr CC > $5K	DART SEASONAL PRODUCTS 100 CEDARHURST AVE CEDARHURST, NY 11516	various	S	A		N						7,569					
Aggr CC > $5K	DATABIT INC 200 STATE RT 17 MAHWAH, NJ 07430	various	H	A		F						11,184					
Aggr CC > $5K	DELOKA LLC 150 DUNN RD LYONS, NY 14489	various	S	A		N						14,281					
Aggr CC > $5K	DIRECT METALS COMPANY 3775 COBB INTL BLVD NW KENNESAW, GA 30152	various	E	A		F						6,129					
Aggr CC > $5K	DISPLAYS2GO 81 COMMERCE DRIVE FALL RIVER, MA 02720	various	E	A		F						6,234					
Aggr CC > $5K	DIVAL SAFETY EQUIPMENT 1721 NIAGARA STREET BUFFALO, NY 14207	various	E	A		N						7,785					
Aggr CC > $5K	DMI DELL HLTHCR/REL ONE DELL WAY ROUND ROCK, TX 78682	various	H	A		F						27,152					
Aggr CC > $5K	DS SERVICES STANDARD C 2300 WINDY RIDGE PKW ATLANTA, GA 30339	various	E	A		F						5,062					
Aggr CC > $5K	DURAMAX MARINE LLC 17990 GREAT LAKES PKWY HIRAM, OH 44234	various	E	A		F						8,497					
Aggr CC > $5K	DVIDEO PRODUCTIONS STU 2900 WESTCHESTER AVESUITE PURCHASE, NY 10577	various	I	A		N						17,160					
Aggr CC > $5K	E & V ENERGY CORPORATI 2737 ERIE DR WEEDSPORT, NY 13166	various	S	A		N						11,826					
Aggr CC > $5K	E-HAZARD.COM 3018 EASTPOINT PARKWAY LOUISVILLE, KY 40223	various	S	A		F						6,000					
Aggr CC > $5K	ELLICOTT DREDGES LLC 1611 BUSH ST BALTIMORE, MD 21230	various	E	A		F						7,902					
Aggr CC > $5K	EMPIRE HYDRAULICS & MA 13428 VICTORY LANE PHOENIX, NY 13135	various	E	A		N						5,112					
Aggr CC > $5K	EUCI 4601 DTC BLVD STE 80 DENVER, CO 80237	various	S	A		F						9,560					
Aggr CC > $5K	E-Z PASSNY REBILL 1150 SOUTH AVE STATEN ISLAND, NY 10314	various	E	A		N						25,980					

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Aggr CC > $5K	F.W. WEBB - 59 415 BROAD ST UTICA, NY 13501	various	E	A		N						6,333					
Aggr CC > $5K	FASTENAL COMPANY 11270 MAPLE RIDGE RD MEDINA, NY 14103	various	E	A		N						36,597					
Aggr CC > $5K	FEDERAL SHEET METAL WO 1416 DUDLEY AVE UTICA, NY 13501	various	E	A		N						9,050					
Aggr CC > $5K	FIBER INSTRUMENT & S 161 CLEAR RD ORISKANY, NY 13424	various	S	A		N						9,818					
Aggr CC > $5K	FIRST CHOICE ELECTRIC 319 W UNION STREET NEWARK, NY 14513	various	E	A		N						7,942					
Aggr CC > $5K	FISHER AUTO PARTS 215 36 WURZ AVE STE #2 UTICA, NY 13502	various	E	A		N						18,557					
Aggr CC > $5K	FIVE STAR EQUIPMENT EA 6500 E TAFT RD EAST SYRACUSE, NY 13057	various	E	A		N						6,803					
Aggr CC > $5K	FOUR SEASONS RV RENTAL 724 OLD LIVERPOOL RD LIVERPOOL, NY 13088	various	E	A		N						5,000					
Aggr CC > $5K	GARDNERS FLOORING & FU 325 CEDAR ST OGDENSBURG, NY 13669	various	E	A		N						7,816					
Aggr CC > $5K	GEEKLANDUSA 7700 EASTPORT PARKWAY ATLANTA, GA 30309	various	E	A		F						10,163					
Aggr CC > $5K	GENESIS ENVIRONMENTAL 8422 S 7 HWY. BLUE SPRINGS, MO 64014	various	S	A		F						16,185					
Aggr CC > $5K	GJLAGO 7700 EASTPORT PARKWAY SAN JOSE, CA 95131	various	E	A		F						9,100					
Aggr CC > $5K	GLADD SECURITY INC 5390 S BAY RD SYRACUSE, NY 13212	various	E	A		N						6,411					
Aggr CC > $5K	GODADDY.COM 7700 EASTPORT PARKWAY SCOTTSDALE, AZ 85260	various	I	A		F						5,925					
Aggr CC > $5K	GOVCNCTN 706 MILFORD ROAD MERRIMACK, NH 03054	various	H	A		F						12,087					
Aggr CC > $5K	GRAINGER 100 GRAINGER PKWY LAKE FOREST, IL 60045	various	E	A		F						209,882					
Aggr CC > $5K	GRAPHIC MANAGEMENT PAR 47 PURDY AVE STE 2 PORT CHESTER, NY 10573	various	S	A		N						5,837					

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Aggr CC > $5K	GRAPHIC PRODUCTS INC 9825 SW SUNSHINE CT BEAVERTON, OR 97005	various	E	A		F						9,633					
Aggr CC > $5K	GRASP TECHNOLOGIES, IN 3550 CAMINO DEL RIO NORTH SAN DIEGO, CA 92108	various	I	A		F						9,998					
Aggr CC > $5K	GREEN MOUNTAIN ELECTRI 356 RATHE RD COLCHESTER, VT 05446	various	E	A		F						6,173					
Aggr CC > $5K	GRIMCO INC 11745 SAPPINGTON BRKS RD SAINT LOUIS, MO 63127	various	E	A		F						7,581					
Aggr CC > $5K	GROUP IMAGING 751 N COUNTRY CLUB DR MESA, AZ 85201	various	E	A		F						6,290					
Aggr CC > $5K	HARBOR FREIGHT TOOLS 7 6515 BROCKPORT SPENCERPO BROCKPORT, NY 14420	various	E	A		N						6,093					
Aggr CC > $5K	HARVARD MAINTENANCE 201 S BISCAYNE BLVD 24TH MIAMI, FL 33131	various	S	A		F						5,678					
Aggr CC > $5K	HAUN - UTICA 728 BROAD ST UTICA, NY 13502	various	E	A		N						11,680					
Aggr CC > $5K	HAUN WELDING SUPPLY 5921 COURT STREET RD SYRACUSE, NY 13206	various	E	A		N						6,381					
Aggr CC > $5K	HD SUPPLY WHITE CAP #5 106 BOSS RD SYRACUSE, NY 13211	various	E	A		N						10,634					
Aggr CC > $5K	HEWLETT-PACKARD CO 3000 HANOVER ST PALO ALTO, CA 94304	various	H	A		F						19,800					
Aggr CC > $5K	HOFFMAN BOOTS 100 E RIVERSIDE AVE KELLOGG, ID 83837	various	E	A		F						10,249					
Aggr CC > $5K	HOMEDEPOT.COM 2455 PACES FERRY ROAD ATLANTA, GA 30339	various	E	A		F						10,311					
Aggr CC > $5K	HP DIRECT-ENTERPRISE 1501 PAGE MILL ROAD PALO ALTO, CA 94304	various	H	A		F						23,314					
Aggr CC > $5K	HUBBELL GALVANIZING, I 5124 COMMERCIAL DRIVE EAS YORKVILLE, NY 13495	various	S	A		N						6,826					
Aggr CC > $5K	HUNT UNDERWATER SP 40768 NEW YORK 12 CLAYTON, NY 13624	various	S	A		N						7,105					
Aggr CC > $5K	ICM MECHANICAL CON 1205 SAW MILL RIVER RD YONKERS, NY 10710	various	S	A		N						8,217					

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Aggr CC > $5K	IHS GLOBAL 15 INVERNESS WAY E ENGLEWOOD, CO 80112	various	E	A		F						9,400					
Aggr CC > $5K	INDIANA SAFETY & SUPPL 1001 NE 3RD ST WASHINGTON, IN 47501	various	E	A		F						9,120					
Aggr CC > $5K	INDUSTRIAL HANDLIN 209 ALPLAUS AVE ALPLAUS, NY 12008	various	S	A		N						5,171					
Aggr CC > $5K	INKWELL GLOBAL MARKETI 600 MADISON AVE ENGLISHTOWN, NJ 07726	various	E	A		F						11,983					
Aggr CC > $5K	INT JCRANE EQUIPME 10315 W US ROUTE 36 COVINGTON, OH 45318	various	E	A		F						8,513					
Aggr CC > $5K	INT'L CODE COUNCIL INC 4051 W FLOOSMOOR RD COUNTRY CLUB HILLS, IL 60478	various	E	A		F						9,068					
Aggr CC > $5K	IRON HORSE WELDING 329 COUNTY ROUTE 357 MEDUSA, NY 12120	various	E	A		N						5,346					
Aggr CC > $5K	IVCI LLC 601 OLD WILLETS PATH HAUPPAUGE, NY 11788	various	I	A		N						8,787					
Aggr CC > $5K	JANITRONICS 1988 CENTRAL AVE ALBANY, NY 12205	various	S	A		N						13,734					
Aggr CC > $5K	JC SMITH INC 12 RAILROAD AVE ALBANY, NY 12205	various	E	A		N						7,132					
Aggr CC > $5K	JOHN MINI LANDSCAPES 250 BRENNER DRIVE CONGERS, NY 10920	various	S	A		N						11,549					
Aggr CC > $5K	JOHN W DANFORTH COMPAN 300 COLVIN WOODS PARKWAY TONAWANDA, NY 14150	various	S	A		N						9,914					
Aggr CC > $5K	JOHNSON AUTO PARTS 208 N PERRY ST JOHNSTOWN, NY 12095	various	E	A		N						10,206					
Aggr CC > $5K	JOHNSTONE SUPPLY 2600 6TH AVE TROY, NY 12180	various	E	A		N						6,712					
Aggr CC > $5K	KIVORT STEEL 380 HUDSON RIVER RD WATERFORD, NY 12188	various	E	A		N						10,359					
Aggr CC > $5K	KLEIN STEEL SERVICE 105 VANGUARD PKWY ROCHESTER, NY 14606	various	E	A		N						39,363					
Aggr CC > $5K	LANDPRO EQUIPMENT LLC 13330 RT 31 SAVANNAH, NY 13146	various	E	A		N						13,190					

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Aggr CC > $5K	LEWIS GENERAL TIRES 3870 W. HENRIETTA RD. ROCHESTER, NY 14623	various	E	A		N						7,379					
Aggr CC > $5K	LIEBERT SERVICES INC. 610 EXECUTIVE CAMPUS DR # WESTERVILLE, OH 43082	various	S	A		F						7,515					
Aggr CC > $5K	LINDENMEYR MUNROE 115 MOONACHIE AVENUE MOONACHIE, NJ 07074	various	E	A		F						33,540					
Aggr CC > $5K	LOGMEIN RESCUE 320 SUMMER ST BOSTON, MA 02210	various	I	A		F						8,993					
Aggr CC > $5K	LOWES #00523 710 HORATIO STREET UTICA, NY 13502	various	E	A		N						20,775					
Aggr CC > $5K	LOWES #00641 251 QUAKER RD. QUEENSBURY, NY 12804	various	E	A		N						9,445					
Aggr CC > $5K	LOWES #01880 4825 STATE HIGHWAY 30 AMSTERDAM, NY 12010	various	E	A		N						5,194					
Aggr CC > $5K	LOWES #02379 3856 STATE ROUTE 31 LIVERPOOL, NY 13090	various	E	A		N						8,403					
Aggr CC > $5K	LOWES #02400 182 LOWES BOULEVARD HERKIMER, NY 13350	various	E	A		N						7,554					
Aggr CC > $5K	LOWES #02434 300 OWENS RD BROCKPORT, NY 14420	various	E	A		N						8,627					
Aggr CC > $5K	LOWES #02759 3030 SESSLER DRIVE GENEVA, NY 14456	various	E	A		N						12,314					
Aggr CC > $5K	MACKENZIE DOOR CO 4900 WEST SIDE AVENUE NORTH BERGEN, NJ 07047	various	S	A		F						8,945					
Aggr CC > $5K	MACLEOD S LUMBER AND H 9870 STATE ROUTE 4 WHITEHALL, NY 12887	various	E	A		N						6,798					
Aggr CC > $5K	MATHWORKS 3 APPLE HILL DRIVE NATICK, MA 01760	various	I	A		F						5,955					
Aggr CC > $5K	MCMASTER-CARR 600 N COUNTY LINE RD ELMHURST, IL 60126	various	E	A		F						37,131					
Aggr CC > $5K	MCQUADE AND BANNIGAN 1300 STARK ST UTICA, NY 13502	various	E	A		N						29,163					
Aggr CC > $5K	MENARDS E-COMMERCE 5106 OLD MILL CENTER BLDG EAU CLAIRE, WI 54703	various	E	A		F						8,371					

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Aggr CC > $5K	METROCOM WIRELESS, 31 PLAINFIELD AVENUE BEDFORD HILLS, NY 10507	various	E	A		N						6,782					
Aggr CC > $5K	MILTON CAT 294 AINSLEY DRIVE SYRACUSE, NY 13210	various	E	A		N						18,996					
Aggr CC > $5K	MJ DALY LLC 300 SCHRAFFTS DRIVE WATERBURY, CT 06705	various	S	A		F						7,013					
Aggr CC > $5K	MOLEY MAGNETICS INC 5202 COMMERCE DR LOCKPORT, NY 14094	various	S	A		N						17,534					
Aggr CC > $5K	MONROE TRACTOR SYRACUS 7300 EASTMAN RD SYRACUSE, NY 13212	various	E	A		N						6,184					
Aggr CC > $5K	MONROEMEDIA 7700 EASTPORT PARKWAY SAN JOSE, CA 95131	various	S	A		F						9,998					
Aggr CC > $5K	MRE STAR 5705 90TH AVE CIR E PARRISH, FL 34219	various	E	A		F						12,221					
Aggr CC > $5K	MSC 75 MAXESS RD MELVILLE, NY 11747	various	E	A		N						20,847					
Aggr CC > $5K	MULTI MEDIA PROMOTIO 33 SOUTHWICK CT SOUTH PLAINVIEW, NY 11803	various	S	A		N						9,069					
Aggr CC > $5K	NANOTOUCH RETAIL S CENTER FOR INNOVATION IN FOREST, VA 24551	various	E	A		F						7,948					
Aggr CC > $5K	NAPA STORE 0508086 369 2ND AVENUE TROY, NY 12182	various	E	A		N						9,982					
Aggr CC > $5K	NAPA STORE 0677042 6041 SOUTH TRANSIT ROAD LOCKPORT, NY 14094	various	E	A		N						15,071					
Aggr CC > $5K	NAPA STORE 0895005 74 EAST GENESEE STREET BALDWINSVILLE, NY 13027	various	E	A		N						7,639					
Aggr CC > $5K	NATIONAL CONSTRUCTION 15319 CHATSWORTH ST MISSION HILLS, CA 91345	various	E	A		F						7,980					
Aggr CC > $5K	NATIONAL GRID 300 ERIE BOULEVARD WEST SYRACUSE, NY 13202	various	E	A		N						7,911					
Aggr CC > $5K	NEWEGG INC 17560 ROWLAND ST ROWLAND HEIGHTS, CA 91748	various	H	A		F						22,240					
Aggr CC > $5K	NIAGARA FRONTIER EQ SA 4060 LAKE AVE LOCKPORT, NY 14094	various	E	A		N						5,290					

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Aggr CC > $5K	NORTHEAST CRANE MAT CO 1210 VAUGHN RD QUEENSBURY, NY 12804	various	E	A		N						5,535					
Aggr CC > $5K	NORTHERN INDUSTRIAL SU 482 LOCUST GROVE ROAD GREENFIELD CENTER, NY 12833	various	E	A		N						9,114					
Aggr CC > $5K	NURSE SERVICES (1) 123 MAIN STREET WHITE PLAINS, NY 10601	various	P	A		N						22,209					
Aggr CC > $5K	NURSE SERVICES (2) 123 MAIN STREET WHITE PLAINS, NY 10601	various	P	A		N						25,952					
Aggr CC > $5K	NURSE SERVICES (3) 123 MAIN STREET WHITE PLAINS, NY 10601	various	P	A		N						27,380					
Aggr CC > $5K	NUWAY CONCRETE EQUIPME 5890 FISHER RD EAST SYRACUSE, NY 13057	various	E	A		N						7,005					
Aggr CC > $5K	OCS CHEMICAL ENGINEERI 1062 OREGON RD CORTLANDT MANOR, NY 10567	various	S	A		N						13,450					
Aggr CC > $5K	OFFICEDEPOT 7700 EASTPORT PARKWAY NEWVILLE, PA 17241	various	E	A		F						7,391					
Aggr CC > $5K	ORVILLES HOME APPLIANC 4555 BAILEY AVE BUFFALO, NY 14226	various	E	A		N						7,492					
Aggr CC > $5K	PACEMAKER STEEL 501 MAIN ST UTICA, NY 13501	various	E	A		N						19,345					
Aggr CC > $5K	PARADIGM ENVIRONMENTAL 179 LAKE AVENUE ROCHESTER, NY 14608	various	S	A		N						5,527					
Aggr CC > $5K	PC RICHARD & SON #29 3518 STEINWAY LONG ISLAND CITY, NY 11101	various	E	A		N						5,522					
Aggr CC > $5K	PIERCE STEEL FABRICATO 430 N 7TH ST OLEAN, NY 14760	various	E	A		N						6,944					
Aggr CC > $5K	PIPEDREAM SERVICE OF W 10 FRONCKOWIAK AVE BUFFALO, NY 14227	various	S	A		N						5,000					
Aggr CC > $5K	POLLINATORP 7700 EASTPORT PARKWAY SAN FRANCISCO, CA 94111	various	S	A		F						6,164					
Aggr CC > $5K	POSITIVE PROMOTIONS 15 GILPIN AVE HAUPPAUGE, NY 11788	various	E	A		N						5,449					
Aggr CC > $5K	PP COMMERCIALD 7700 EASTPORT PARKWAY THERESA, NY 13691	various	S	A		N						6,306					

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Aggr CC > $5K	PRAGMATIC MARKETING LL 8960 E RAINTREE DR SCOTTSDALE, AZ 85260	various	P	A		F						6,970					
Aggr CC > $5K	PREFERRED CHEMICAL 919 LONDONDERRY CT SCHENECTADY, NY 12309	various	E	A		N						35,380					
Aggr CC > $5K	PRINTING EMPORIUM 14 KEES PLACE MERRICK, NY 11566	various	E	A		N						74,132					
Aggr CC > $5K	PROFESSIONAL FLIGHT MA 555 E CITY AVE STE 5 BALA CYNWYD, PA 19004	various	I	A		F						17,718					
Aggr CC > $5K	PROFTECH LLC 200 CLEARBROOK RD ELMSFORD, NY 10523	various	E	A		N						12,019					
Aggr CC > $5K	PUMP SVC & SUPPLY,INC. 1 REGATTA PLACE TROY, NY 12180	various	S	A		N						42,031					
Aggr CC > $5K	QUENCH USA, INC. 630 ALLENDALE RD STE 200 KING OF PRUSSIA, PA 19406	various	S	A		F						7,874					
Aggr CC > $5K	RCN COMMUNICATIONS 220 JENNINGS AVENUE KNOXVILLE, TN 37917	various	H	A		F						12,702					
Aggr CC > $5K	READY STORE 14015 MINUTEMAN DR DRAPER, UT 84020	various	E	A		F						18,042					
Aggr CC > $5K	READYREFRESH BY NESTLE 2767 E IMPERIAL HWY STE 1 BREA, CA 92821	various	E	A		F						9,062					
Aggr CC > $5K	REGIONAL INT HENRIETTA 1007 LEHIGH STATION RD HENRIETTA, NY 14467	various	E	A		N						6,969					
Aggr CC > $5K	REIGN VERMONT 4403 MAIN STREET WAITSFIELD, VT 05673	various	E	A		F						13,000					
Aggr CC > $5K	RESTAURANT DEPOT 4340 57TH AVE MASPETH, NY 11378	various	E	A		N						5,256					
Aggr CC > $5K	ROBERT FINKE AND SONS 1569 ROUTE 9 W SELKIRK, NY 12158	various	S	A		N						8,210					
Aggr CC > $5K	RS MEANS 30 PATEWOOD DR STE 350 GREENVILLE, SC 29615	various	E	A		F						6,141					
Aggr CC > $5K	RUGGED DEPOT LLC 7700 EASTPORT PARKWAY HARTSEL, CO 80449	various	H	A		F						8,849					
Aggr CC > $5K	S&P GLOBAL PLATTS 55 WATER STREET NEW YORK, NY 10041	various	E	A		N						13,783					

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Aggr CC > $5K	SAA LOGISTICS INC 527 TOWNLINE ROAD HAUPPAUGE, NY 11788	various	S	A		N						8,741					
Aggr CC > $5K	SAFWAY SERVICES #56 36 BROADWAY ALBANY, NY 12204	various	E	A		N						23,652					
Aggr CC > $5K	SAMS OF GEDNEY WAY 52 GEDNEY WAY WHITE PLAINS, NY 10605	various	E	A		N						5,525					
Aggr CC > $5K	SAMSCLUB.COM 608 SW 8TH ST BENTONVILLE, AR 72712	various	E	A		F						11,323					
Aggr CC > $5K	SANTELLI LUMBER-LYONS 16 FORGHAM ST LYONS, NY 14489	various	E	A		N						13,570					
Aggr CC > $5K	SELLSTROM MANUFACTURIN 2050 HAMMOND DR SCHAUMBURG, IL 60173	various	S	A		F						7,407					
Aggr CC > $5K	SENTECPROMO 7700 EASTPORT PARKWAY SAN JOSE, CA 95131	various	E	A		F						9,888					
Aggr CC > $5K	SHAKO 190 OLD LOUDON RD LATHAM, NY 12110	various	E	A		N						16,441					
Aggr CC > $5K	SHANE SYRACUSE INC 900 N STATE ST SYRACUSE, NY 13208	various	E	A		N						37,079					
Aggr CC > $5K	SHARE CORPORATION 7821 N FAULKNER MILWAUKEE, WI 53224	various	E	A		F						23,528					
Aggr CC > $5K	SMITH CONTROL SYSTEMS 1839 ROUTE 9H HUDSON, NY 12534	various	S	A		N						5,226					
Aggr CC > $5K	SMK SURVEYMONKEY.COM 285 HAMILTON AVE PALO ALTO, CA 94301	various	I	A		F						5,883					
Aggr CC > $5K	SOLUTIONS IN SCIEN 15070 KOMEDAL RD NE BAINBRIDGE ISLAND, WA 98110	various	S	A		F						8,214					
Aggr CC > $5K	STAPLES DIRECT 500 STAPLES DRIVE FRAMINGHAM, MA 01702	various	E	A		F						13,169					
Aggr CC > $5K	STEPHENSON EQUIPMENT 7201 PAXTON STREET HARRISBURG, PA 17111	various	E	A		F						6,202					
Aggr CC > $5K	SYNACKTEK LLC 15 SERENE DR SHELTON, CT 06484	various	I	A		F						5,639					
Aggr CC > $5K	TEQUIPMENT.NET 205 WESTWOOD AVE. LONG BRANCH, NJ 07740	various	E	A		F						18,147					

CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	FRT	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O\C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
Aggr CC > $5K	THE EMPIRE CRANE COMP 7021 PERFORMANCE DR SYRACUSE, NY 13212	various	E	A		N						11,499					
Aggr CC > $5K	THE HOME DEPOT #1287 750 BUILDERS WAY NIAGARA FALLS, NY 14304	various	E	A		N						5,305					
Aggr CC > $5K	THE HOME DEPOT #8996 41 STEPHENVILLE RD MASSENA, NY 13662	various	E	A		N						5,412					
Aggr CC > $5K	THE HOME DEPOT 1246 770 JEFFERSON ROAD ROCHESTER, NY 14623	various	E	A		N						5,141					
Aggr CC > $5K	THE HOME DEPOT PRO 801 WEST BAY STREET JACKSONVILLE, FL 32204	various	E	A		F						33,908					
Aggr CC > $5K	THE IRON TOMATO 57 MAMARONECK AVE WHITE PLAINS, NY 10601	various	E	A		N						112,875					
Aggr CC > $5K	THE WEBSTAURANT STORE 2205 OLD PHILADELPHIA PIK LANCASTER, PA 17602	various	E	A		F						13,005					
Aggr CC > $5K	TIDELAND SIGNAL 4310 DIRECTORS ROW HOUSTON, TX 77092	various	E	A		F						13,767					
Aggr CC > $5K	TLC OFFICE CLEANERS 58 KRYSTAL DR SOMERS, NY 10589	various	S	A		N						6,575					
Aggr CC > $5K	TRACEY ROAD EQUIPMENT 300 MIDDLE RD HENRIETTA, NY 14467	various	E	A		N						29,761					
Aggr CC > $5K	TROY BOILER WORKS, INC 2800 7TH AVE TROY, NY 12180	various	S	A		N						5,030					
Aggr CC > $5K	TRUE NORTH TEAM BUILDI 6 TROWBRIDGE DR BETHEL, CT 06801	various	S	A		F						7,674					
Aggr CC > $5K	ULINE SHIP SUPPLIES 12575 ULINE DR PLEASANT PRAIRIE, WI 53158	various	E	A		F						11,399					
Aggr CC > $5K	UNIFORM STATES OF AMER 920 SAVITT PL UNION, NJ 07083	various	E	A		F						68,149					
Aggr CC > $5K	UNITED AG TURF FULTONV 3021 ROUTE 5S FULTONVILLE, NY 12072	various	E	A		N						5,778					
Aggr CC > $5K	US LEGAL 363 N SAM HOUSTON PKWY E HOUSTON, TX 77060	various	I	A		F						13,072					
Aggr CC > $5K	UTICA MACK, INC. 9426 RIVER RD MARCY, NY 13403	various	E	A		N						9,171					

CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	FRT	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O\C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
Aggr CC > $5K	VANTAGE EQUIPMENT LLC 5985 COURT STREET RD SYRACUSE, NY 13206	various	E	A		N						6,504					
Aggr CC > $5K	VERSATILE LLC 527 STATE ROUTE 31 PORT BYRON, NY 13140	various	E	A		N						5,964					
Aggr CC > $5K	W AND M SPRINKLER NYC 50 BROADWAY STE 104 HAWTHORNE, NY 10532	various	S	A		N						11,403					
Aggr CC > $5K	WALLAUER DECORATING 30 VIRGINIA RD WHITE PLAINS, NY 10603	various	E	A		N						5,017					
Aggr CC > $5K	WAL-MART #1946 49 SMITH ROAD MASSENA, NY 13662	various	E	A		N						6,418					
Aggr CC > $5K	WALMART.COM 702 SW 8TH STREET MS100 BENTONVILLE, AR 72716	various	E	A		F						17,100					
Aggr CC > $5K	WAREHOUSE AT HUCK FINN 25 ERIE BOULEVARD ALBANY, NY 12204	various	E	A		N						6,186					
Aggr CC > $5K	WARREN TIRE SERVICE - 203 N COMRIE AVE JOHNSTOWN, NY 12095	various	S	A		N						5,917					
Aggr CC > $5K	WARREN W FANE INC 449 STATE ROUTE 40 TROY, NY 12182	various	S	A		N						5,289					
Aggr CC > $5K	WATER - COFFEE DELIVER 2300 WINDY RIDGE PKW ATLANTA, GA 30339	various	E	A		F						7,934					
Aggr CC > $5K	WB MASON 59 CENTRE ST BROCKTON, MA 02303	various	E	A		F						50,452					
Aggr CC > $5K	WELLER AUTO 0030236 3513 BURGOYNE AVE. HUDSON FALLS, NY 12839	various	E	A		N						15,458					
Aggr CC > $5K	WILEY BROS. INC. 1854 NEW YORK 40 SCHAGHTICOKE, NY 12154	various	E	A		N						11,479					
Aggr CC > $5K	WM SUPERCENTER #1909 1540 MILITARY RD NIAGARA FALLS, NY 14304	various	E	A		N						7,342					
Aggr CC > $5K	WOODWARD COMPANY,THE 9 BURDICK DR ALBANY, NY 12205	various	E	A		N						19,567					
Aggr CC > $5K	WR ENTERPRISES 17 MOREHOUSE LANE MIDDLE FALLS, NY 12848	various	E	A		N						14,900					
Aggr CC > $5K	YATES GEAR INC 2608 HARTNELL AVE STE 6 REDDING, CA 96002	various	E	A		F						5,240					

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CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	FRT	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O\C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
Aggr CC > $5K	YRC INC DBA YRC FREIGH 10990 ROE AVE. LEAWOOD, KS 66211	various	S	A		F						6,628					
Aggr CC > $5K	ZEP SALES AND SERVICE 3330 CUMBLAND BLVD SE700 ATLANTA, GA 30318	various	E	A		F						7,627					
		TOTALS								7,523,752,652	2,578,696,465	761,029,554	4,945,070,546				

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	Contracts		Aggr PO	Aggr CC
Number of Contracts	2759		423	243
Total Contract Value		$7,523,752,652		
Total Expended to Date		$2,578,696,465		
Total Expended in Report Year		$749,761,644	$7,674,647	$3,593,263
Status Summary	Count	Contract Value		
Open Contracts	1549	$6,673,857,897		
Closed Contracts	1210	$849,894,755		
Method of Award Summary				
Competitive Bid	2170	$7,360,728,723		
Sole Source	178	$17,435,104		
Single Source	239	$44,218,601		
Competitive Search	134	$98,247,870		
Discretionary for Diverse Suppliers	38	$3,122,354		
Commitment Type Summary				
Architectural and Engineering Services	125	$172,805,028		
Construction	198	$4,463,445,090		
Equipment / Goods / Commodities	1029	$653,718,701		
IT Hardware	38	$34,427,456		
IT Software	82	$11,266,195		
Legal Services	29	$31,994,308		
Maintenance and Outage Services	13	$263,527,232		
Personal Services	453	$628,257,607		
IT Consulting and Development	30	$7,345,759		
Other Non-Personal Services	703	$1,038,782,176		
Telecommunications	5	$8,869,714		
Contingent Workforce	54	$209,313,386		

CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O \ C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
FD-1990-33	Northville Industries Corp. NIC 25 Melville Park Road Melville NY 117470398	Oil Storage Agreement	E	1		N	N		$17,155,228	$17,155,228	$598,700	$0	04/01/94	O	3/31/2024	
FD-1990-34	Northville Industries Corp. NIC 25 Melville Park Road Melville NY 117470398	Oil Storage Agreement	E	1		N	N		$5,096,325	$5,096,325	$152,419	$0	10/01/93	O	3/31/2024	
FD-2002-11	PSEG EnergyResourcesTrade 80 Park Plaza Floor T-19 Newark NJ 07102	NAESB Agreement for Natural Gas	E	B		F	N	32	$11,017,721	$11,017,721	$0	$0	11/01/02	O	*	
FD-2003-09	J. Aron and Company 85 Broad Street New York NY 10004	NAESB Agreement for Natural Gas	E	B		N	N	32	$83,241,402	$83,241,402	$0	$0	04/22/03	O	*	
FD-2003-10	BP Energy Company 201 Helios Way Houston TX 77079	NAESB Agreement for Natural Gas	E	B		F	N	32	$221,828,649	$221,828,649	$0	$0	10/01/04	O	*	
FD-2003-12	Exelon Generation Company, LLC 1310 Point Street Baltimore MD 21231	NAESB Agreement for Natural Gas	E	B		F	N	32	$69,252,906	$69,252,906	$1,014,858	$0	06/09/03	O	*	
FD-2003-13	Merrill Lynch Commodities, Inc. 20 East Greenway Plaza Houston TX 77046	NAESB Agreement for Natural Gas	E	B		F	N	32	$2,538,965	$2,538,965	$0	$0	11/01/03	O	*	
FD-2003-14	Colonial Energy Inc. 3975 Fair Ridge Drive Fairfax VA 22033	NAESB Agreement for Natural Gas	E	B		F	N	32	$519,751,395	$519,751,395	$66,760	$0	07/01/03	O	*	
FD-2003-15	Virginia Power Energy Mktg P.O. Box 25773 Richmond VA 23260	NAESB Agreement for Natural Gas	E	B		F	N	32	$629,265,426	$629,265,426	$0	$0	07/11/03	O	*	
FD-2004-08	Shell Energy North America (US), L.P. 1000 Main Street Houston TX 77002	NAESB Agreement for Natural Gas	E	B		F	N	32	$85,198,833	$85,198,833	$1,006,406	$0	04/01/04	O	*	
FD-2005-12	NJR Energy Services Co 1415 Wyckoff Road Wall NJ 07719	NAESB Agreement for Natural Gas	E	B		F	N	32	$484,656,871	$484,656,871	$1,897,029	$0	09/01/05	O	*	
FD-2007-10	Eastern Generation, LLC 18-01 20th Avenue Astoria NY 11105	Oil Delivery Labor Fees	E	1		N	N		$60,771	$60,771	$0	$0	07/01/06	O	*	
FD-2008-05	Sequent Energy Mgmt LP 1200 Smith Street Houston TX 77002	NAESB Agreement for Natural Gas	E	B		F	N	32	$40,075,218	$40,075,218	$1,302,506	$0	03/01/08	O	*	
FD-2008-06	Macquarie Energy LLC 500 Dallas Street Houston TX 77002	NAESB Agreement for Natural Gas	E	B		F	N	32	$47,096,447	$47,096,447	$0	$0	07/01/08	O	*	
FD-2008-10	United Energy Trading, LLC 215 Union Boulevard Lakewood CO 80228	NAESB Agreement for Natural Gas	E	B		F	N	32	$159,002,299	$159,002,299	$0	$0	11/19/08	O	*	
FD-2009-07	Conoco Phillips Company 600 North Dairy Ashford Houston TX 77079	NAESB Agreement for Natural Gas	E	B		F	N	32	$46,185,567	$46,185,567	$391,551	$0	05/01/09	O	*	

CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O \ C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
FD-2009-08	NextEra Energy Power Marketing, LLC 700 Universe Blvd Juno Beach FL 33408	NAESB Agreement for Natural Gas	E	B		F	N	32	$15,895,253	$15,895,253	$68,576	$0	12/01/09	O	*	
FD-2010-02	ENSTOR Energy Services, LLC 20329 State Highway 249 Houston TX 77070	NAESB Agreement for Natural Gas	E	B		F	N	32	$37,442,338	$37,442,338	$0	$0	08/09/10	O	*	
FD-2011-06	EDF Trading North America, LLC 4700 West Sam Houston Houston TX 77041	NAESB Agreement for Natural Gas	E	B		F	N	32	$204,002,685	$204,002,685	$2,020,759	$0	06/01/11	O	*	
FD-2011-10	Tenaska Gas Storage, LLC 14302 FNB Parkway Omaha NE 68154	NAESB Agreement for Natural Gas	E	B		F	N	32	$1,251,315	$1,251,315	$0	$0	12/01/11	O	*	
FD-2011-11	Statoil Natural Gas, LLC 120 Long Ridge Road Stamford CT 06902	NAESB Agreement for Natural Gas	E	B		F	N	32	$18,684,302	$18,684,302	$0	$0	04/18/12	O	*	
FD-2012-02	Repsol Energy North America Corporation 2455 Technology Forest Rd The Woodlands TX 77381	NAESB Agreement for Natural Gas	E	B		F	N	32	$42,219,606	$42,219,606	$1,404,689	$0	11/13/12	O	*	
FD-2013-06	Chesapeake Energy Marketing, LLC P.O. Box 18496 Oklahoma City OK 73154-0496	NAESB Agreement for Natural Gas	E	B		F	N	32	$66,839,383	$66,839,383	$5,047,242	$0	05/28/13	O	*	
FD-2014-08	Spark Energy Gas, LLC 12140 Wickchester Lane Houston TX 77079	NAESB Agreement for Natural Gas	E	B		F	N	32	$361,374,088	$361,374,088	$16,206,978	$0	02/01/14	O	*	
FD-2014-12	EQT Energy, LLC 625 Liberty Ave Pittsburgh PA 15222-3111	NAESB Agreement for Natural Gas	E	B		F	N	32	$12,150,923	$12,150,923	$4,440,051	$0	05/01/14	O	*	
FD-2014-16	Pacific Summit Energy LLC 2010 Main Street Irvine CA 92614	NAESB Agreement for Natural Gas	E	B		F	N	32	$65,740,203	$65,740,203	$2,073,823	$0	08/11/14	O	*	
FD-2015-03	Cabot Oil & Gas Corporation 840 Gessner Road Houston TX 77024-4152	NAESB Agreement for Natural Gas	E	B		F	N	32	$2,439,304	$2,439,304	$0	$0	03/02/15	O	*	
FD-2015-05	DTE Energy Trading, Inc. 414 South Main Street Ann Arbor MI 48104	NAESB Agreement for Natural Gas	E	B		F	N	32	$89,927,998	$89,927,998	$17,905,435	$0	08/14/15	O	*	
FD-2015-07	Definite Energy Group 575 Lexington Ave New York NY 10022	NAESB Agreement for Natural Gas	E	B		N	N	32	$385,895	$385,895	$0	$0	10/01/15	O	*	
FD-2015-10	Direct Energy Business Marketing, LLC 194 Wood Ave South Iselin NJ 08830	NAESB Agreement for Natural Gas	E	B		F	N	32	$2,689,248	$2,689,248	$301,390	$0	12/14/15	O	*	
FD-2016-02	Astoria Energy II LLC 1710 Steinway Street Astoria NY 11105	AEII Demand Charges	E	1		N	N		$81,160	$81,160	$39,411	$0	05/01/16	O	*	
FD-2016-07	National Grid - LI 100 East Old Country Road Hicksville NY 11801	LDC Agreement (Flynn)	E	1		N	N		$3,941,754	$3,941,754	$1,603,532	$0	04/01/17	O	*	

CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O \ C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
FD-2018-09	Twin Eagle Resource Management LLC 8847 West Sam Houston Houston TX 77040	NAESB Agreement for Natural Gas	E	B		F	N	32	$191,201	$191,201	$191,201	$0	07/10/18	O	*	
FD-2018-13	Engie Energy Marketing NA, Inc. 1990 Post Oak Blvd Houston TX 77058	NAESB Agreement for Natural Gas	E	B		F	N	34	$8,870,037	$8,870,037	$2,034,026	$0	04/12/18	O	*	
FD-2018-19	Consolidated Edison Energy 100 Summit Lake Drive Valhalla NY 10595	NAESB Agreement for Natural Gas	E	B		F	N	32	$151,233	$151,233	$6,258	$0	02/19/19	O	*	
FD-2018-20	Freepoint Commodities LLC 58 Commerce Road Stamford CT 06902	NAESB Agreement for Natural Gas	E	B		F	N	32	$5,189,720	$5,189,720	$504,050	$0	06/28/18	O	*	
FD-2018-21	Penn Oak Services, LLC 1815 Sudbury Rd NW Washington DC 20012	NAESB Agreement for Natural Gas	E	B		F	N	32	$4,075,114	$4,075,114	$2,017,793	$0	07/19/18	O	*	
FD-2019-02	Castleton Commodities Mercant Trading LP 2200 Atlantic Street Stamford, CT 06902	NAESB Agreement for Natural Gas	E	B		F	N	32	$25,302,859	$25,302,859	$11,240,255	$0	02/08/19	O	*	
FD-2019-03	Spotlight Energy LLC 950 Echo Lane Houston TX77024	NAESB Agreement for Natural Gas	E	B		F	N	32	$5,857,213	$5,857,213	$1,595,083	$0	04/18/19	O	*	
FD-2019-04	National Grid - NY 1 Metrotech Centre Brooklyn NY 11201	LDC Agreement(G/K/P)	E	1		N	N		$2,172,690	$2,172,690	$877,060	$0	06/01/19	C		05/31/20
FD-2019-05	National Grid - LI 100 East Old Country Road Hicksville NY 11801	LDC Agreement (Brentwood)	E	1		N	N		$286,055	$286,055	$94,046	$0	06/01/19	C		05/31/20
FD-2019-06	Transco P.O. BOX 201371 Houston TX 77216	Firm Gas Transportation Agreement	E	1		F	N		$931,211	$931,211	$627,540	$0	06/01/19	O	05/31/21	
FD-2019-07	Con Edison 4 Irving Place New York NY 10003	LDC Agreement	E	1		N	N		$6,675,695	$6,675,695	$5,028,849	$0	07/01/19	O	06/30/22	
FD-2019-13	Saybolt LP P.O. Box 844640 Dallas TX 752844640	Oil Inspection Agreement	P	1		N	N		$7,988	$7,988	$7,988	$0	01/01/20	O	12/31/22	
FD-2020-01	Vitol 2925 Richmond Ave Houston, TX 77098	NAESB Agreement for Natural Gas	E	2		F	N		$7,622,547	$7,622,547	$7,622,547	$0	01/14/20	O	*	
FD-2020-02	Gunvor 600 Travis Street, Suite 6500 Houston, Texas 77702	NAESB Agreement for Natural Gas	E	2		F	N		$61,150	$61,150	$61,150	$0	03/02/20	O	*	
FD-2020-04	George E. Warren LLC 3001 Ocean Drive Suite 203 Vero Beach, Flo 32963	Oil Purchase	E	B		F	Y	2	$1,040,604	$1,040,604	$1,040,604	$0	04/24/20	C		
FD-2020-05	National Grid - NY 1 Metrotech Centre Brooklyn NY 11201	LDC Agreement(G/K/P)	E	1		N	N		$1,094,962	$1,094,962	$1,094,962	$0	06/01/20	O	05/31/21	

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CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O \ C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
FD-2020-06	National Grid - LI 100 East Old Country Road Hicksville NY 11801	LDC Agreement (Brentwood/Pilgrim)	E	1			N	N		$26,258	$26,258	$26,258	$0	06/01/20	O	05/31/21	
FD-2020-08	AmSpec LLC 36 Mileed Way Avenel, NJ 07001	Oil Inspection Agreement	P	B			N	N	2	$2,100	$2,100	$2,100	$0	10/1/2020	O	12/31/2022	
FD-2020-09	Six One Commodities One Dock Street Suite 412 Stamford, CT 06902	NAESB Agreement for Natural Gas	E	2			F	N		$2,672,711	$2,672,711	$2,672,711	$0	10/22/20	O	*	
FD-2020-10	Diversified 601 West Crossville Road Roswell, Georgia 30075	NAESB Agreement for Natural Gas	E	2			F	Y		$3,125	$3,125	$3,125	$0	10/23/20	O	*	
		FUELS TOTALS								3,418,723,951	3,418,723,951	94,289,721	0				

NOTE:

* Contract continues until terminated by NYPA or Counterparty upon specified notice.

Total Number of Contracts	52	
Total Contract Value		$3,418,723,951
Total Expended to Date		$3,418,723,951
Total Expended in Report Year		$94,289,721
Status Summary	Count	Contract Value
Open Contracts	49	$3,415,224,602
Closed Contracts	3	$3,499,349
Method of Award Summary		
Competitive Bid	36	$3,370,834,321
Sole Source	12	$37,530,097
Single Source	4	$10,359,533
Competitive Search	0	$0
Discretionary for Diverse Suppliers	0	$0
Commitment Type Summary		
Architectural and Engineering Services	0	$0
Construction	0	$0
Equipment / Goods / Commodities	50	$3,418,713,863
IT Hardware	0	$0
IT Software	0	$0
Legal Services	0	$0
Maintenance and Outage Services	0	$0
Personal Services	2	$10,088
IT Consulting and Development	0	$0
Other Non-Personal Services	0	$0
Telecommunications	0	$0
Contingent Workforce	0	$0

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PROVIDER NAME	CONTRACT DESCRIPTION	TYPE	MOA	RNA	OPA	SDIV	BIDS	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2020	CONTRACT BALANCE	DATE OF CONTRACT	O \ C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
Bank of New York (formely JPMorgan) 101 Barclay Street New York, NY 10286	Trustee/Paying Agent Services on Bonds	S	C	9	N			626,281	626,281	59,037	0	2/24/1998	O	*	
Bank of New York (formerly JPMorgan) 101 Barclay Street New York, NY 10286	Trustee- Commercial Paper	S	C	9	N			286,138	286,138	32,137	0	10/2/2006	O	*	
Barclays Capital (assigned from Lehman Bros.) ** 745 Seventh Avenue New York, NY 10019	Re-marketing Agent CP-1	S	C	9	N			2,137,302	2,137,302	82,547	0	7/14/1994	O	*	
Barclays Capital (assigned from Lehman Bros.) 745 Seventh Avenue New York, NY 10019	Re-marketing Agent CP-3	S	C	9	N			10,775	10,775	0	0	6/26/2008	O	*	
Citigroup 390 Greenwich Street New York, NY 10013	Re-marketing Agent CP-2	S	C	9	N			1,236,971	1,236,971	34,908	0	12/4/1997	O	*	
Goldman, Sachs & Co. 85 Broad Street New York, NY 10004-2456	Re-marketing Agent CP-2 and 3	S	C	9	N			1,236,140	1,236,140	45,784	0	12/4/1997	O	*	
Goldman, Sachs & Co. 85 Broad Street New York, NY 10004-2456	Re-marketing EMCP	S	C	9	N			957,005	957,005	4,507	0	3/4/2003	O	*	
JPMorgan Chase 270 Park Avenue New York, NY 10017-2070	Escrow Agent POCR/CASP & LMEI Funds	S	C	9	N			598,728	598,728	10,082	0	5/30/1996	O	*	
JPMorgan Chase 270 Park Avenue New York, NY 10017-2070	Re-marketing Agent CP-3	S	C	9	N			719,635	719,635	41,701	0	12/4/1997	O	*	
JPMorgan Chase 270 Park Avenue New York, NY 10017-2070	Re-marketing Agent CP-2	S	C	9	N			461,107	461,107	46,727	0	6/28/2001	O	*	
JPMorgan Chase 270 Park Avenue New York, NY 10017-2070	Revolving Line of Credit	S	C	9	N		2	14,378,686	14,378,686	2,585,020	0	1/19/2019	O	*	
JPMorgan Chase 270 Park Avenue New York, NY 10017-2070	Revolving Line of Credit	S	C	9	N		2	200,000	200,000	200,000	0	4/22/2020	O	4/21/2021	
Morgan Stanley 1221 Avenue of the Americas New York, NY 10020	Re-marketing Agent CP-1	S	C	8	N		7	517,518	517,518	7,087	0	3/31/2009	O	*	
Printer - ImageMaster 1182 Oak Valley Drive Ann Arbor, MI 48108	Financial Deal Roadshow hosting and printing	S	2	9	N			6,736	6,736	6,736	0	4/13/2020	C		5/13/2020
Public Financial Management 1735 Market St 43rd floor Philadelphia, PA 19103	Capital Markets Financial Advisor	P	C	9	N		2	285,625	285,625	168,000	0	8/19/2019	C		12/31/2020
RBC Capital Markets ** 1211 Avenue of the Americas New York, NY 10036	Re-marketing Agent CP-1	S	C	9	N			909,376	909,376	47,174	0	7/14/1994	O	*	

FINANCE TOTALS	24,568,023	24,568,023	3,371,447	0

NOTES:

* Contract continues until terminated by NYPA or Counterparty upon specified notice

** Expense History only available from 1997

POWER AUTHORITY OF THE STATE OF NEW YORK
ANNUAL REPORT OF PROCUREMENT CONTRACTS
REQUIRED BY N.Y. PUBLIC AUTHORITIES LAW, SECTION 2879

Total Number of Contracts	16	
Total Contract Value		$24,568,023
Total Expended to Date		$24,568,023
Total Expended in Report Year		$3,371,447
Status Summary	Count	Contract Value
Open Contracts	14	$24,275,662
Closed Contracts	2	$292,361
Method of Award Summary		
Competitive Bid	0	$0
Sole Source	0	$0
Single Source	1	$6,736
Competitive Search	15	$24,561,287
Discretionary for Diverse Suppliers	0	$0
Commitment Type Summary		
Architectural and Engineering Services	0	$0
Construction	0	$0
Equipment / Goods / Commodities	0	$0
IT Hardware	0	$0
IT Software	0	$0
Legal Services	0	$0
Maintenance and Outage Services	0	$0
Personal Services	1	$285,625
IT Consulting and Development	0	$0
Other Non-Personal Services	15	$24,282,398
Telecommunications	0	$0
Contingent Workforce	0	$0

POWER AUTHORITY OF THE STATE OF NEW YORK
ANNUAL REPORT OF PROCUREMENT CONTRACTS
REQUIRED BY N.Y. PUBLIC AUTHORITIES LAW, SECTION 2879

		Contracts	Aggr PO	Aggr CC
Total Number of Contracts	2827		423	243
Total Contract Value		$10,967,044,626		
Total Expended to Date		$6,021,988,439		
Total Expended in Report Year		$847,422,812	$7,674,647	$3,593,263
Status Summary	Count	Contract Value		
Open Contracts	1612	$10,113,358,161		
Closed Contracts	1215	$853,686,465		
Method of Award Summary				
Competitive Bid	2206	$10,731,563,044		
Sole Source	190	$54,965,201		
Single Source	244	$54,584,870		
Competitive Search	149	$122,809,157		
MWBE/SBE	38	$3,122,354		
Commitment Type Summary				
Architectural and Engineering Services	125	$172,805,028		
Construction	198	$4,463,445,090		
Equipment / Goods / Commodities	1079	$4,072,432,564		
IT Hardware	38	$34,427,456		
IT Software	82	$11,266,195		
Legal Services	29	$31,994,308		
Maintenance and Outage Services	13	$263,527,232		
Personal Services	456	$628,553,320		
IT Consulting and Development	30	$7,345,759		
Other Non-Personal Services	718	$1,063,064,574		
Telecommunications	5	$8,869,714		
Contingent Workforce	54	$209,313,386		

NEW YORK STATE OF OPPORTUNITY. | NY Power Authority | Canal Corporation

Memorandum

Date: **March 30, 2021**

To: **THE GOVERNANCE COMMITTEE**

From: **THE VICE PRESIDENT – STRATEGIC SUPPLY MANAGEMENT**

Subject: **Annual Review and Approval of Guidelines for Disposal of Personal Property and Expenditure Authorization Procedures**

SUMMARY

This memorandum is to request that the Governance Committee review and recommend to the full Board of Trustees ("Trustees") and Canal Corporation Board of Directors ("Board") the changes to NYPA and Canal Corporation's ("Canal") Disposal of Authority Personal Property (Exhibits "A" and "C"), and NYPA and Canal's Expenditure Authorization Procedures ("EAPs") (Exhibits "B" and "D"), respectively.

BACKGROUND

Pursuant to Subsection C.5 of the Authority's Governance Committee Charter relating to Reports, the Vice President – Strategic Supply Management is required to report to the Committee at all regularly scheduled meetings and the Committee has the authority to require Procurement and other staff to prepare additional reports and to produce documents for Committee review.

Section 2879 of the Public Authorities Law ("PAL") governs the administration and award of procurement contracts equal to or greater than $5,000. Section 2879 of the PAL requires public authorities to adopt comprehensive guidelines detailing their operative policy and instructions concerning the use, awarding, monitoring, and reporting of procurement contracts. The Guidelines have been amended as deemed advisable and necessary, and reviewed and approved annually by the Board since that date, most recently on December 9, 2020.

On January 13, 2006, the Public Authorities Accountability Act of 2005 ("PAAA") was enacted to codify model governance principles for New York State's public authorities to further accountability and transparency. Among its provisions, the PAAA, and as later amended by the Public Authorities Reform Act of 2009, established requirements for the disposal of public authority personal property. The law also required each authority to draft guidelines consistent with the legislation dealing with these issues, to review and approve such guidelines annually and to prepare an annual report of the disposal of personal property (including the full description, name of the purchaser and price received for all such property disposed of by the authority during such period).

Article VII, Section 5 of the Authority's By-Laws requires that the Trustees adopt expenditure authorization procedures which, among other things, govern contract approval authorizations and executions, delegation of approval for claims settlements and payment for real estate. The EAPs were last revised in 2018 with the Chairman's approval.

DISCUSSION

The Personal Property Guidelines set forth the methodology detailing NYPA and Canal Corporation's policy regarding the use, award, monitoring and reporting of the disposal of personal property and designate a Contracting Officer responsible for compliance with, and enforcement of, such Guidelines. For NYPA and the Canal Corporation, please note there are no changes to the Guidelines for Disposal of Personal Property as detailed in Exhibits A for NYPA and Exhibit C for Canal Corporation.

Since the full Board of Trustees last approved EAPs in 2018, good governance dictates that these revised EAPs be presented for Board approval. The Expenditure Authorization Procedures have been amended as deemed advisable and necessary as detailed in Exhibits B and B-1 for NYPA and Exhibits D and D-1 for Canal Corporation.

FISCAL INFORMATION

There will be no financial impact on the Authority or the Canal Corporation.

RECOMMENDATION

The Governance Committee is requested to review the revisions to the respective Guidelines and EAPs (as set forth in the copies attached hereto as A through B for NYPA and Exhibits C through D for Canal Corporation) and, if appropriate, to recommend adoption by the full Board at the annual meeting to be held on March 30, 2021.

For the reasons stated, I recommend the approval of the above-requested action by adoption of the resolution below.

John L. Canale
Vice President – Strategic Supply Management

LIST OF EXHIBITS

NYPA

Exhibit A	Guidelines for the Disposal of Personal Property (No revisions)
Exhibit B	Expenditure Authorization Procedures (Clean)
Exhibit B-1	Expenditure Authorization Procedures (Redline)

CANALS CORPORATION

Exhibit C	Guidelines for the Disposal of Personal Property (No revisions)
Exhibit D	Expenditure Authorization Procedures (Clean)
Exhibit D-1	Expenditure Authorization Procedures (Redline)

Company Policy Title:

NYPA Guidelines for the Disposal of Personal Property

Policy Number:

CP 3-2

Revision Date (For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
3/31/2020	2	Update of certain organizational titles and the correction of certain inconsistencies, grammatical and otherwise	II A, V B-F, VI A-B, VIII B, XI A-B, XII - XIV	Kevin King, Director, Transactional Procurement
5/31/2019	1	Update definition of 'Related To'	IX B	Kevin King, Director, Transactional Procurement
5/31/2019	0	Converting approved 2018 NYPA Guidelines for the Disposal of Personal Property ("Guidelines") to e-Scribe format. Per PAL §§§ 2895, 2896 and 2897, the Guidelines were adopted by resolution and are reviewed annually and approved (by the Trustees).	N/A	Kevin King, Director, Transactional Procurement

Note: Revision # should be listed in descending order starting with most recent version at the top

Printed copies are not controlled.
For the latest revision of this document, refer to the Policy and Procedure PowerNet Site.
Records will be retained in accordance with NYPA's approved records retention schedules and/or in compliance with all applicable legal requirements pertaining to NYPA.

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I. PURPOSE

These Guidelines for the Disposal of New York Power Authority Personal Property (hereinafter "Guidelines"), which comply with Title 5-A, Article 9 of the Public Authorities Law, establish the Authority's policy and instructions regarding the use, award, monitoring and reporting of the disposal of personal property. In addition, the Guidelines designate a Contracting Officer who is responsible for the Authority's compliance with, and enforcement of, the Guidelines.

II. DEFINITIONS

A. "Contracting Officer" shall mean the officer or employee of the Authority who shall be appointed by resolution of the Authority's Board of Trustees to be responsible for the disposition of personal property. The "Contracting Officer" is hereby designated to be the Vice President – Strategic Supply Management, or equivalent(s). The Authority's Contracting Officer shall not be responsible for compliance for dispositions of the Authority's personal property conducted by another state entity authorized to dispose of the Authority's personal property under the Public Authorities Accountability Act ("PAAA") or as otherwise authorized by law.

B. "Dispose" or "disposal" shall mean transfer of title or any other beneficial interest in personal property in accordance with these Guidelines.

C. "Property" shall mean personal property owned by the Authority regardless of value, and any other interest in such Property, to the extent that such interest may be conveyed to another person for any purpose, excluding an interest securing a loan or other financial obligation of another party. For the purposes of these Guidelines, Property may include, but is not limited to, materials, tools, equipment, or vehicles.

D. "Fair Market Value" shall mean the estimated dollar amount that a willing buyer would pay to a willing seller for the Property in an arms-length transaction in the appropriate marketplace and under similar circumstances. Fair Market Value may be determined by consulting industry-recognized sources, contacting original suppliers, depreciation analysis, appraisals, fair market valuations by public auction or other methods of valuation generally accepted in the industry in which such Property is utilized, as may be approved by the Contracting Officer or authorized designee.

E. ""Relative" is any person living in the same household as the Authority employee or any person who is a direct descendant of the Authority employee's grandparents or the spouse of such descendant. The term Relative may include, but is not limited to, the relationship of spouse, child, parent, sister, brother, grandparent, grandchild, aunt, uncle, cousin, niece, nephew, stepchild, stepparent, stepsister, stepbrother, mother-in-law, father-in-law, sister-in-law, brother-in-law, daughter-in-law or son-in-law.

III. OBJECTIVE

The objective of these Guidelines is to identify those Authority personnel responsible for authorizing the disposal of Property owned by the Authority and to ensure that the Authority receives fair and reasonable value for such Property. The transfer or sale of Property shall be accounted for in accordance with the Authority's Corporate Accounting Policy No. CAP 4.3 "Accounting for Materials and Supplies Inventory," and the Authority's procedures for the disposal of Property implementing these Guidelines.

IV. TRANSACTIONS NOT COVERED

These Guidelines do not apply to any of the following transactions:

1. Disposal of real property interests;
2. Exchange of Property with other utilities or power plant owners, where such owners will provide an identical or in-kind replacement;
3. Transfer/re-deployment of Property from one Authority facility to another Authority facility or to Canal Corporation;
4. Disposal of natural gas that is subject to the Authority's Energy Resource Management Fuels Procedures.

V. DESIGNATION OF PROPERTY DISPOSAL COORDINATORS

A. The Contracting Officer shall be responsible for the Authority's compliance with, and enforcement of, the Guidelines, including through development and implementation of internal controls (such as written procedures and supporting tools).

B. The individual responsible for disposal of Property greater than $5,000 at the Authority's facilities will be the Director – Transactional Procurement ("DTP") or equivalent. For purposes of Property disposal, the DTP reports directly to the Contracting Officer or authorized designee.

C. The Manager - Purchasing/Warehouse at each facility acts as the local Property Disposal Coordinator, who is responsible for Property disposal less than or equal to $5,000 and assists the DTP with all other disposals at his or her facility or location ("Facility PDC"). The Facility PDC reports to the DTP.

D. The Contracting Officer or authorized designee will designate one or more individuals from the White Plains Office Strategic Supply Management ("SSM"), to be the Property Disposal Coordinator(s) for the White Plains and other corporate offices ("WPO PDC"). For purposes of Property disposal, the WPO PDC(s) will confer, interface with and report to the Contracting Officer or authorized designee.

E. The Director of Fleet Operations ("DFO") or equivalent(s) or authorized designee is responsible for the disposal of vehicles and rolling equipment. The DFO reports directly to the Regional Manager – Transmission or equivalent, or authorized designee.

F. If appropriate, the responsible Facility PDC should confer (by oral or written communication) with the DTP and the WPO PDC(s) should confer (by oral or written communication) with the Contracting Officer or authorized designee to determine if a "centralized" sale of Property, as outlined in Article VII, is appropriate. If agreed, the responsible Facility or WPO PDC (collectively hereinafter referred to as "PDC") should arrange for shipment of the Property to be sold from the site to the sale location. If a centralized sale is not appropriate, the responsible PDC should proceed in accordance with the "decentralized" procedures, as outlined in Article VIII.

VI. DISPOSAL OF AUTHORITY PERSONAL PROPERTY

Except for Disposals pursuant to Article VII, Article XII and Subsection VI.A.4 of these Guidelines, whenever practicable, the responsible PDC shall solicit proposals from qualified bidders, to purchase the Property to be disposed of, and will maintain records of such solicitations. The PDC should use "Attachment A" attached hereto or an appropriate substitute for solicitations under this Article VI.

A. DISPOSAL METHODS FOR PERSONAL PROPERTY

1. For the purposes of these Guidelines, disposal methods may include, but are not limited to: sale (directly to the Buyer, through a third party, negotiation, advertised public auction that permits full and free competition consistent with the value and nature of the property or on any other centralized basis that achieves the same level of competition); return to the original equipment manufacturer or to the source; trade-ins or disposals as part of a competitive procurement; or disposal through the New York State Office of General Services ("OGS"). Provided, however, that no disposition of any Property, which because of its unique nature or the unique circumstances of the proposed transaction is not readily valued by reference to an active market for similar Property, shall be made unless an appraisal of the value of such Property has been made by an independent appraiser and included in the record of the transaction. The Authority's Environment, Health and Safety Division should be consulted, on a case-by-case basis, regarding disposal of items that may be considered hazardous waste.

2. Solicitation via telephone, e-mail and/or direct mailings may be used where the estimated Fair Market Value of the Property to be disposed of does not exceed $15,000. All bids must be submitted in writing on the forms or an appropriate substitute and in the manner

prescribed by this procedure and by the date and time (the "Bid Due Date") included in the solicitation.

3. All Disposals of Authority Property in excess of $15,000 shall be made after publicly advertising for bids except as provided in Subsection 4 below, using the following process:

    a) the appropriate advertisement for bids (Attachment "B" or an appropriate substitute) shall be made at such time prior to the Disposal, through such methods, and on such terms and conditions as shall permit full and free competition consistent with the value and nature of the Property. This may include advertisements in one or more of the following publications, depending on the nature of the Property: local newspapers in the geographic area of the facility where the sale is taking place, trade journals, regional or nationwide publications (if the market for such sale is regional or nationwide), the New York State Contract Reporter, internet services or other communication outlets as appropriate;

    b) all bids must be submitted in writing on the forms or an appropriate substitute and in the manner prescribed by these guidelines and by the Bid Due Date included in the solicitation;

    c) where the value of the Property exceeds $5,000, all bid amounts shall be posted to the Authority's internet website or publicly disclosed at the time and place of the sale; and

    d) the award shall be made with reasonable promptness by notice to the responsible bidder whose bid, conforms to the bid solicitation and is most advantageous to the Authority, price and other factors considered; however, any bid may be rejected when in the public interest to do so at the Authority's sole discretion.

4. Disposals of Property may be negotiated or made by public auction without regard to Subsection 3 of this Section, but subject to obtaining such competition as is feasible under the circumstances, if:

    a) the Property involved has qualities separate from the utilitarian purpose of such Property, such as artistic quality, antiquity, historical significance, rarity or other quality of similar effect that would tend to increase its value, or if the Property is to be disposed of in such quantity that, if it were Disposed of under Subsection 3 of this Section, would adversely affect the state or local market for such Property, and the estimated Fair Market Value of such Property and other satisfactory terms of disposal may be obtained by negotiation;

b) bid prices after advertising therefore are not reasonable, either as to all or part of the Property, or have not been independently arrived at in open competition;

c) the Disposal will be to the state or any political subdivision, and the estimated Fair Market Value of the Property and other satisfactory terms of Disposal are obtained by negotiation;

d) under those circumstances permitted by Subsection 6 of this Section;

e) if the estimated or actual fair market value of the property does not exceed $15,000; or

f) such action is otherwise authorized by law.

5. An explanatory statement shall be prepared of the circumstances of each Disposal by negotiation of any Property which has an estimated Fair Market Value in excess of fifteen thousand dollars ($15,000). In addition, an explanatory statement shall be prepared of the circumstances of each Disposal by negotiation of any Property disposed of by exchange, regardless of value. Each such statement shall be transmitted to the Commissioner of General Services, the State Legislature, the State Comptroller, the Director of the Division of the Budget and the Authorities Budget Office, not less than ninety days in advance of such Disposal, and a copy thereof shall be preserved in the Authority's files.

6. No Property in excess of five thousand dollars ($5,000) owned or otherwise in the control of the Authority may be disposed or otherwise alienated for less than its Fair Market Value except if:

a) the transferee is a government or other public entity, and the terms and conditions of the transfer require that the ownership and use of the Property will remain with the government or any other public entity;

b) the purpose of the transfer is within the purpose, mission or governing statute of the Authority; or

c) in the event the Authority seeks to transfer Property for less than its Fair Market Value to other than a governmental entity, which Disposal would not be consistent with the Authority's mission, purpose or governing statutes, the Authority shall provide written notification thereof to the Governor, the Speaker of the Assembly, and the Temporary President of the Senate, and such proposed transfer shall be subject to denial by the Governor, the Senate or the Assembly. Denial by the Governor shall take the form of a signed certification by the Governor. Denial by either House of the Legislature shall take the form of a resolution by such House. The Governor and each House of the Legislature shall take any such action within sixty days of receiving notification of such proposed transfer during the months of January through June, provided that if

the Legislature receives notification of a proposed transfer during the months of July through December, the Legislature may take any such action within sixty days of January first of the following year. If no such resolution or certification is performed within sixty days of such notification of the proposed transfer to the Governor, Senate and Assembly, the Authority may effectuate such transfer provided, however, that with respect to a below-market transfer by the Authority that is not within the purpose, mission or governing statute of the Authority, if the governing statute provides for the approval of such transfer by the executive and legislative branches of the political subdivision in which the Authority resides, and if the transfer is of Property obtained by the Authority from that political subdivision, then such approval shall be sufficient to permit the transfer.

d) In the event a below Fair Market Value Property transfer is proposed, the following information must be provided to the Authority's Board of Trustees and the public:

    (1) a full description of the Property;

    (2) an appraisal of the Fair Market Value of the Property and any other information establishing the Fair Market Value sought by the Board of Trustees;

    (3) a description of the purpose of the transfer and a reasonable statement of the kind and amount of the benefit to the public resulting from the transfer, including but not limited to the kind, number, location, wages or salaries of jobs created or preserved as required by the transfer, the benefits, if any, to the communities in which the Property is situated as are required by the transfer;

    (4) a statement of the value to be received compared to the Fair Market Value;

    (5) the names of any private parties participating in the transfer and, if different than the statement required by subparagraph (iv) of this Subsection, a statement of the value to the private party; and

    (6) the names of other private parties who have made an offer for such Property, the value offered and the purpose for which the Property was sought to be used.

e) Before approving the Disposal of any Property for less than Fair Market Value, the Board of Trustees shall consider the information described in paragraph b of this Subsection and make a written determination that there is no reasonable

alternative to the proposed below-market transfer that would achieve the same purpose of such transfer.

7. In cases where a Disposal of Property in excess of five thousand dollars ($5,000) is made without competitive bidding and where the proposed contract price for the Property disposed of is less than Fair Market Value, a detailed explanation of the justification for making the Disposal without competitive bidding shall be prepared, and a certification shall be signed by the Chief Executive Officer and Chief Financial Officer of the Authority stating that they have reviewed the terms of such Disposal and have determined that it complies with applicable law and these Guidelines.

B. DISPOSAL OPTIONS IF NO BIDS OR NO ACCEPTABLE BIDS ARE RECEIVED

The appropriate PDC shall confer with the DTP and the Contracting Officer or authorized designee to decide (i) if re-soliciting is feasible; (ii) if shipment to a third-party contractor for Disposal would result in higher-priced proposals; (iii) if disposal by other methods would be appropriate; and/or (iv) if the Fair Market Value estimate requires review or adjustment, where:

1. the solicitation pursuant to Section VI.A does not produce any bids to purchase the Property;

2. in the opinion of the Authority, the bids are not arrived at independently;

3. all bids are not reasonable in accordance with Section X.C; or

4. all bids received are less than the Authority's Fair Market Value estimate.

VII. CENTRALIZED DISPOSAL

A. Subject to the approval of the Contracting Officer or authorized designee and in accordance with Article VI of these Guidelines, in either the initial document authorizing the disposal or through a subsequent communication, Property may be disposed of using any of the following methods:

1. Shipment of the material to a third-party vendor(s), selected by competitive bidding, which, pursuant to these Guidelines, will market the material for sale or dispose of such material in accordance with environmental and any other Authority requirements.

2. Consolidation of such Property at one of the Authority's facilities or an offsite warehouse for the purpose of conducting a sale managed by Authority staff, possibly with the assistance of an outside contractor.

3. Participation in public auctions provided the advertisement for bids through such methods permits full and free competition consistent with the value and nature of

the property, as may be conducted through an independent auctioneer, online auction service, or another utility.

VIII. DECENTRALIZED DISPOSAL

A. The Regional Manager, Project Manager, or head of a Department or Division requiring disposal of Property which he or she believes to be disposable, will submit to the responsible PDC a written description of the material, with the original price (if known), and estimate of the Property's Fair Market Value (if available). If practical, a photograph of the material or equipment in question should be provided. Such submission shall be made to the responsible PDC for the location where the Property is located.

B. If the responsible PDC, in conference with either the DTP or the Contracting Officer or authorized designee, as appropriate, determines that other Authority facilities may have an interest in the Property, a notice should be sent to the other Authority facilities advising of its availability and requesting a response within a specified time frame. A record of the notice will be maintained by the responsible PDC. In the event that the responsible PDC and either the DTP or the Contracting Officer or authorized designee, as appropriate, determine there is no interest in such material at other Authority facilities, a written explanation should be prepared by the PDC to that effect and maintained in the file for that transaction.

C. If no response to the notice is received, the responsible PDC will solicit bids for the purchase of such Property in accordance with these Guidelines.

IX. PARTIES PROHIBITED FROM BIDDING

A. All current and former employees of the Authority and relatives of such employees or third parties acting on behalf of such employees shall not be eligible to bid for the purchase of Authority Property and are prohibited from subsequently acquiring it in any manner. Each bidder will be required, as part of his or her bid, to certify, by signing Attachment "A," that he or she is not a current or former employee of the Authority, is not related to any current or former employee of the Authority and is not acting on behalf of a current or former employee of the Authority or a relative of any such employee. No bid will be accepted unless accompanied by such certification.

B. The term "related to" as used in paragraph A above means the relationship of spouse, child, parent, sister, brother, grandparent, grandchild, aunt, uncle, cousin, niece, nephew, stepchild, stepparent, stepsister, stepbrother, mother-in-law, father-in-law, sister-in-law, brother-in-law, daughter-in-law or son-in-law.

X. EVALUATION OF PROPOSALS; AWARD OF CONTRACT

A. Following the receipt of proposals for the Property, the responsible PDC shall evaluate the proposals submitted and determine whether the highest of such proposals is reasonable, given the estimated Fair Market Value of the Property.

B. If the responsible PDC determines that the highest bid received is reasonable, the responsible PDC shall recommend to the Responsible Officer(s) or designee, as hereinafter defined in Article XI, that such bid be accepted, and upon the written approval of the Responsible Officer(s) or designee, the sale shall be made to the person offering such proposal. After obtaining all necessary approvals in accordance with Article XI "Authorization Levels," a Sales Agreement appended hereto ("Attachment C") must be executed by the responsible Authority staff member and by the successful bidder prior to completion of the transaction. (See Section XI.C.)

C. If either (a) the responsible PDC determines that the highest bid is not reasonable or (b) the Responsible Officer(s) or designee decline(s) to authorize the sale, the Property will, except as provided in paragraph D below, be retained for future disposal in accordance with these Guidelines. Factors to be considered in determining whether a bid is reasonable include, but are not limited to: adequacy of the estimate of the Fair Market Value, anticipated improved future market conditions, potential for other means of disposal or redeployment, financial viability of the bidder, and condition of the Property.

D. Notwithstanding any determination by the responsible PDC, the Responsible Officer(s) or designee, with the review and approval of the Contracting Officer, may direct the sale of the Property to the person or firm submitting the highest bid.

E. No Authority employee who is involved in the award of Authority grants or contracts, may ask any officer, director or employee of such current or prospective contractor or grantee to reveal: (a) the political party affiliation of the individual; (b) whether the individual or entity has made campaign contributions to any political party, elected official, or candidate for elective office; or (c) whether the individual voted for or against any political party, elected official or candidate for elective office.

F. No Authority employee may award or decline to award any grant or contract, or recommend, promise or threaten to do so because of a current or prospective grantee's or contractor's: (a) refusal to answer any inquiry prohibited by Section E above or (b) giving or withholding or neglecting to make any contribution of money, service or any other valuable thing for any political purpose.

G. No Authority employee may take part in any contracting decision involving the payment of $1,000 or more: (i) to a Relative; or (ii) to any entity in which a Relative owns or controls 10% or more of the stock of such entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange); or serves as an officer, director or partner of that entity. If a contracting matter arises relating to this Section G, then the employee must advise his or her supervisor of the relationship and must be recused from any and all discussions or decisions relating to the matter.

XI. AUTHORIZATION LEVELS AND SIGNING AUTHORITY

A. For the purposes of these Guidelines, the Responsible Officer(s) or designee will in each case review the appropriateness of the Fair Market Value estimate and the recommendation for contract award for disposal of the Property. Responsible Officers or designee are designated as follows:

1. The Board of Trustees, if the Fair Market Value of the Property is greater than $1,000,000 or if the Disposal is for less than Fair Market Value in accordance with paragraph VI.A.6; or

2. The President or the Chief Operating Officer or equivalent(s), if the Fair Market Value of the Property is up to $1,000,000; or

3. The Executive Vice President and Chief Financial Officer or equivalent(s), if the Fair Market Value of the Property is up to $750,000; or

4. For Fleet-related transactions, the Executive Vice President –Chief HR & Administrative Officer or equivalent(s), if the Fair Market Value of the Property is up to $750,000; or

5. The Vice President – Strategic Supply Management or equivalent(s), if the Fair Market Value of the Property is up to $500,000; or

6. For Fleet-related transactions, the Vice President – Enterprise Shared Services or equivalent(s), if the Fair Market Value of the Property is up to $500,000; or

7. The DTP, if the Fair Market Value of the Property is up to $100,000; or

8. For Fleet-related transactions, the Director – Fleet Operations, if the Fair Market Value of the Property is up to $100,000; or

9. The responsible PDC, if the Fair Market Value of the Property is $5,000 or less.

B. For public auctions or similar centralized disposals, such authorization should be obtained prior to submitting Property to auction based on the estimated Fair Market Value of the Property.

1. For purposes of these Guidelines, the Director - Fleet Operations (“DFO”) or equivalent(s) and DTP are authorized to sign Disposal Sales Agreements based upon the provisions of Section XI.A above whereby the DFO is authorized to sign fleet-related sales agreements and the DTP may sign both fleet and non-fleet sales agreements.

2. For decentralized disposals, such authorization should be obtained prior to signing of Sales Agreement or award of contract, in accordance with the Authorization

Levels set forth in Section XI.A. Sales Agreements for individual disposal transactions through a decentralized sale should be signed in accordance with the limits set forth in the Authority's Expenditure Authorization Procedures – Attachment C.

3. The foregoing provisions of this section shall not apply to the sale of energy and fuel. Such authorization shall be governed by the transaction authorization limits for energy and energy-related financial transactions, as adopted by the Authority's Board of Trustees.

XII. OTHER METHODS FOR DISPOSAL OF PERSONAL PROPERTY

A. Disposals as Part of a Competitive Procurement

These Guidelines are not intended to restrict disposals as part of a competitive procurement, including trade-ins, where the procurement is competitively bid and awarded in accordance with the Authority's Guidelines for Procurement Contracts and Fair Market Value can be obtained for the Property. Any such proposed disposal must be included as part of the solicitation of bids for the procurement. The solicitation must also include an estimated Fair Market Value of the Property or minimum bid amount. The disposal or trade-in value must be stated in the proposals from bidders. When disposing of Property as part of a competitive procurement, the Authority may consider the cost difference between the accepted proposal and the next lowest responsive proposal as part of the consideration for the disposal of the Property.

B. Return to the Original Equipment Manufacturer ("OEM") or to the Source

For Property with a Fair Market Value of $15,000 or less, return of materials to the OEM or the source is permissible provided that the Authority receives full value for any materials equal to the price paid by the Authority or the estimated Fair Market Value of the Property. In the event a re-stocking fee is charged by the OEM or the source, the DTP or the Contracting Officer or authorized designee, as appropriate, shall be consulted to determine if such a re-stocking fee is reasonable and if there are other opportunities for sale of such material. Approval of all such returns to the OEM or the source when a re-stocking fee is charged, must be in accordance with the Authorization Levels delineated in Section XI.A.

C. Disposal through the New York State Office of General Services (OGS)

The Authority may utilize OGS for Disposal of Authority-owned Property including on-line disposal methods offered by OGS. In addition, in accordance with New York State law, surplus computers and related accessories, surplus office furniture, and other equipment may, with the approval of the Contracting Officer or authorized designee, be transferred to OGS for disposition, in the case of computers and accessories to school districts located near Authority offices or operating facilities, or in the case of office furniture and office equipment, to other state entities. Disposal of these items in this manner represents the best value to New York State in lieu of

attempted re-sale of such materials.

XIII. METHODS OF PAYMENT

The proceeds from the sale of Property in the form of cash or a certified check made payable to the Authority must be forwarded to the Authority's Treasurer by the Facility PDCs and to the Authority's Controller's Office by the DTP and WPO PDC(s). In certain cases, involving a transfer of Property to other state agencies or authorities, the performance of documented services to the Authority equal to or greater in value to the Fair Market Value of the Property, will serve as payment for such Property. The authorization limits of Article XI shall apply to such transactions.

XIV. REPORTING REQUIREMENTS

A. The Authority shall publish, not less frequently than annually, a report of all Property having a FMV in excess of $5,000 that was disposed of during the reporting period, including the full description, price (if any) received and the name of the purchaser for all such Property disposed of by the Authority during such period. Such report shall be prepared in conjunction with the report required by the Authority's "Guidelines for the Disposal of New York Power Authority Real Property."

B. Such report, as approved by the Board of Trustees, shall be submitted to the State Comptroller, the Director of the Division of the Budget, the Commissioner of General Services, the State Legislature and the Authorities Budget Office.

C. These Guidelines, as approved by the Trustees, shall be reviewed and approved annually by the Authority's Board of Trustees. On or before the thirty-first day of March in each year, the Authority shall file with the State Comptroller a copy of the Guidelines most recently reviewed and approved by the Board of Trustees, including the name of the Authority's designated Contracting Officer. At the time of filing such Guidelines with the Comptroller, the Authority shall also post such Guidelines on the Authority's internet website and maintain such Guidelines on the website.

D. For disposal by negotiation of Property over $15,000, Property of any value related to the disposal of Real Property by exchange, or Property where part of the consideration received is Real Property, an explanatory statement shall be prepared and submitted to the parties as set forth in Subsection VI.A.5.

E. Staff from the Business Services Business Unit, or equivalent(s), prepare and present ongoing reports regarding disposals of personal property at regularly scheduled Board of Trustee Governance Committee meetings.

The Authority may be called upon periodically to submit information regarding the Disposal of Personal Property to organizations implementing the PAAA or other statutes regulating the disposal of Property, such as the Authorities Budget Office through the Public Authorities Reporting Information System ("PARIS").

BID SHEET

The following personal property is available for sale "AS IS, WHERE IS" and the Power Authority gives no warranty whatsoever as to its condition.

LUMP SUM BID AMOUNT* $_____

Subject to all terms and conditions set forth on the reverse hereof, the undersigned offers and agrees to purchase the above-described personal property at the bid amount indicated.

Signature	Company Name
Name (printed)	Street Address
Date	City, State Zip Code
Fax Number	Telephone Number

* All sales are subject to New York State Sales Tax and Compensating Use Tax unless the Purchaser furnishes the Authority with an exemption certificate.

PERSONAL PROPERTY SALE
SALE NO. _____
NEW YORK POWER AUTHORITY
(ADDRESS OF PROJECT)
Telephone: ( )
FAX: ( )

Subject to the terms and conditions stated below, bids will be received on the personal property, either by mail, fax or hand delivery at the (Location) _____ no later than (Date) _____

The personal property is available for inspection, by appointment, at the (Project) _____. For an appointment, please contact the Property Disposal Coordinator, (Name) _____ at (Telephone no.) _____.

Successful bidders will be required to pay by certified check, on notice from the Authority that the bid has been accepted and remove the personal property from the Authority's premises within ten (10) calendar days after receipt of notice of award.

Envelopes containing bids submitted by mail should be marked on the outside to indicate that a bid on Sale No._____ is enclosed.

Current and former employees of the Power Authority or relatives of such employees or third parties acting on behalf of such employees or relatives are ineligible to bid and are prohibited from subsequently acquiring such personal property in any manner.

1. **INSPECTION.** Bidders are invited, urged and cautioned to inspect the personal property being sold prior to submitting a bid. The personal property will be available for inspection at the time and place specified above. In no case will failure to inspect constitute grounds for the withdrawal of a bid after opening.

2. **CONDITION OF PROPERTY.** All personal property listed is offered for sale "AS IS, WHERE IS". The Authority does not in any way warrant the fitness of the personal property for any particular use or its merchantability and disclaims any other representations or warranties, express or implied, including, but not limited to, quality, character, performance or condition of the personal property or any of its component parts, assemblies, or accessories.

3. **CONSIDERATION OF BIDS.** Bids must be submitted in writing on the form provided by the Authority (see reverse side) and shall be submitted on all items listed. The Authority reserves the right to reject any and all bids, to waive technical defects in bids and to award sale of the items as may be in the best interest of the Authority.

4. **PAYMENT.** The Purchaser agrees to pay for the awarded personal property in accordance with the prices quoted in his/her bid. Payment of the full purchase price must be made within the time allowed for removal, and prior to the release of any personal property to the Purchaser.
5. **NEW YORK STATE SALES AND COMPENSATING USE TAX.** All sales will be subject to New York State Sales and Compensating Use Tax unless the Purchaser furnishes the Authority with an exemption certificate.

ADVERTISEMENT FOR PROPOSALS

The following described personal property shall be sold "AS IS, WHERE IS" by the New York Power Authority ("the Authority").

1. Sealed bids are invited for the above, which will be available for inspection by inquiry at the (Location/Building) _____ at the (Project and Address) _____ between the hours of _____a.m. to _____ p.m. on (Date/s) . Bids must be submitted on the Authority's bid form, which can be obtained by calling (Telephone no.) . No bid will be accepted unless it is on such form. Bids shall be accepted on or before ___ p.m. on (Date) .

2. Current and former employees of the Authority or relatives of such employees or third parties seeking to act on behalf of such employees or relatives shall be ineligible to bid.

3. Successful bidders, on notice from the Authority, shall be required to pay by certified check and shall promptly remove the personal property from the Authority's property.

4. The Authority reserves the right to reject any and all bids.

PERSONAL PROPERTY
SALES AGREEMENT

_____, the Buyer, and the Power Authority of the State of New York ("the Authority"), agree as follows:

1. The personal property identified herein is sold by the Authority and purchased by Buyer "AS IS, WHERE IS" at the price(s) shown, plus any applicable sales tax.

2. **THE AUTHORITY DOES NOT IN ANY WAY WARRANT THE FITNESS OF THE PERSONAL PROPERTY FOR ANY PARTICULAR USE OR ITS MERCHANTABILITY AND DISCLAIMS ANY OTHER REPRESENTATIONS OR WARRANTIES, EXPRESS OR IMPLIED INCLUDING, BUT NOT LIMITED TO, THE QUALITY, CHARACTER, PERFORMANCE, OR CONDITION OF THE PERSONAL PROPERTY OR ANY OF ITS COMPONENT PARTS, ASSEMBLIES, OR ACCESSORIES.**

3. The Buyer warrants that he/she/it is not a current or former Authority employee, is not related to an Authority employee, and did not bid on behalf of an Authority employee. Buyer is aware that Authority employees and their family members are precluded from subsequently receiving, or acquiring, in whole or in part, by any manner including gift, sale, loan or lease, the personal property acquired by the Buyer pursuant to this sale. The term "related to" as used in this paragraph means the relationships of spouse, child, parent, sister, brother, grandparent, grandchild, aunt, uncle, cousin, niece, nephew, stepchild, stepparent, stepsister, stepbrother, mother-in-law, father-in-law, sister-in-law, brother-in-law, daughter-in-law, or son-in-law. The Authority reserves the right to invoke any available legal or equitable remedy in the event of a breach by the Buyer of his or her warranty under this paragraph, including but not limited to, rescinding the sale and recovering the property sold and all costs associated with the sale and the rescission of said sale.

4. The Buyer shall indemnify and hold harmless the Authority and all of its officers, agents and employees from any loss, damage, remedial or response cost, liability or expense, on account of damage or contamination to property and injuries, including death, to all persons, including Buyer's employees, or any third parties, arising or in any manner growing out of the sale of any personal property or the performance of any work under this agreement and shall defend at its own expense any suits or other proceedings brought against the Authority and its officers, agents and employees, or any of them, on account thereof, and pay all expenses and satisfy all judgments which may be incurred by or rendered against them or any of them in connection therewith.

5. Except for disposals by public auction, the Buyer shall remove the personal property from the Authority's premises by_____ at Buyer's expense. The Buyer shall make payment upon delivery by certified check payable to the New York Power Authority.

Description of Personal Property:

Selling Price: _____

Executed this _____ day of _____ 20

Buyer (print or type)

_____

_____

_____

_____
Authorized Signature

_____
Full Name (printed)

_____
Title

Seller:
Power Authority of the State of New York

123 Main Street

White Plains, NY 10601

_____
Authorized Signature

_____
Title

PRIVACY LAW NOTIFICATION

SECTION 94(1)(d) OF THE NEW YORK PUBLIC OFFICERS LAW REQUIRES THIS NOTICE TO BE PROVIDED WHEN COLLECTING PERSONAL INFORMATION FROM POTENTIAL PURCHASERS OF AUTHORITY PROPERTY.

This information is requested pursuant to Article 5, Title I of the Public Authorities Law. The principal purpose for which the information is collected is to assist the Power Authority of the State of New York in the sale of Authority personal property in accordance with Section 96(1) of the Personal Privacy Protection Law, particularly subdivisions (b), (e) and (f).

Failure to provide the requested information may result in ineligibility for participation in a program, sale or benefit provided by the Authority.

This information will be maintained by Fleet Operations, at the Power Authority of the State of New York, Clark Energy Center located at 6520 Glass Factory Road, Marcy, N.Y. 13403, (315) 724-8186 or, when appropriate, by the Strategic Supply Management Department at the Corporate office or at one of the Authority facilities.

Company Policy Title:

NYPA Expenditure Authorization Procedures

Exhibit B
March 30, 2021

Policy Number:

CP 3-3

Revision Date(For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
3/30/2021	2	Per the By-Laws of the Power Authority of the State of New York, Article VII, Section 5, the EAPs were adopted by resolution and are reviewed annually and approved (by the Trustees). Updates proposed for adjustments to authorization limits and titles.		John Canale, Vice President, Strategic Supply Management
5/31/2019	1	Per the By-Laws of the Power Authority of the State of New York, Article VII, Section 5, the EAPs were adopted by resolution and are reviewed annually and approved (by the Trustees). Updates proposed for clarity and ease of use.		Diane Gil, Senior Director, Procurement Governance & Analytics Center of Excellence
3/27/2018	0	Converting approved 2018 NYPA Expenditure Authorization Procedures ("EAP's") to e-scribe format. Per the By-Laws of the Power Authority of the State of New York, Article VII, Section 5, the EAPs were adopted by resolution and are reviewed annually and approved (by the Trustees).	N/A	Diane Gil, Senior Director, Procurement Governance & Analytics Center of Excellence

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EXPENDITURE AUTHORIZATION PROCEDURES

1. Purpose

These Expenditure Authorization Procedures ("EAPs") set forth the policy of the New York Power Authority ("NYPA") regarding approval authority applicable to requisitions for Procurement and Non-Procurement Contracts and the execution of contract documents. These EAPs govern purchasing activities as defined in NYPA's Guidelines for Procurement Contracts ("Procurement Guidelines"). Certain contracts such as financial contracts, fuel contracts and contracts concerning the sale of energy have separate and distinct authorization guidelines and are not covered under these EAPs.

2. Definitions

A. "**Procurement Contracts**" are fully defined in the Procurement Guidelines and include contracts for the acquisition of goods or services necessary to support NYPA's offices and operations in the actual or estimated amount of five thousand dollars or more.

B. "**Non-Procurement Contracts**" are fully defined in the Procurement Guidelines and include contracts for energy, capacity, ancillary services, transmission, distribution or related services in support of providing service to NYPA customers, contracts for differences, financial hedge contracts and credit rating services. Additionally, Non-Procurement Contracts include contracts for the direct placement of advertisements, subscriptions, fees or tuition, funding agreements, grants, memberships, etc, as more fully set forth in the Procurement Guidelines.

C. "**Personal Service Contracts**" are procurement contracts for services of a consulting, professional or technical nature provided by outside consultants/contractors for a fee or other compensation which include, but are not limited to, accounting, architectural, engineering, financial advisory, legal, public relations, planning, management consulting, surveying, training (when specifically developed by a consultant for NYPA) and construction management contracts.

D. "**Low Bidder**" generally refers to a contract award recommendation or award on the basis of being the lowest priced qualified bidder submitting a proposal that meets the commercial and technical requirements of the bid documents.

E. "**Best Value**" generally refers to a contract award recommendation or award of a contract for services on the basis of optimum quality, cost and efficiency among commercially and technically qualified responsive and responsible offerors.

F. "**Single Source**" refers to a procurement in which NYPA, upon written findings setting forth material and substantial reasons, may award a contract (or amendment to a contract) to one offeror over another that can supply the goods or services.

G. "**Sole Source**" refers to a procurement in which only one offeror is capable of supplying the required goods and services.

H. "**Non-competitive**" refers to a procurement, as more fully set forth in the Procurement Guidelines, in which a contract award recommendation or award is not made on the basis of being the Low Bidder or Best Value, nor is it awarded on a Single Source or Sole Source basis.

For a more detailed and full listing of definitions, including definitions for non-personal services, construction, equipment and non-procurement contracts, please refer to the Procurement Guidelines. All Single / Sole Source or Non-competitive award required written justification and approval by the VP, SSM at a minimum (also refer to the Guidelines for Procurement Contracts Sections 3.H, N and O.)

EXPENDITURE AUTHORIZATION PROCEDURES

APPROVAL LIMITS APPLICABLE TO REQUISITIONS FOR PROCUREMENT AND NON-PROCUREMENT CONTRACTS WITH THE EXCEPTION OF PERSONAL SERVICES CONTRACTS

	AWARD BASIS IS: LOW BIDDER or BEST VALUE [1]		AWARD BASIS IS: NON-COMPETITIVE, SOLE or SINGLE SOURCE		CUMULATIVE CHANGE ORDER LIMIT [2]	
FIRST LINE SUPERVISOR / SITE ENGINEER	TO	$5,000	TO	$5,000	TO	$5,000
SENIOR CONSTRUCTION ENGINEER or SENIOR ON-SITE NYPA EMPLOYEE	TO	$25,000	TO	$25,000	TO	$25,000
FACILITY SUPERINTENDENT, MANAGER or SENIOR MANAGER	TO	$100,000	TO	$50,000	TO	$50,000
PROJECT MANAGER or PROGRAM MANAGER	TO	$500,000	TO	$250,000	TO	$125,000
DIRECTOR or SENIOR DIRECTOR	TO	$2,000,000	TO	$1,000,000	TO	$250,000
REGIONAL MANAGER	TO	$3,000,000	TO	$1,000,000	TO	$750,000
VICE PRESIDENT	TO	$3,000,000	TO	$1,000,000	TO	$750,000
SENIOR VICE PRESIDENT	TO	$5,000,000	TO	$1,000,000 [3]	TO	$1,000,000
CHAIR, PRESIDENT, COO or EXECUTIVE VICE PRESIDENT	TO	$10,000,000	TO	$10,000,000	TO	$6,000,000
TRUSTEES [4]	OVER	$10,000,000	OVER	$10,000,000	OVER	$6,000,000

(1) **"Low Bidder or Best Value" approval limits also apply to Individual Purchase Order Releases (PORs) from active Value Contracts, up to the EVP approval level. An EVP can approve PORs up to the full authorization amount of a Value Contract.**

(2) **Subject to 25% rule - see page 5. Cumulative Change Order limits apply when the authorized value of a value contract target has been exceeded.**

(3) **Single and Sole Source Contracts valued or estimated at $1 million or greater require review for approval by the NYS Comptroller. Change Orders (competitively bid or non-competitively bid) valued or estimated at $1 million or greater or which change the overall value of a contract to $1 million or greater require NYS Comptroller notification.**

(4) **Trustees' approval is also required when:**

- **A. The term of a Non-Personal Services or Construction contract including any extensions or options, exceeds 1 year. Excludes equipment / goods.**
- **B. The initial term of less than 1 year for Non-Personal Services or Construction contracts extends beyond 1 year.**
- **C. Cumulative Change Orders exceed $6,000,000 million.**

EXPENDITURE AUTHORIZATION PROCEDURES

APPROVAL LIMITS APPLICABLE TO REQUISITIONS FOR PERSONAL SERVICES CONTRACTS

IF LESS THAN 1 YEAR AND AWARD BASIS IS:

	LOW BIDDER or BEST VALUE [1]		NON-COMPETITIVE, SOLE or SINGLE SOURCE		CUMULATIVE CHANGE ORDER LIMIT [2]	
FACILITY SUPERINTENDENT, MANAGER or SENIOR MANAGER,	TO	$50,000	TO	$25,000	TO	$25,000
PROJECT MGR. or PROGRAM MGR.	TO	$100,000	TO	$50,000	TO	$50,000
DIRECTOR or SENIOR DIRECTOR	TO	$100,000	TO	$50,000	TO	$50,000
REGIONAL MANAGER	TO	$500,000	TO	$250,000	TO	$125,000
VICE PRESIDENT	TO	$1,000,000	TO	$500,000	TO	$250,000
SENIOR VICE PRESIDENT	TO	$3,000,000	TO	$750,000	TO	$500,000
CHAIR, PRESIDENT, COO or EXECUTIVE VICE PRESIDENT	TO	$10,000,000	TO	$1,000,000	TO	$500,000
TRUSTEES [3]	OVER	$10,000,000	OVER	$1,000,000	OVER	$500,000

(1) **"Low Bidder or Best Value" approval limits also apply to Individual Purchase Order Releases (PORs) from active Value Contracts, up to the EVP approval level. An EVP can approve PORs up to the full authorization amount of a Value Contract.**

(2) **Subject to 25% rule - see page 5. Cumulative Change Order limits apply when the authorized value of a value contract target has been exceeded.**

(3) **Trustees' approval is also required when:**

- **A. The term of a Personal Services contract, including any extensions or options, exceeds 1 year.**
- **B. The initial term of less than 1 year for a Personal Services contract extends beyond 1 year.**
- **C. Cumulative Change Orders exceed $500,000.**

EXPENDITURE AUTHORIZATION PROCEDURES

LIMITS FOR EXECUTION OF CONTRACT DOCUMENTS

OPERATING FACILITIES:			LIMIT:
FACILITY PURCHASING STAFF or FLEET CLERK	Procurement Contracts	TO	$5,000
SENIOR SITE BUYER	"	TO	$25,000
SITE MANAGER	"	TO	$100,000
REGIONAL MANAGER or DESIGNEE[1]	"	TO	$500,000
HEADQUARTERS:			
STRATEGIC / TRANSACTIONAL BUYER – SSM [2]	Procurement Contracts	TO	$50,000
SENIOR STRATEGIC BUYER – SSM	"	TO	$250,000
CATEGORY MANAGER – SSM	"	TO	$500,000
DIRECTOR – SSM	"	TO	$750,000
SENIOR DIRECTOR – SSM	"	TO	$1,000,000
VP – SSM [4]	"	TO	$25,000,000
CHAIR, PRESIDENT, COO or EVP	"	OVER	$25,000,000
VP – ENTERPRISE SHARED SERVICES	Real Estate Transactions	TO	$3,000,000
EVP – HR & ADMINISTRATION	Real Estate/Fleet Transactions	TO	$5,000,000
VP – COMMERCIAL OPERATIONS or SVP CLEAN ENERGY SOLUTIONS	Customer Project Agreement[3]	TO	$2,000,000
EVP AND CHIEF COMMERCIAL OFFICER	Customer Project Agreement[3]	OVER	$2,000,000
VP – COMMERCIAL OPERATIONS or SVP CLEAN ENERGY SOLUTIONS	Customer Agreement Ongoing Revenue[5]	TO	$2,000,000
EVP AND CHIEF COMMERCIAL OFFICER	Customer Agreement Ongoing Revenue[5]	OVER	$2,000,000

(1) All delegations of authority must be in writing.

(2) Strategic Supply Management (SSM).

(3) Customer Project Agreement - These authorizations apply to the Customer Installation Commitments, Customer Project Commitments, Master Energy Agreement Task Orders, Power Proceeds Awards, Industrial Incentive Awards and/or similar Customer agreement initiating a project, and the settlement of such Customer projects. Authorization applies to any VP in Commercial Operations.

(4) Certain contract documents, specifically Letters of Intent, Notices to Proceed, Non-Disclosure Agreements and Master Cost Recovery Agreements, require the authorization of the VP, SSM.

(5) Customer Agreement Ongoing Revenue – These authorizations apply to Customer Power Sales and similar agreements with ongoing revenues to NYPA. RNY Agreements associated with allocations approved by Trustees to be executed by SVP CES. Applies to Customer Agreements not subject to PAL 1009. Authorization applies to any VP in Commercial Operations.

CHANGE ORDER APPROVALS AND REBIDDING THRESHOLDS

1 . A) For contracts with initially approved amounts of **$100,000 or less,** rebidding will occur when the total cumulative value of change orders exceeds $25,000.

B) **If rebidding is not feasible,** any request to increase funding for such contracts must be supported by a memorandum explaining the need for additional funding in excess of the original amount approved. The memorandum shall be approved in accordance with the cumulative change order limits set forth on Pages 2 and 3 and forwarded to the NYPA VP, Strategic Supply Management (SSM) for review and final approval.

2 . A) For contracts with initially approved amounts **exceeding $100,000,** rebidding will occur when the total cumulative value of change orders exceeds 25% of the original amount approved.

B) **If rebidding is not feasible,** any request to increase funding for such contracts must be supported by a memorandum explaining the need for additional funding in excess of original amount approved. The memorandum shall be approved in accordance with the cumulative change order limits set forth on Pages 2 and 3 and forwarded to the NYPA VP, SSM for review and approval. Cumulative change orders exceeding 25% of the original contract amount or exceeding $500K for personal services contracts or exceeding $6, 250,000 for procurement and non-procurement contracts (whichever is greater), require Trustee approval. The memorandum shall be signed in accordance with the cumulative change order limits set forth on Pages 2 and 3 and forwarded to the NYPA VP, SSM for review, followed by transmittal to the NYPA President, Chairman or Chief Operating Officer for approval, prior to obtaining Trustee approval.

3 . Rebidding should commence as soon as it is recognized that the contract value will exceed these thresholds, even if the term of the contract is not complete.

4. Once the approval of such additional funding is received from the Trustees, any subsequent increase in funding requires an additional memorandum for the approval of the Chair or Executive Vice President, until either the Trustees' approval is obtained or the contract is rebid.

5. Typical bases for additional funding include an "emergency condition" (as defined in the Authority's Guidelines for Procurement Contracts) which necessitates the additional funding; and a situation where it is impractical to rebid (e.g., a construction project where it would not be reasonable to change contractors or other reasons as provided for in the Authority's Guidelines for Procurement Contracts). Under- estimating the scope of a contract or failure to rebid in a timely fashion are not acceptable reasons for increased funding.

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C. "**Personal Service Contracts**" are procurement contracts for services of a consulting, professional or technical nature provided by outside consultants/contractors for a fee or other compensation which include, but are not limited to, accounting, architectural, engineering, financial advisory, legal, public relations, planning, management consulting, surveying, training (when specifically developed by a consultant for NYPA) and construction management contracts.

D. "**Low Bidder**" generally refers to a contract award recommendation or award on the basis of being the lowest priced qualified bidder submitting a proposal that meets the commercial and technical requirements of the bid documents.

E. "**Best Value**" generally refers to a contract award recommendation or award of a contract for services on the basis of optimum quality, cost and efficiency among commercially and technically qualified responsive and responsible offerors.

F. "**Single Source**" refers to a procurement in which NYPA, upon written findings setting forth material and substantial reasons, may award a contract (or amendment to a contract) to one offeror over another that can supply the goods or services.

G. "**Sole Source**" refers to a procurement in which only one offeror is capable of supplying the required goods and services.

H. "**Non-competitive**" refers to a procurement, as more fully set forth in the Procurement Guidelines, in which a contract award recommendation or award is not made on the basis of being the Low Bidder or Best Value, nor is it awarded on a Single Source or Sole Source basis.

For a more detailed and full listing of definitions, including definitions for non-personal services, construction, equipment and non-procurement contracts, please refer to the Procurement Guidelines. All Single / Sole Source or Non-competitive award required written justification and approval by the VP, SSM at a minimum (also refer to the Guidelines for Procurement Contracts Sections 3.H, N and O.)

EXPENDITURE AUTHORIZATION PROCEDURES

APPROVAL LIMITS APPLICABLE TO REQUISITIONS FOR PROCUREMENT AND NON-PROCUREMENT CONTRACTS WITH THE EXCEPTION OF PERSONAL SERVICES CONTRACTS

	AWARD BASIS IS: LOW BIDDER or BEST VALUE (1)		AWARD BASIS IS: NON-COMPETITIVE, SOLE or SINGLE SOURCE		CUMULATIVE CHANGE ORDER LIMIT (2)	
FIRST LINE SUPERVISOR / SITE ENGINEER	TO	$5,000	TO	$5,000	TO	$5,000
SENIOR CONSTRUCTION ENGINEER or SENIOR ON-SITE NYPA EMPLOYEE	TO	$25,000	TO	$25,000	TO	$25,000
FACILITY SUPERINTENDENT, MANAGER or SENIOR MANAGER	TO	$100,000	TO	$50,000	TO	$50,000
PROJECT MANAGER or~~,~~ PROGRAM MANAGER	TO	$500,000	TO	$250,000	TO	$125,000
DIRECTOR or SENIOR DIRECTOR	TO	$2,000,000	TO	$1,000,000	TO	$250,000
REGIONAL MANAGER	TO	$~~3~~1,000,000	TO	$1,0~~5~~00,000	TO	$~~7~~250,000
VICE PRESIDENT	TO	$~~3~~2,000,000	TO	$1,00~~75~~0,000	TO	$~~5750~~0,000
SENIOR VICE PRESIDENT	TO	$~~5~~3,000,000	TO	$1,000,000 (3)	TO	$1,000,000
CHAIR, PRESIDENT, COO or EXECUTIVE VICE PRESIDENT	TO	$10~~6~~,000,000	TO	$10~~6~~,000,000	TO	$6,000,000
TRUSTEES (4)	OVER	$10~~$6~~,000,000	OVER	$10~~6~~,000,000	OVER	$6,000,000

(1) "Low Bidder or Best Value" approval limits also apply to Individual Purchase Order Releases (PORs) from active Value Contracts, up to the EVP approval level. An EVP can approve PORs up to the full authorization amount of a Value Contract.

(2) Subject to 25% rule - see page 5. Cumulative Change Order limits apply when the authorized value of a value contract target has been exceeded.

(3) Single and Sole Source Contracts valued or estimated at $1 million or greater require review for approval by the NYS Comptroller. Change Orders (competitively bid or non-competitively bid) valued or estimated at $1 million or greater or which change the overall value of a contract to $1 million or greater require NYS Comptroller notification.

(4) Trustees' approval is also required when:

A. The term of a Non-Personal Services or Construction contract including any extensions or options, exceeds 1 year. Excludes equipment / goods.
B. The initial term of less than 1 year for Non-Personal Services or Construction contracts extends beyond 1 year.
C. Cumulative Change Orders exceed $6,000,000 million.

EXPENDITURE AUTHORIZATION PROCEDURES

APPROVAL LIMITS APPLICABLE TO REQUISITIONS FOR PERSONAL SERVICES CONTRACTS

IF LESS THAN 1 YEAR AND AWARD BASIS IS:

	LOW BIDDER or BEST VALUE [1]		NON-COMPETITIVE, SOLE or SINGLE SOURCE		CUMULATIVE CHANGE ORDER LIMIT [2]	
FACILITY SUPERINTENDENT, MANAGER or SENIOR MANAGER,	TO	$50,000	TO	$25,000	TO	$25,000
PROJECT MGR. or~~,~~ PROGRAM MGR.~~,~~	TO	$100,000	TO	$50,000	TO	$50,000
DIRECTOR or SENIOR DIRECTOR	TO	$100,000	TO	$50,000	TO	$50,000
REGIONAL MANAGER	TO	$5~~2~~00,000	TO	$25~~10~~0,000	TO	– $125~~50~~,000
VICE PRESIDENT	TO	$1,05~~0~~00,000	TO	$5025~~0~~,000	TO	$250~~125~~,000
SENIOR VICE PRESIDENT	TO	$3~~1~~,000,000	TO	$75~~50~~0,000	TO	$5025~~0~~,000
CHAIR, PRESIDENT, COO or EXECUTIVE VICE PRESIDENT	TO	$10~~2~~,000,000	TO	$1,000,000	TO	$500,000
TRUSTEES [3]	OVER	$10~~2~~,000,000	OVER	$1,000,000	OVER	$500,000

(1) "Low Bidder or Best Value" approval limits also apply to Individual Purchase Order Releases (PORs) from active Value Contracts, up to the EVP approval level. An EVP can approve PORs up to the full authorization amount of a Value Contract.
(2) Subject to 25% rule - see page 5. Cumulative Change Order limits apply when the authorized value of a value contract target has been exceeded.
(3) Trustees' approval is also required when:
   A. The term of a Personal Services contract, including any extensions or options, exceeds 1 year.
   B. The initial term of less than 1 year for a Personal Services contract extends beyond 1 year.

C. Cumulative Change Orders exceed $500,000.

EXPENDITURE AUTHORIZATION PROCEDURES

LIMITS FOR EXECUTION OF CONTRACT DOCUMENTS

OPERATING FACILITIES:			LIMIT:
FACILITY PURCHASING STAFF or FLEET CLERK	Procurement Contracts	TO	$5,000
SENIOR SITE BUYER	"	TO	$25,000
SITE MANAGER	"	TO	$100,000
REGIONAL MANAGER or DESIGNEE[1]	"	TO	$500,000

HEADQUARTERS:			
STRATEGIC / TRANSACTIONAL BUYER – SSM [2]	Procurement Contracts	TO	$50,000
SENIOR STRATEGIC BUYER – SSM	"	TO	$250,000
CATEGORY MANAGER – SSM	"	TO	$500,000
DIRECTOR – SSM	"	TO	$750,000
SENIOR DIRECTOR – SSM	"	TO	$1,000,000
VP – SSM [4]	"	TO	$250,000,000
CHAIR, PRESIDENT, COO or EVP	"	OVER	$250,000,000
VP – ENTERPRISE SHARED SERVICES	Real Estate Transactions	TO	$3,000,000
ESVP – HR & ADMINISTRATION~~ENTERPRISE SHARED SERVICES~~	Real Estate/Fleet Transactions	TO	$5,000,000
VP – COMMERCIAL OPERATIONS or SVP CLEAN ENERGY SOLUTIONS~~LEAN ENERGY BUSINESS & MARKET DEVELOPMENT~~	~~CIC/CPC~~Customer Project Agreement[3]	TO	$2,000,000
EVP AND CHIEF COMMERCIAL OFFICER	Customer Project Agreement~~CIC/CPC~~[3]	OVER	$2,000,000
VP – COMMERCIAL OPERATIONS or SVP CLEAN ENERGY SOLUTIONS	Customer Agreement Ongoing Revenue[5]	TO	$2,000,000
EVP AND CHIEF COMMERCIAL OFFICER	Customer Agreement Ongoing Revenue[5]	OVER	$2,000,000

(1) All delegations of authority must be in writing.

(2) Strategic Supply Management (SSM).

(3) Customer Project Agreement ~~IC/CPC = Customer Installation Commitments / Customer Project Commitments.~~ These authorizations apply to the Customer Installation Commitments, Customer Project Commitments, Master Energy Agreement Task Orders, Power Proceeds Awards, Industrial Incentive Awards and/or similar Customer agreement~~CIC's / CPC's~~ initiating a project, and the settlement of such Customer projects. Authorization applies to any VP in Commercial Operations.

(4) Certain contract documents, specifically Letters of Intent, ~~and~~ Notices to Proceed, Non-Disclosure Agreements and Master Cost Recovery Agreements, require the authorization of the VP, SSM.

~~(4)~~(5) Customer Agreement Ongoing Revenue – These authorizations apply to Customer Power Sales and similar agreements with ongoing revenues to NYPA. RNY Agreements associated with allocations approved by Trustees to be executed by SVP CES. Applies to Customer Agreements not subject to PAL 1009. Authorization applies to any VP in Commercial Operations.

CHANGE ORDER APPROVALS AND REBIDDING THRESHOLDS

1 . A) For contracts with initially approved amounts of **$100,000 or less,** rebidding will occur when the total cumulative value of change orders exceeds $25,000.

B) **If rebidding is not feasible,** any request to increase funding for such contracts must be supported by a memorandum explaining the need for additional funding in excess of the original amount approved. The memorandum shall be approved in accordance with the cumulative change order limits set forth on Pages 2 and 3 and forwarded to the NYPA VP, Strategic Supply Management (SSM) for review and final approval.

2 . A) For contracts with initially approved amounts **exceeding $100,000,** rebidding will occur when the total cumulative value of change orders exceeds 25% of the original amount approved.

B) **If rebidding is not feasible,** any request to increase funding for such contracts must be supported by a memorandum explaining the need for additional funding in excess of original amount approved. The memorandum shall be approved in accordance with the cumulative change order limits set forth on Pages 2 and 3 and forwarded to the NYPA VP, SSM for review and approval. Cumulative change orders exceeding 25% of the original contract amount or exceeding $500K for personal services contracts or exceeding $6, 250,000 ~~million~~ for procurement and non-procurement contracts (whichever is greater), require Trustee approval. The memorandum shall be signed in accordance with the cumulative change order limits set forth on Pages 2 and 3 and forwarded to the NYPA VP, SSM for review, followed by transmittal to the NYPA President, Chairman or Chief Operating Officer for approval, prior to obtaining Trustee approval.

3 . Rebidding should commence as soon as it is recognized that the contract value will exceed these thresholds, even if the term of the contract is not complete.

4. Once the approval of such additional funding is received from the Trustees, any subsequent increase in funding requires an additional memorandum for the approval of the Chair or Executive Vice President, until either the Trustees' approval is obtained or the contract is rebid.

5. Typical bases for additional funding include an "emergency condition" (as defined in the Authority's Guidelines for Procurement Contracts) ~~Procurement Contracts)~~ which necessitates the additional funding; and a situation where it is impractical to rebid (e.g., a construction project where it would not ~~it would not~~ be reasonable to change contractors or other reasons as provided for in the Authority's Guidelines for Procurement Contracts). Under-~~e~~estimating the scope of a contract or failure to rebid in a timely fashion are not acceptable reasons for increased funding.

Title: Guidelines for the Disposal of Canal Corporation Personal Property

Document Type: Business Unit Policy

Revision Date: 3/31/2020

Reviewer	Name	Title
This document has been reviewed by:	Eric Rotfeld	Principal Attorney II

Content Owner	Signature	Date
Name: Lisa Wright Title: Manager, Administrative Services		

Approver	Signature	Date
Name: John Canale Title: VP Strategic Supply Management		

Guidelines for the Disposal of Canal Corporation Personal Property

Note: Revision # should be listed in descending order starting with most recent version at the top

Revision Date	Revision #	Description/Modification	Revision Section (s)	Author
3/31/2020	2	Update of certain organizational titles and the correction of certain inconsistencies, grammatical and otherwise	4.1 F-G, 4.7 2-3	Kevin King Director Transactional Procurement
12/1/18	1	Added Definition of Discarded Property; Added Personal Property Discarded by the Corporation; Revised Violations Section	3 4.6 5	Kevin King Director Transactional Procurement
11/15/2018	0	Original Issue	N/A	Kevin King Director Transactional Procurement

1 PURPOSE AND SCOPE

This Policy for the disposal of Canal Corporation ("Corporation") Personal Property, ("Policy") which complies with Title 5-A, Article 9 of the Public Authorities Law, establishes the Corporation's Policy and instructions regarding the use, award, monitoring and reporting of the disposal of personal property. In addition, the Policy designates a Contracting Officer who is responsible for the Corporation's compliance with, and enforcement of, the Policy.

Powers and duties relating to the New York State Canal System, which were transferred to and merged with the New York Power Authority pursuant to Canal Law Article 1-A, may be exercised by the Authority directly or through the Corporation.

2 APPLICABILITY

This Policy applies to all New York State Canal Corporation employees, Initialisms (Acronyms) and Definitions

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

Abandoned Motor Vehicles – a type of tangible Personal Property with special statutory and regulatory requirements for disposal and processing (see Section 5.2.A.).

Abandoned, Lost or Found Personal Property – Property that remains unclaimed after notification to an owner, if known, and/or after being held for the required holding periods as prescribed by law. This includes all lost or mislaid property found on Corporation property/premises, as well as property which is knowingly abandoned.

Authority – Power Authority of the State of New York

Contracting Officer – The Authority's Vice President - Strategic Supply Management or his/her designee

Corporation – The Canal Corporation

Discarded Property – Personal Property of the Corporation, or other personal property that has come into the Corporation's possession, that the Corporation has discarded, or designated to be discarded, as scrap or junk.

Disposals –The sale of Personal Property, the transfer of title or any beneficial interest in Personal Property in accordance with this Policy such as leases, and the exchange of Personal Property. Disposals do not include permits, licenses or temporary use documents that are otherwise revocable due to operational requirements or in the best interests of the Corporation.

Consistent with prior Board action, permits do not convey or transfer a beneficial interest in the Personal Property.

Fair Market Value – The estimated dollar amount that a willing buyer would pay to a willing seller for the Property in an arms-length transaction in the appropriate marketplace and under similar circumstances. Fair market value may be determined by consulting industry-recognized sources, contacting original suppliers, depreciation analysis, appraisals, fair market valuations by public auction or other methods of valuation generally accepted in the industry in which such Property is utilized, as may be approved by the Contracting Officer or authorized designee.

PAL – Public Authorities Law

Personal Property – Property, other than Real Property, owned by the Corporation, regardless of value, and any other interest in such property, to the extent that such interest may be conveyed to another person for any purpose, excluding an interest securing a loan or other financial obligation of another party. Property may include, but is not limited to, materials (Corporation warehouse controlled inventory and Corporation direct turnover materials), tools, equipment or vehicles.

Real Property – Real property, including land, tenements and inherited property owned by the Corporation, and any other interest in such real property, to the extent that such interest may be conveyed to another person or entity for any purpose, excluding an interest securing a loan or other financial obligation of another party.

Relative – is any person living in the same household as the Authority employee or any person who is a direct descendant of the Authority employee's grandparents or the spouse of such descendant, as referred to in Subsection 9.E.1 of these Guidelines. The term Relative may include, but is not limited to, the relationship of spouse, child, parent, sister, brother, grandparent, grandchild, aunt, uncle, cousin, niece, nephew, stepchild, stepparent, stepsister, stepbrother, mother-in-law, father-in-law, sister-in-law, brother-in-law, daughter-in-law or son-in-law.

Transactions – For purposes of this Policy, transactions shall include, but not be limited to, disposals and the issuance of permits, licenses and other temporary use documents for the use of Personal Property.

4 POLICY IMPLEMENTATION

4.1 General Principles

The Corporation shall maintain adequate inventory controls and accountability systems for all Personal Property under its control.

A. Personal Property that is 1) encroaching on real property under the jurisdiction of the Corporation; or 2) located on real property under the jurisdiction of the Corporation that is: (a) not authorized by the applicable permit, license or lease; or (b) left behind following the expiration, revocation or termination of a permit, license or lease; shall be handled in accordance with this Policy, the terms and conditions of the lease, license or permit regarding the removal of such property, and/or the Canal Law, if applicable.

B. The Corporation may dispose of any Personal Property not necessary for its corporate purposes in whatever timeframe that either the Contracting Officer or the Corporation Board deems appropriate.

C. The Corporation may authorize the use of Corporation Personal Property by an entity for any period or term using a temporary, revocable permit, license or other document that does not transfer a beneficial interest in the Personal Property. Such temporary, revocable use is not considered a Disposal for purposes of this Policy.

D. Personal Property shall not be disposed of by the Corporation for less than fair market value, except in limited circumstances as set forth in Paragraph E, sections 1, 2 and 3 of this Section. Fair Market Value may be determined through the use of appraisals, requests for proposals, the bid or auction process, or other means.

E. No asset owned, leased or otherwise in the control of the Corporation with a value in excess of $5,000 may be sold, leased, or otherwise alienated for less than its fair market value except if:

   1. the transferee is a government or other public entity, and the terms and conditions of the transfer require that the ownership and use of the asset will remain with the government or any other public entity;
   2. the purpose of the transfer is within the purpose, mission or governing statute of the Corporation; or
   3. in the event the Corporation seeks to transfer an asset for less than its fair market value to other than a governmental entity, which disposal would not be consistent with the Corporation's mission, purpose or governing statutes, the Corporation shall provide written notification thereof to the governor, the speaker of the assembly, and the temporary president of the senate, and such proposed transfer shall be subject to denial by the governor, the senate, or the assembly. Denial by the governor shall take the form of a signed certification by the governor. Denial by either house of the legislature shall take the form of a resolution by such house. The governor and each house of the legislature shall take any such action within sixty days of receiving notification of such proposed transfer during the months of January through June, provided that if the legislature receives notification of a proposed transfer during the months of July through December, the legislature may take any such action within sixty days of January first of the following year. If no such resolution or certification is performed within sixty days of such notification of the proposed transfer to the governor, senate, and assembly, the Corporation may effectuate such transfer.

F. In the event there is a below fair market value asset transfer for property with a value over five thousand dollars ($5,000) proposed, the following information must be provided by the

Manager, Administrative Services as a trustee item for the Corporation Board at the next scheduled Trustee meeting and the public:

1. a full description of the asset;
2. an appraisal of the fair market value of the asset and any other information establishing the fair market value sought by the Corporation Board;
3. a description of the purpose of the transfer, and a reasonable statement of the kind and amount of the benefit to the public resulting from the transfer, including but not limited to the kind, number, location, wages or salaries of jobs created or preserved as required by the transfer, the benefits, if any, to the communities in which the asset is situated as are required by the transfer;
4. a statement of the value to be received compared to the fair market value;
5. the names of any private parties participating in the transfer, and if different than the statement required by Subparagraph (4) of this Paragraph, a statement of the value to the private party; and
6. the names of any other private parties who have made an offer for such asset, the value offered, and the purpose for which the asset was sought to be used.

G. Before approving the disposal of property with a value over five thousand dollars ($5,000) for less than fair market value, the Corporation Board shall consider the information described in Paragraph F of this Section and make a written determination that there is no reasonable alternative to the proposed below market transfer that would achieve the same purpose of such transfer.

H. The Corporation must use a competitive process as required by the PAL and any related statutes, including public advertising for Disposals exceeding $15,000 in value, except in limited circumstances. In order to dispose of Personal Property by negotiation or public auction without public advertising, but subject to obtaining competition as is feasible under the circumstances, one of the following must be met:

1. the Personal Property involved has qualities separate from the utilitarian purpose of such property, such as artistic quality, antiquity, historical significance, rarity, or other quality of similar effect, that would tend to increase its value, or if the Personal Property is to be sold in such quantity that, if it were disposed of by public advertising, would adversely affect the state or local market for such property, and the estimated fair market value of such property and other satisfactory terms of disposal can be obtained by negotiation;
2. the fair market value of the property does not exceed $15,000;
3. bid prices after advertising are not reasonable, either as to all or some part of the Personal Property, or have not been independently arrived at in open competition;
4. the Disposal will be to the State or any political subdivision, and the estimated fair market value of the Personal Property and other satisfactory terms of disposal are obtained by negotiation;
5. under those circumstances permitted by Section 5.1 (Paragraphs E, F, and G) of this Policy; or
6. the action is otherwise authorized by law.

I. For Personal Property valued at over $15,000 disposed of by negotiation, an explanatory statement is required. Not less than 90 days in advance of the Disposal, an explanatory statement shall be prepared and distributed by the Contracting Officer in accordance with PAL § 2897, detailing the circumstances of the Disposal including, but not limited to, the proposed price.

J. The Corporation shall create a clear and comprehensive record for each Transaction that documents its compliance with this Policy. Such record shall be maintained in a manner and for a period consistent with the applicable document retention policy.

4.2 General Practices

A. Abandoned Motor Vehicles - The handling and disposal of Abandoned Motor Vehicles is statutorily covered under Vehicle and Traffic Law and not under this Policy.

B. Abandoned, Lost or Found Personal Property

Abandoned, Lost or Found Personal Property with a value over the statutory limits must, within ten days after the finding or acquisition by Corporation employees or the Corporation's related agents (for example, contractor), be turned over to the New York State Police for processing and forwarding to the Bureau of Office and Building Maintenance Services ("Office Services") at headquarters in Albany. Office Services will return the property to the owner, if known; if the owner of the property is not immediately known, then the property must be held until the statutory holding period has run. At that time, if the property has not been claimed by the true owner or someone with verifiable ownership rights, then Office Services shall return the property to the known independent finder. If the original finder was a Corporation employee or one of its related agents as defined above, ownership then vests in the Corporation and may be treated as other Corporation owned property.

C. Special Abandoned Personal Property

1. Personal Property purposely left behind on Corporation property after termination of a previously issued permit, license or lease shall be handled, removed or disposed of under the terms of the permit, license or lease, or if required, pursuant to the applicable provisions of the Canal Law governing encroachments.
2. Abandoned Personal Property originally issued by the Corporation such as unclaimed wages or benefits, or unclaimed consumer balances shall be held for the required holding times as prescribed by the Personal Property Law and Abandoned Property Law, at which time the property vests in the Corporation.
3. Other Personal Property such as unclaimed bonds, dividends, interest, securities, etc. owed to security holders shall be held for the required statutory periods by the Corporation's properly delegated trustees or other fiduciaries.

D. Surplus Personal Property

The Manager, Administrative Services or his or her designee will provide the Executive

Deputy Director or his or her designee with information on all items of Personal Property declared surplus.

4.3 Disposal Process

The Manager, Administrative Services or his or her designee will prepare a list of all Personal Property to be disposed of and prepare an internal estimate of the value of such property.

A. The method of disposal shall be based on the following Personal Property values:

1. Personal Property valued at less than $1,000 may be sold or donated, or when having an estimated resale value less than the cost of handling and sale may be disposed of as scrap or junk. The provisions of Section 5.6 will apply to such property.
2. Solicitation via telephone, email, and/or direct mailings may be used where the estimated Fair Market Value of the Property to be disposed of does not exceed $15,000. All bids must be submitted in writing on the Corporation generated forms or an appropriate substitute and in the manner prescribed by this Policy and by the date and time included in the solicitation.
3. Personal Property valued in excess of $5,000 up to and including $15,000 may be negotiated or made by public auction without publicly advertising for bids when approved by the Contracting Officer or, where required, by the Board, such as in Section 5.1 (Paragraphs E and F).
4. Personal Property valued in excess of $15,000 shall be offered for sale by a formal competitive process that includes public advertising for bids unless one of the exceptions listed in Section 5.1.E is met. If such an exception exists, disposal may be by negotiation or public auction without public advertising, when approved by the Contracting Officer or, where required, by the Board, such as in Section 5.1.G.

Note: For Personal Property valued in excess of $15,000 disposed of by negotiation, an explanatory statement is required as described in Section 5.1.I.

B. When public advertising is required for disposals, the following steps must be taken pursuant to PAL § 2897:

1. The advertisement shall be made at such time prior to the disposal or contract, through such methods, and on such terms and conditions as shall permit full and free competition consistent with the value and nature of the Personal Property;
2. All bids shall be publicly disclosed at the time and place stated in the advertisement; and
3. The award shall be made with reasonable promptness by notice to the responsible bidder whose bid, in conformance with the solicitation, will be most advantageous to the Corporation, price and other factors considered, provided that any and all bids may be rejected when it is in the public interest to do so.

C. When property is sold by sealed bid, by public auction or by an electronic auction, sale prices are approved by the Manager, Administrative Services or his or her designee. If such person determines that property should be offered at an established or set price due

to its unusual nature, or any other special conditions that would make competitive bidding impractical, Manager, Administrative Services or designee will recommend an acceptable price and a method of sale to the Contracting Officer for approval.

D. If the Manager, Administrative Services or designee determines that the best interests of the Corporation are served by selling at public auction, the Manager, Administrative Services) or designee shall supervise the auction and may reject any and all bids considered to be unacceptable.

E. Where permitted by law, Disposals may be performed by the Commissioner of General Services on behalf of the Corporation when the Corporation has entered into an agreement with the Commissioner of General Services pursuant to PAL and/or other applicable statutes.

4.4 Reports

The Corporation will annually develop and distribute reports regarding Personal Property having a Fair Market Value in excess of $5,000 that was disposed of during the reporting period, including the full description, price (if any) received and the name of the purchaser for all such Personal Property disposed of by the Corporation during such period as required by law. The report shall be delivered to the New York State Comptroller, the Director of the Budget, the Commissioner of General Services, the New York Legislature and the Authorities Budget Office.

4.5 Procurement of Surplus Personal Property by Employees

Corporation employees and relatives of such employees or third parties acting on behalf of such employees shall not have any personal interest in, or engage in, any activity, inclusive of bidding for the purchase of Canal Property that would create or appear to create a conflict with the proper discharge of their public duties and are prohibited from subsequently acquiring in any manner. It is important, even in the absence of any impropriety, that no appearance of impropriety is given. Therefore, pursuant to the Public Officers Law, all Corporation employees, their spouses and any children and stepchildren under age 18, stepparents, parent, sister, brother, grandparent, grandchild, aunt, uncle, cousin, nephew, niece, mother in law, father in law, sister in law, brother in law, daughter in law, son in law are prohibited from procuring Corporation Surplus Personal Property or otherwise securing such property through the use of an agent or other third party.

In addition, Corporation employees, other than the Manager, Administrative Services or designee, shall not disclose to any non-employee any information that they obtain regarding such property due to the nature of their employment. Such disclosure by the Manager, Administrative Services or designee shall only be made in the course of the proper discharge of their official duties.

4.6 Personal Property Discarded by the Corporation

Corporation employees shall not, without written permission of the Executive Deputy Director: (1) retrieve or otherwise take possession of Discarded Property for their own use or for the use of other persons, even for purposes of donation; (2) give Discarded Property

to other persons; or (3) sell Discarded Property. Any permissions granted pursuant to this section will be retained by the Manager, Administrative Services.

4.7 Signing Authority

1. The Board, if the Fair Market Value of the Property is greater than $500,000 or if the Disposal is for less than Fair Market Value in accordance with Section 5 (paragraphs F and G).
2. The Contracting Officer if the Fair Market Value is up to $500,000.
3. The Executive Deputy Director if the Fair Market Value is up to $100,000.
4. The Manager, Administrative Services if the Fair market Value of the Property is $5,000 or less.
5. For Fleet related transactions, the Vice President of the Authority's Enterprise Shared Services or equivalent(s), if the Fair Market Value of the Property is up to $500,000.
6. For Fleet related transactions, the Director of the Authority's Fleet Operation, if the Fair Market Value of the Property is up to $100,000.

4.8 At the request of the Executive Vice President and General Counsel, all Authority Business Units and Department Heads shall support and provide assistance in the coordination and administration of this Policy.

5 VIOLATIONS

Violations of this Policy and related policies and procedures by employees may result in disciplinary action up to and including termination. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state or local laws.

6 REFERENCES

Abandoned Property Law
Canal Law
Personal Property Law
Public Authorities Law
Vehicle and Traffic Law

8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle : Every Year

9 ATTACHMENTS

Attachment 9.1: Sales Agreement

ATTACHMENT 9.1

PERSONAL PROPERTY
SALES AGREEMENT

_____, the Buyer, and the New York State Canal Corp ("Canal Corp"), agree as follows:

1) The personal property identified herein is sold by the Canal Corp and purchased by Buyer "AS IS, WHERE IS" at the price(s) shown, plus any applicable sales tax.

2) **THE CANAL CORP DOES NOT IN ANY WAY WARRANT THE FITNESS OF THE PERSONAL PROPERTY FOR ANY PARTICULAR USE OR ITS MERCHANTABILITY AND DISCLAIMS ANY OTHER REPRESENTATIONS OR WARRANTIES, EXPRESS OR IMPLIED INCLUDING, BUT NOT LIMITED TO, THE QUALITY, CHARACTER, PERFORMANCE, OR CONDITION OF THE PERSONAL PROPERTY OR ANY OF ITS COMPONENT PARTS, ASSEMBLIES, OR ACCESSORIES.**

3) The Buyer warrants that he/she/it is not a current or former Canal Corp employee, is not related to a Canal Corp employee and did not bid on behalf of a Canal Corp employee. Buyer is aware that Canal Corp employees and their family members are precluded from subsequently receiving, or acquiring, in whole or in part, by any manner including gift, sale, loan or lease, the personal property acquired by the Buyer pursuant to this sale. The term "related to" as used in this paragraph means the relationships of spouse, child, parent, sister, brother, grandparent, grandchild, aunt, uncle, cousin, niece, nephew, stepchild, stepparent, stepsister, stepbrother, mother-in-law, father-in-law, sister-in-law, brother-in-law, daughter-in-law, or son-in-law. The Canal Corp reserves the right to invoke any available legal or equitable remedy in the event of a breach by the Buyer of his or her warranty under this paragraph, including but not limited to, rescinding the sale and recovering the property sold and all costs associated with the sale and the rescission of said sale.

4) The Buyer shall indemnify and hold harmless the State of New York, New York Power Authority and the Canal Corp and all of its officers, agents and employees from any loss, damage, remedial or response cost, liability or expense, on account of damage or contamination to property and injuries, including death, to all persons, including Buyer's employees, or any third parties, arising or in any manner growing out of the sale of any personal property or the performance of any work under this agreement and shall defend at its own expense any suits or other proceedings brought against the State of New York, New York Power Authority and the Canal Corp and its officers, agents and employees, or any of them, on account thereof, and pay all expenses and satisfy all judgments which may be incurred by or rendered against them or any of them in connection therewith.

5) Except for disposals by public auction, the Buyer shall remove the personal property from the Canal Corp premises by _____ at Buyer's expense. The Buyer shall make payment upon delivery by certified check payable to the New York State Canal Corporation.

Description of Personal Property:

Selling Price: _____

Executed this_____ day of _____, 20_____.

Buyer (Print or Type):

_____

_____

_____

Seller:

New York State Canal Corporation

30 South Pearl Street

Albany, New York,

_____
Authorized Signature

_____
Authorized Signature

_____
Full Name (Printed)

_____
Title

_____
Title

PRIVACY LAW NOTIFICATION

SECTION 94(1)(d) OF THE NEW YORK PUBLIC OFFICERS LAW REQUIRES THIS NOTICE TO BE PROVIDED WHEN COLLECTING PERSONAL INFORMATION FROM POTENTIAL PURCHASERS OF CANAL CORPORATION PROPERTY.

This information is requested pursuant to Article 5, Title I of the Public Authorities Law. The principal purpose for which the information is collected is to assist the New York State Canal Corporation in the sale of Canal Corp personal property in accordance with Section 96(1) of the Personal Privacy Protection Law, particularly subdivisions (b), (e) and (f).

Failure to provide the requested information may result in ineligibility for participation in a program, sale or benefit provided by the Canal Corp.
This information will be maintained by the Strategic Supply Management Department at the New York State Canal Corp Corporate Office.

NEW YORK STATE CANAL CORPORATION
EXPENDITURE AUTHORIZATION PROCEDURES

1. Purpose

These Expenditure Authorization Procedures ("EAPs") set forth the policy of the Canal Corporation regarding approval authority applicable to requisitions for Procurement and Non-Procurement Contracts and the execution of contract documents. These EAPs govern purchasing activities as defined in Canal Corporation's Guidelines for Procurement Contracts ("Procurement Guidelines").

2. Definitions

A. "**Procurement Contracts**" are fully defined in the Procurement Guidelines and include contracts for the acquisition of goods or services necessary to support Canal Corporation offices and operations in the actual or estimated amount of five thousand dollars or more.
B. "**Non-Procurement Contracts**" are fully defined in the Procurement Guidelines, and include contracts for the direct placement of advertisements, subscriptions, fees or tuition, funding agreements, grants, memberships, etc., as more fully set forth in the Procurement Guidelines.
C. "**Personal Service Contracts**" are procurement contracts for services of a consulting, professional or technical nature provided by outside consultants/contractors for a fee or other compensation which include, but are not limited to, accounting, architectural, engineering, financial advisory, legal, public relations, planning, management consulting, surveying, training (when specifically developed by a consultant for the Canal Corporation) and construction management contracts.
D. "**Low Bidder**" generally refers to a contract award recommendation or award on the basis of being the lowest priced qualified bidder submitting a proposal that meets the commercial and technical requirements of the bid documents.
E. "**Best Value**" generally refers to a contract award recommendation or award of a contract for services on the basis of optimum quality, cost and efficiency among commercially and technically qualified responsive and responsible offerors.
F. "**Single Source**" refers to a procurement in which Canal Corporation, upon written findings setting forth material and substantial reasons, may award a contract (or amendment to a contract) to one offeror over another that can supply the goods or services.
G. "**Sole Source**" refers to a procurement in which only one offeror is capable of supplying the required goods and services.
H. "**Non-competitive**" refers to a procurement, as more fully set forth in the Procurement Guidelines, in which a contract award recommendation or award is not made on the basis of being the Low Bidder or Best Value, nor is it awarded on a Single Source or Sole Source basis.

For a more detailed and full listing of definitions, including definitions for non-personal services, construction, equipment and non-procurement contracts, please refer to the Procurement Guidelines. All Single / Sole Source or Non-competitive award required written justification and approval by the VP, SSM at a minimum (also refer to the Procurement Guidelines Sections 3.H. N., and O.)

New York State Canal Corporation Expenditure Authorization Procedures

Approval Limits Applicable to Requisitions (Awards or Committed Funding) for Procurement and Non-Procurement Contracts Excluding Personal Services Contracts

Title	Low Bidder or Best Value[1]	Non-competitive, Sole or Single Source[3]	Cumulative Change Order Limit[2] (Subject to Rebidding Thresholds, see page 5)
Manager of: Dam Safety*, Marine Infrastructure*, Project Manager *, Administrative Services Director of: Design, Construction Management, Technical Services, Asset Management & Inspection, Environmental Health & Safety* Canal Regional Engineer	to $1,000,000	to $500,000	to $250,000
Director of: Waterways Maintenance, Internal and Marketing Communications*	to $2,000,000	to $750,000	to $500,000
Regional Manager VP of Planning *	to $3,000,000	to $1,000,000	to $750,000
Canal Corporation SVP of Operations	to $5,000,000	to $1,000,000	to $1,000,000
Chair, President, COO or EVP	to $10,000,000	to $10,000,000	to $6,000,000
Canal Board[4]	over $10,000,000	over $10,000,000	over $6,000,000

* Titles are Shared Service equivalent titles

Notes:

1. "Low Bidder or Best Value" approval limits also apply to Individual Purchase Order Releases (PORs) from active Value Contracts, up to the EVP approval level. An EVP can approve PORs up to the full authorization amount of a Value Contract.
2. Subject to 25% rule - see page 5. Cumulative Change Order limits apply when the original authorized amount of a value contract or Purchase Order has been exceeded. The original authorized aggregate approved value applies when there are multiple contract awards.
3. Single and Sole Source Contracts valued or estimated at $1 million or greater require review for approval by the NYS Comptroller. Change Orders (competitively bid or non- competitively bid) valued or estimated at $1 million or greater or which change the overall value of a contract to $1 million or greater require NYS Comptroller notification.
4. Canal Corporation Board approval is also required when:
    a. The term of a Non-Personal Services or Construction contract including any extensions or options, exceeds 1 year.
    b. The initial term of less than 1 year for Non-Personal Services or Construction contracts extends beyond 1 year.
    c. Cumulative Change Orders exceed $6 million.

New York State Canal Corporation Expenditure Authorization Procedures

Approval Limits for Personal Service Contracts

Title	Low Bidder or Best Value[1]	Non-competitive, Sole or Single Source	Cumulative Change Order Limit[2] (Subject to Rebidding Thresholds, see page 5)
Manager of: Dam Safety*, Marine Infrastructure*, Project Manager *, Administrative Services Director of: Design, Construction Management, Technical Services, Asset Management & Inspection, Environmental, Health & Safety* Canal Regional Engineer	to $100,000	to $50,000	to $50,000
Director of: Waterways Management, Internal and Marketing Communications*	to $200,000	to $100,000	to $50,000
Regional Manager VP of Planning*	to $500,000	to $250,000	to $125,000
Canal Corporation SVP of Operations	to $3,000,000	to $750,000	to $500,000
Chair, President, COO or EVP	to $10,000,000	to $1,000,000	to $500,000
Canal Board	over $10,000,000	over $1,000,000	over $500,000

* Titles noted are Shared Service Equivalent titles

Notes:

1. "Low Bidder or Best Value" approval limits also apply to Individual Purchase Order Releases (PORs) from active Value Contracts, up to the EVP approval level. An EVP can approve PORs up to the full authorization amount of a Value Contract.
2. Subject to 25% rule - see page 5. Cumulative Change Order limits apply when the original authorized amount of a value contract or Purchase Order has been exceeded. The original authorized aggregate approved value applies when there are multiple contract awards.
3. Canal Corporation Board approval is also required when:
    a. The term of a Personal Services contract, including any extensions or options, exceeds 1 year.
    b. The initial term of less than 1 year for a Personal Services contract extends beyond 1 year.
    c. Cumulative Change Orders exceed $500,000.

New York State Canal Corporation Expenditure Authorization Procedures

Limits for the Execution of Contract Documents [(1)] (Includes all Purchase Orders, Contracts and Change Orders)

Procurement Team Specialist or Shared Service Equivalent (Below Grade 18)	to $5,000
Senior Procurement Team Specialist or Shared Service Equivalent (Grade 18)	to $50,000
Procurement Team Manager or Shared Service Equivalent (Grade 23 thru 25)	to $250,000
Manager Administrative Services	to $500,000
Regional Manager	to $750,000
NYPA VP - Enterprise Shared Services (Real Estate and Fleet Disposal Transactions only)	to $3,000,000
Canal Corporation SVP of Operations	to $10,000,000
NYPA VP – Strategic Supply Management (Procurement)	to $20,000,000
NYPA President, Chairman, COO or EVP	over $20,000,000

(1) All delegations of authority must be in writing.
(2) Strategic Supply Management (SSM).
(3) Certain contract documents, specifically Letters of Intent, Notices to Proceed, and Non-Disclosure Agreements, require the authorization of the VP, SSM.

CHANGE ORDER APPROVALS AND REBIDDING THRESHOLDS

1. A) For contracts with initially approved amounts of **$100,000 or less,** rebidding will occur when the total cumulative value of change orders exceeds $25,000.

   B) **If rebidding is not feasible,** any request to increase funding for such contracts must be supported by a detailed memorandum explaining the need for additional funding in excess of the original amount approved. The memorandum shall be approved in accordance with the cumulative change order limits set forth on Pages 2 and 3 and forwarded to the NYPA VP, Strategic Supply Management (SSM) for review and final approval.

2. A) For contracts with initially approved amounts **exceeding $100,000,** rebidding will occur when the total cumulative value of change orders exceeds 25% of the original amount approved.

3. B) **If rebidding is not feasible,** any request to increase funding for such contracts must be supported by a detailed memorandum explaining the need for additional funding in excess of the original amount approved. The memorandum shall be approved in accordance with the cumulative change order limits set forth on Pages 2 and 3 and forwarded to the NYPA VP, SSM for review and approval. Cumulative change orders exceeding 25% of the original contract amount or exceeding $500K for personal services contracts or exceeding $6 million for procurement and non-procurement contracts (whichever is greater), require Board approval. The memorandum shall be signed in accordance with the cumulative change order limits set forth on Pages 2 and 3 and forwarded to the NYPA VP, SSM for review, followed by transmittal to the NYPA President, Chairman or Canal Corporation EVP for approval, prior to obtaining the Canal Board's approval. Rebidding should commence as soon as it is recognized that the contract value will exceed these thresholds, even if the term of the contract is not complete.

4. Once the approval of such additional funding is received, any subsequent increase in funding requires an additional memorandum for the Canal Corporation EVP's approval, until either the Canal Board's approval is obtained or the Contract is rebid.

5. Typical bases for additional funding include an "emergency condition" (as defined in Canal Corporation Guidelines for Procurement Contracts) which necessitates the additional funding; a situation where it is impractical to rebid (e.g., a construction project where it would not be reasonable to change contractors) or other reasons as provided for in the Canal Corporation Guidelines for Procurement Contracts. Under-estimating the scope of a Contract or failure to rebid in a timely fashion are not acceptable reasons for increased funding.

NEW YORK STATE CANAL CORPORATION
EXPENDITURE AUTHORIZATION PROCEDURES

1. Purpose

These Expenditure Authorization Procedures ("EAPs") set forth the policy of the Canal Corporation regarding approval authority applicable to requisitions for Procurement and Non-Procurement Contracts and the execution of contract documents. These EAPs govern purchasing activities as defined in Canal Corporation's Guidelines for Procurement Contracts ("Procurement Guidelines").

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B. "**Non-Procurement Contracts**" are fully defined in the Procurement Guidelines, and include contracts for the direct placement of advertisements, subscriptions, fees or tuition, funding agreements, grants, memberships, etc., as more fully set forth in the Procurement Guidelines.
C. "**Personal Service Contracts**" are procurement contracts for services of a consulting, professional or technical nature provided by outside consultants/contractors for a fee or other compensation which include, but are not limited to, accounting, architectural, engineering, financial advisory, legal, public relations, planning, management consulting, surveying, training (when specifically developed by a consultant for the Canal Corporation) and construction management contracts.
D. "**Low Bidder**" generally refers to a contract award recommendation or award on the basis of being the lowest priced qualified bidder submitting a proposal that meets the commercial and technical requirements of the bid documents.
E. "**Best Value**" generally refers to a contract award recommendation or award of a contract for services on the basis of optimum quality, cost and efficiency among commercially and technically qualified responsive and responsible offerors.
F. "**Single Source**" refers to a procurement in which Canal Corporation, upon written findings setting forth material and substantial reasons, may award a contract (or amendment to a contract) to one offeror over another that can supply the goods or services.
G. "**Sole Source**" refers to a procurement in which only one offeror is capable of supplying the required goods and services.
H. "**Non-competitive**" refers to a procurement, as more fully set forth in the Procurement Guidelines, in which a contract award recommendation or award is not made on the basis of being the Low Bidder or Best Value, nor is it awarded on a Single Source or Sole Source basis.

For a more detailed and full listing of definitions, including definitions for non-personal services, construction, equipment and non-procurement contracts, please refer to the Procurement Guidelines. All Single / Sole Source or Non-competitive award required written justification and approval by the VP, SSM at a minimum (also refer to the ~~Guidelines for~~ Procurement Guidelines~~Contracts~~ Sections 3.H. N., and O.)

New York State Canal Corporation Expenditure Authorization Procedures

Approval Limits Applicable to Requisitions (Awards or Committed Funding) for Procurement and Non-Procurement Contracts Excluding Personal Services Contracts

Title	Low Bidder or Best Value[1]	Non-competitive, Sole or Single Source[3]	Cumulative Change Order Limit[2] (Subject to Rebidding Thresholds, see page 5)
Manager of: Dam Safety*, Marine Infrastructure*, Project Manager *, Administrative Services Director of: Design, Construction Management, Technical Services, Asset Management & Inspection, Environmental Health & Safety*~~Policy & Program Development~~ Canal Regional Engineer~~Manager of: Dam Safety*, Marine Infrastructure*~~	to $1,000,000	to $500,000	to $250,000
~~Manager Planning & Environmental Services*, Manager Administrative Services,~~ Director of: Waterways Maintenance, Internal and Marketing Communications*~~Division Canal Engineer Civil Engineer 5~~	to $2,000,000	to $750,000	to $500,000
Regional Manager VP of Planning *~~Deputy Director Engineering, Construction & Maintenance, Executive Deputy Director, Chief of Staff~~	to $3,000,000	to $1,00~~75~~0,000	to $~~500~~750,000
Canal Corporation SVP of Operations ~~Chief Operating Officer~~	to $5~~6~~,000,000	to $1~~6~~,000,000	to $1~~6~~,000,000
Chair, President, COO or EVP	to $10,000,000	to $10,000,000	to $6,000,000
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Notes:

1. "Low Bidder or Best Value" approval limits also apply to Individual Purchase Order Releases (PORs) from active Value Contracts, up to the EVP approval level. An EVP can approve PORs up to the full authorization amount of a Value Contract.
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4. Canal Corporation Board approval is also required when:
    a. The term of a Non-Personal Services or Construction contract including any extensions or options, exceeds 1 year.
    b. The initial term of less than 1 year for Non-Personal Services or Construction contracts extends beyond 1 year.
    c. Cumulative Change Orders exceed $6 million.

New York State Canal Corporation Expenditure Authorization Procedures

Approval Limits for Personal Service Contracts

Title	Low Bidder or Best Value[1]	Non-competitive, Sole or Single Source	Cumulative Change Order Limit[2] (Subject to Rebidding Thresholds, see page 5)
Manager of: Dam Safety*, Marine Infrastructure*, Project Manager *, Administrative Services Director of: Design, Construction Management, Technical Services, Asset Management & Inspection, Environmental, Health & Safety* ~~Policy & Program Development~~ Canal Regional Engineer ~~Manager of: Dam Safety*, Marine Infrastructure*~~	to $100,000	to $50,000	to $50,000
~~Manager Planning & Environmental Services*, Manager Administrative Services,~~ Director of: Waterways Management, Internal and Marketing Communications* ~~Division Canal Engineer Civil Engineer 5~~	to $200,000	to $100,000	to $50,000
Regional Manager VP of Planning* ~~Deputy Director Engineering, Construction & Maintenance, Executive Deputy Director, Chief of Staff~~	to $500,000	to $250,000	to $125,000
Canal Corporation ~~Chief~~ SVP of Operations ~~Operating Officer~~	to $~~32~~ 000,000	to $~~1,000~~750,000	to $500,000

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Notes:

1. "Low Bidder or Best Value" approval limits also apply to Individual Purchase Order Releases (PORs) from active Value Contracts, up to the EVP approval level. An EVP can approve PORs up to the full authorization amount of a Value Contract.
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3. Canal Corporation Board approval is also required when:
    a. The term of a Personal Services contract, including any extensions or options, exceeds 1 year.
    b. The initial term of less than 1 year for a Personal Services contract extends beyond 1 year.
    c. Cumulative Change Orders exceed $500,000.

New York State Canal Corporation Expenditure Authorization Procedures

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Procurement Team Manager or Shared Service Equivalent (Grade 23 thru 25)	to $250,000
Manager Administrative Services	to $500,000
~~Executive Deputy Director/ Chief of Staff~~Regional Manager	to $750,000
NYPA VP - Enterprise Shared Services (Real Estate and Fleet Disposal Transactions only)	to $3,000,000
Canal Corporation ~~Chief Operating Officer~~SVP of Operations	to $10,000,000
NYPA VP – Strategic Supply Management (Procurement)	to $20,000,000
NYPA President, Chairman, COO or ~~Chief Operating Officer~~EVP	over $20,000,000

~~Notes:~~

~~(1) All delegations of authority must be in writing.~~

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4. Once the approval of such additional funding is received, any subsequent increase in funding requires an additional memorandum for the Canal Corporation ~~Chief Operating Officer's~~EVP's approval, until either the Canal Board's approval is obtained or the Contract is rebid.

5. Typical bases for additional funding include an "emergency condition" (as defined in Canal Corporation Guidelines for Procurement Contracts) which necessitates the additional funding; a situation where it is impractical to rebid (e.g., a construction project where it would not be reasonable to change contractors) or other reasons as provided for in the Canal Corporation Guidelines for Procurement Contracts. Under-estimating the scope of a Contract or failure to rebid in a timely fashion are not acceptable reasons for increased funding.

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Date: **March 30, 2021**

To: **THE GOVERNANCE COMMITTEE**

From: **VICE PRESIDENT- ENTERPRISE SHARED SERVICES**

Subject: **Annual Review and Approval of Guidelines and Procedures for the Disposal of Real Property, Acquisition of Real Property, Annual Reports for the Disposal and Acquisition of Real Property, and Expenditure Authorization Procedures**

SUMMARY

The Governance Committee is requested to review and recommend the following for approval by the full Board of Trustees and Canal Corporation's Board of Directors at the March 30, 2021 meeting:

(1) 2021 Guidelines and Procedures for the Disposal of New York Power Authority Real Property ("Real Property Disposal Guidelines") for transfers of land or interests in land, set forth in Exhibit "A";

(2) 2021 Guidelines and Procedures for the Acquisition of Real Property by the New York Power Authority ("Real Property Acquisition Guidelines") set forth in Exhibit "B";

(3) 2020 Annual Report of the Disposal of Real Property set forth in Exhibit "C";

(4) 2020 Annual Report of the Acquisition of Real Property set forth in Exhibit "C-1";

(5) The Real Estate Expenditure Authorization Procedures ("EAP's") set forth in Exhibit "D";

(6) 2021 Guidelines and Procedures for the Disposal of Canal Corporation Real Property ("Canal Real Property Disposal Guidelines") set forth in Exhibit "E";

(7) 2021 Guidelines and Procedures for the Acquisition of Canal Corporation Real Property ("Canal Real Property Acquisition Guidelines") set forth in Exhibit "F";

(8) 2020 Annual Report of the Disposal of Canal Real Property set forth in Exhibit "G"; and

(9) 2020 Annual Report of the Acquisition of Canal Real Property set forth in Exhibit "G-1".

BACKGROUND

On January 13, 2006, the Public Authorities Accountability Act ("PAAA") was enacted to codify model governance principles for New York State's public authorities to further accountability and transparency. The PAAA was subsequently amended by the Public Authorities Reform Act (Chapter 506 of the Laws of 2009). Among its provisions, the PAAA established rules for the disposal and acquisition of real property owned by public authorities. In addition to requiring each authority to draft and annually review and approve guidelines consistent with the legislation, each authority must also prepare an annual report of all real property of such authority having an estimated fair market value in excess of fifteen thousand dollars that the authority acquires or disposes of during such period. The report shall contain the price received or paid by the authority and the name of the purchaser or seller for all such property sold or bought by the authority during such period.

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The Authority's 2021 Real Property Disposal Guidelines and the 2021 Real Property Acquisition Guidelines set forth the methodology regarding the use, award, monitoring and reporting of contracts for the disposal and acquisition of real property and designate a Contracting Officer responsible for the Authority's compliance with, and enforcement of, such Guidelines. At their meeting of March 31, 2020, the Trustees reviewed and approved the Authority's 2020 Real Property Disposal Guidelines and Real Property Acquisition Guidelines. No changes were made to the Acquisition Guidelines for 2021 attached hereto as Exhibit B. The Guidelines and Procedures for the Disposal of Authority Real Property have been modified to reflect the recent adoption of the Accelerated Renewable Energy Growth and Community Benefit Act, as set forth hereto as Exhibit A.

There are no material changes to the Canal Corporation's Real Property Disposal Guidelines or Acquisition Guidelines for 2021.

DISCUSSION

New York Public Authorities Law §2800 requires that the Real Property Disposal Report list the real property disposal transactions conducted during the reporting period having an estimated fair market value in excess of $15,000.00, including a description of the property, the purchaser's name and the price received by the Authority. Similarly, the Real Property Acquisition Report lists the real property acquisition transactions conducted during the reporting period having an estimated fair market value in excess of $15,000.00, including a description of the property, the seller's name and the price received by the Authority.

During this reporting period, with respect to the Authority there were no disposals of real property with an estimated fair market value in excess of $15,000.00 and one (1) acquisition of real property with an estimated fair market value in excess of $15,000.00.

During this reporting period, with respect to the Canal Corporation there was one disposal of real property with an estimated fair market value in excess of $15,000.00, and two (2) acquisitions of real property with an estimated fair market value in excess of $15,000.00.

The Governance Committee is now requested to review and recommend for approval the Authority's 2021 Real Property Disposal Guidelines, 2021 Real Property Acquisition Guidelines, 2020 Annual Report of the Disposal of Real Property and 2020 Annual Report of the Acquisition of Real Property.

The Governance Committee is also now requested to review and recommend for approval the Canal Corporation's 2021 Real Property Disposal Guidelines and the Acquisition Guidelines, Annual Report of the Disposal of Real Property, and the Annual Report of the Acquisition of Real Property.

The Guidelines and 2020 Annual Reports, if approved by the Authority's Board of Trustees and Canal Corporation's Board of Directors, will be posted on the respective Authority and Canal Corporation internet websites on or before the 31st day of March. The Real Property Disposal Guidelines, the Real Property Acquisition Guidelines and the corresponding 2020 Annual Reports, as reviewed and approved by the Trustees and the Board of Directors, will be filed with the State Comptroller, the Director of the Budget, the Commissioner of General Services, the State Legislature, and the Authorities Budget Office.

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In an effort to reduce the number of relatively low-value transactions submitted for the Trustees' and Board of Directors' approval, the Expenditure Authorization Procedures have been amended to increase the dollar thresholds requiring their review.

FISCAL INFORMATION

There will be no financial impact on the Authority.

RECOMMENDATION

The Vice President – Enterprise Shared Services requests that the Governance Committee recommend that the Trustees and Board of Directors approve the Authority's 2021 Real Property Disposal Guidelines, the 2021 Real Property Acquisition Guidelines, 2020 Annual Report of the Disposal of Real Property, 2020 Annual Report of the Acquisition of Real Property, and the Expenditure Authorization Procedures as set forth in the attached Exhibits.

The Vice President – Enterprise Shared Services, further requests that the Governance Committee recommend that the Trustees and Board of Directors approve the Canal Corporation's 2021 Canal Real Property Disposal Guidelines, 2021 Canal Real Property Acquisition Guidelines, 2020 Annual Report of the Disposal of Canal Real Property and 2020 Annual Report of the Acquisition of Canal Real Property.

For the reasons stated, I recommend the approval of the above-requested action by adoption of the resolution below.

Gil C. Quiniones
President and Chief Executive Officer

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RESOLUTION

RESOLVED, That the Governance Committee recommends that the Trustees and Board of Directors adopt the policies listed below by as required by Section C.5 of the Governance Committee Charter:

(1)2021 Guidelines and Procedures for the Disposal of New York Power Authority Real Property ("Real Property Disposal Guidelines") for transfers of land or interests in land, set forth in Exhibit "A";

(2) 2021 Guidelines and Procedures for the Acquisition of Real Property by the New York Power Authority ("Real Property Acquisition Guidelines") set forth in Exhibit "B"

(3) 2020 Annual Report of the Disposal of Real Property set forth in Exhibit "C"

(4) 2020 Annual Report of the Acquisition of Real Property set forth in Exhibit "C-1"

(5) The Real Estate Expenditure Authorization Procedures ("EAP's") set forth in Exhibit "D"

(6) 2021 Guidelines and Procedures for the Disposal of Canal Corporation Real Property ("Canal Real Property Disposal Guidelines") set forth in Exhibit "E"

(7) 2021 Guidelines and Procedures for the Acquisition of Canal Corporation Real Property ("Canal Real Property Acquisition Guidelines") set forth in Exhibit "F"

(8) 2020 Annual Report of the Disposal of Canal Real Property set forth in Exhibit "G" and

(9) 2020 Annual Report of the Acquisition of Canal Real Property set forth in Exhibit "G-1".

AND BE IT FURTHER RESOLVED, That the Governance Committee recommends to the Trustees and Board of Directors that the President and Chief Executive Officer be authorized to modify the foregoing policies, as necessary, except in the event that any powers, duties or obligations of the Trustees would be affected by such modification.

Exhibit A
March 30, 2021

GUIDELINES

AND

PROCEDURES

FOR THE

DISPOSAL OF NEW YORK POWER AUTHORITY

REAL PROPERTY

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GUIDELINES AND PROCEDURES FOR THE DISPOSAL OF NEW YORK POWER AUTHORITY REAL PROPERTY

I. PURPOSE

The purpose of these Guidelines and Procedures for the Disposal of Real Property ("Guidelines"), which comply with Title 5-A, Article 9 of the Public Authorities Law, is to establish the procedures that detail the Authority's policy and instructions regarding the disposal of real property. In addition, the Guidelines designate a Contracting Officer who is responsible for the Authority's compliance with, and enforcement of, the Guidelines.

II. DEFINITIONS

2.1 "Contracting Officer" shall mean the officer or employee of the Authority who shall be appointed by resolution of the Authority's Trustees to be responsible for enforcement of the Guidelines for the Disposal of Real Property. The "Contracting Officer" is hereby designated to be the Vice President – Enterprise Shared Services, or equivalent(s) or designee.

2.2 "Dispose" or "Disposal" shall mean transfer of title or any other beneficial interest in real property in accordance with these Guidelines. Disposal does not include a release of an easement, Permit or Transfer of Jurisdiction.

2.3 "Fair Market Value" shall mean the estimated dollar amount that a willing buyer would pay to a willing seller for the Real Property in an arms-length transaction in the appropriate marketplace and under similar circumstances.

2.4 "Permits" shall mean permits issued by the Authority that grant revocable privileges to use or access real property under the jurisdiction of the Authority. Permits may be issued where the real property is not presently required for Authority purposes, but held for future use in carrying out its corporate purposes. Permits do not transfer a beneficial interest in real property. Permits are revocable, in part to assure availability upon demand of the real property for Authority purposes.

2.5 "Real Property" shall mean real property, including land, tenements and hereditaments owned by the Authority, and any other interest in such real property, to the extent that such interest may be conveyed to another person or entity for any purpose, excluding an interest securing a loan or other financial obligation of another party.

2.6 "Relative" shall mean any person living in the same household as the Authority employee or any person who is a direct descendant of the Authority employee's grandparents or the spouse of such descendant.

2.7 "Transfers of Jurisdiction" shall mean transactions pursuant to Public Lands Law §3(4) and which are between the Authority and other State governmental entities where jurisdiction over Real Property is transferred and reassigned on such terms and conditions as the Authority and the New York State Office of General Services deem proper, but the title to the Real Property remains in the name of the People of the State of New York.

III. COMPLIANCE OVERVIEW

The Public Authorities Law ("PAL") requires the Authority to establish policy guidelines to accomplish the following:

3.1 Maintain inventory controls and accountability systems for all Real Property under the Authority's control.

3.2 Periodically inventory Authority Real Property to determine which Real Property shall be disposed of.

3.3 Dispose of Authority Real Property interests in accordance with the PAL.

3.4 Prepare annual reports of Real Property Disposal transactions.

IV. DUTIES OF THE MANAGER CORPORATE REAL ESTATE

4.1 The Manager Corporate Real Estate or equivalent(s) or designee shall maintain adequate inventory controls and accountability systems for all Real Property under the Authority's control.

4.2 The Manager Corporate Real Estate or equivalent(s) or designee shall periodically inventory Authority Real Property to determine which Authority Real Property shall be Disposed of and shall prepare a report identifying such Real Property for Disposal.

4.3 The Manager Corporate Real Estate or equivalent(s) or designee shall produce for publishing written reports of such Real Property as set forth in Article VI of these Guidelines.

4.4 The Manager Corporate Real Estate or equivalent(s) or designee shall arrange for the Disposal of any Real Property identified for Disposal by the Authority in accordance with these Guidelines and the Authority's Expenditure Authorization Procedures and as soon as reasonably practical under the circumstances.

V. PROCEDURES FOR THE DISPOSITION OF AUTHORITY REAL PROPERTY

5.1 The Authority may Dispose of Real Property for not less than the Fair Market Value of such Real Property by sale, exchange, or transfer, for cash, credit or other property, without warranty, and upon such other terms and conditions as the Contracting Officer deems proper under the provisions of the PAL and as implemented by these Guidelines. Fair Market Value of the Authority Real Property subject to Disposal shall be established by independent appraisal as appropriate and consistent with the intent of the PAL. Such appraisal documents shall be included in the record of the Real Property Disposal transaction.

5.2 Except as set forth in Section 5.3 of the Guidelines, any Disposal of Real Property shall only be made after publicly advertising for bids in accordance with the following:

5.2.1 the advertisement for bids shall be made at such time prior to the Disposal or contract, through such methods, and on such terms and conditions as shall permit full and free competition consistent with the value and nature of the Real Property;

5.2.2 all bids shall be publicly disclosed at the time and place stated in the advertisement; and

5.2.3 the award shall be made with reasonable promptness by notice to the responsible bidder whose bid, conforming to the invitation for bids, will be most advantageous to the Authority, price and other factors considered; provided, that all bids may be rejected when it is in the public interest to do so.

5.3.a The Disposal of Authority Real Property may be negotiated or made by public auction without regard to Section 5.2 but subject to obtaining such competition as is feasible under the circumstances, if:

1. the Fair Market Value of the Real Property does not exceed fifteen thousand dollars ($15,000.00); or

2. bid prices after advertising therefore are not reasonable, either as to all or some part of the Real Property, or have not been independently arrived at in open competition; or

3. the Disposal will be to the state or any political subdivision, and the estimated Fair Market Value of the Real Property and other satisfactory terms of Disposal are obtained by negotiation; or

4. under those circumstances permitted by Section 5.3; or

5. such action is otherwise authorized by law.

5.3.b.1 No Real Property owned, leased or otherwise in the control of the Authority may be sold, leased, or otherwise alienated for less than its Fair Market Value except if:

a. the transferee is a government or other public entity, and the terms and conditions of the transfer require that the ownership and use of the Real Property will remain with the government or any other public entity;

b. the purpose of the transfer is within the purpose, mission or governing statute of the Authority; or

c. in the event the Authority seeks to transfer Real Property for less than its Fair Market Value to other than a governmental entity, which Disposal would not be consistent with the Authority's mission, purpose or governing statutes, the Authority shall provide written notification thereof to the Governor, the Speaker of the Assembly, and the Temporary President of the Senate, and such proposed transfer shall be subject to denial by the Governor, the Senate, or the Assembly. Denial by the Governor shall take the form of a signed certification by the Governor. Denial by either House of the Legislature shall take the form of a resolution by such House. The Governor and each House of the Legislature shall take any such action within sixty days of receiving notification of such proposed transfer during the months of January through June, provided that if the Legislature receives notification of a proposed transfer during the months of July through December, the Legislature may take any such action within sixty days of January first of the following year. If no such resolution or certification is performed within sixty days of such notification of the proposed transfer to the Governor, Senate, and Assembly, the Authority may effectuate such transfer.

5.3.b.2. In the event a below Fair Market Value Real Property transfer is proposed, the following information must be provided to the Authority’s Board of Trustees and the public:

a. a full description of the Real Property;

b. an appraisal of the Fair Market Value of the Real Property and any other information establishing the Fair Market Value sought by the Authority's Board of Trustees;

c. a description of the purpose of the transfer, and a reasonable statement of the kind and amount of the benefit to the public resulting from the transfer, including but not limited to the kind, number, location, wages or salaries of jobs created or preserved as required by the transfer, the benefits, if any, to the communities in which the Real Property is situated as are required by the transfer;

d. a statement of the value to be received compared to the Fair Market Value;

e. the names of any private parties participating in the transfer, and if different than the statement required by subparagraph (iv) of this paragraph, a statement of the value to the private party; and

f. the names of other private parties who have made an offer for such Real Property, the value offered, and the purpose for which the Real Property was sought to be used.

5.3.b.3. Before approving the Disposal of any Real Property for less than Fair Market Value, the Authority's Board of Trustees shall consider the information described in Paragraph 5.3.b.2 and make a written determination that there is no reasonable alternative to the proposed below-market transfer that would achieve the same purpose of such transfer.

5.4 An explanatory statement detailing the Disposal by negotiation of Authority Real Property subject to the PAL as set forth in Section 5.3 shall be made for any Disposal of:

5.4.1 Real Property with a Fair Market Value in excess of one hundred thousand dollars ($100,000.00) except that Real Property Disposed of by lease or exchange shall only be subject to 5.4.2 of this Section 5.4;

5.4.2 Real Property Disposed of by lease if the fair annual rent over the term of the lease is in excess of fifteen thousand dollars ($15,000.00); and

5.4.3 Any Real Property or real and related personal property Disposed of by exchange, regardless of value, or any property any part of the consideration is for Real Property:

5.5 Each explanatory statement prepared in accordance with Section 5.4 above shall be transmitted to the State Comptroller, the Director of the Division of the Budget, the Commissioner of General Services, the State Legislature and the State Authorities Budget Office not less than 90 days in advance of such Disposal, and a copy shall be kept by the Authority.

5.6 In the Authority's discretion, when it shall be deemed advantageous to the Authority and the State, the Authority may enter into an agreement with the Office of the Commissioner of General Services ("OGS") under which OGS may Dispose of the Authority's Real Property under terms and conditions agreed to by the Authority and the OGS. In Disposing of any such Real Property of the Authority, the OGS shall be bound by the relevant provisions of the PAL.

5.7 The Manager Corporate Real Estate or equivalent(s) or designee shall provide all relevant documentation to the Environmental Division for the purposes of determining, if applicable, whether the Disposal of Real Property is in compliance with the State Environmental Quality Review Act, and for whether it adheres to the American Society of Testing and Material's guidelines for Environmental Site Assessments, if applicable.

5.8 No Authority employee who is involved in the award of Authority grants or contracts, may ask any purchaser(s), grantor(s), lessor(s) or officer(s), director(s) or employee(s) of such current or prospective purchaser(s), contractor(s) or grantee(s) to reveal: (a) the political party affiliation of the individual; (b) whether the individual or entity has made campaign contributions to any political party,

elected official, or candidate for elective office; or (c) whether the individual voted for or against any political party, elected official or candidate for elective office.

5.9 No Authority employee may award or decline to award any grant or contract, or recommend, promise or threaten to do so because of a current or prospective grantee's or contractor's: (a) refusal to answer any inquiry prohibited by Section 5.8 above or (b) giving or withholding or neglecting to make any contribution of money, service or any other valuable thing for any political purpose.

5.10 No Authority employee may take part in any contracting decision involving the payment of more than $1,000: (i) to a Relative; or (ii) to any entity in which a Relative owns or controls 10% or more of the stock of such entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange); or serves as an officer, director or partner of that entity. If such situation arises, the employee must advise his or her supervisor of the relationship, and must be recused from any and all discussions or decisions relating to the matter.

5.11 Public Authorities Law Section 2879-a establishes a framework for the Office of the State Comptroller ("OSC") to review and approve certain Public Authority contracts.

5.11.1. Any contract in excess of $1,000,000 that is to be awarded by a state authority 1) to a "single source" or "sole source", or pursuant to any other means of procurement that is not competitive, or 2) where the monies to be paid in whole or in part have been appropriated by the state to the state authority for such

contractual expenditure ("Eligible Contract"), must be reported in advance of execution to the OSC. Upon execution, all such Eligible Contracts must be filed with the OSC within 60 days.

5.11.2. If the OSC has previously identified a contract or category of contract as "reviewable" ("Reviewable Contract)", such Reviewable Contract must include language stating that it is subject to OSC approval and the executed Reviewable Contract must be submitted to the OSC for review. If the OSC does not act to disapprove the Reviewable Contract within 90 days, the contract is valid.

Note: The Accelerated Renewable Energy Growth and Community Benefit Act, Chapter 58 of the Laws of 2020, Part JJJ, provides limited exclusions to the applicability of Section 2897 of the Public Authorities Law for conveyances involving certain renewable energy generation and transmission projects.

Section 11 of that statute states:

Notwithstanding section 2897 of the public authorities law, the power authority of the state of New York and the New York state energy research and development authority may each negotiate and enter into agreements with other parties providing for the conveyance of interests in real property provided that in the case of any such conveyance such entity determines that the conveyance will further the purposes of this act or provide other benefits to the entity or the state.

VI. AUTHORITY REAL PROPERTY REPORTS

6.1 The Manager Corporate Real Estate or equivalent(s) or designee shall publish the following reports in accordance with these Guidelines:

6.1.1 Pursuant to Section 2800 of the Public Authorities Law, the Manager Corporate Real Estate shall furnish a report for incorporation in the Authority's annual report which is distributed to the Governor, the Chairman and Ranking Minority Member of the Senate Finance Committee, the Chairman and Ranking Minority Member of the Assembly Ways and Means Committee, the State Comptroller and the State Authorities Budget Office. This report shall include (a) a listing of all Real Property having an estimated Fair Market Value greater than fifteen thousand dollars ($15,000.00) that the

Authority Disposed of during such reporting period and the name of the purchaser of the Real Property and the price paid by the purchaser for the Real Property, and (b) a description of the total amounts of Real Property sold without competitive bidding, including (i) the nature of the Real Property, (ii) the names of the counterparties, and (iii) where the price for the Real Property sold is less than Fair Market Value, a detailed explanation of the justification for making the sale without competitive bidding, and a certification by the Authority's Chief Executive Officer and Chief Financial Officer that they have reviewed the terms of such sale and determined that it complies with applicable law.

6.1.2 Pursuant to Public Authorities Law § 2896(3)(a), the Manager Corporate Real Estate or equivalent(s) or designee shall prepare for distribution to the State Comptroller, the Director of the Division of the Budget, the Commissioner of General Services, the State Legislature and the State Authorities Budget Office, an annual report listing all real property of the Authority, which report shall include a list and description of all Real Property Disposed of during the fiscal reporting period. Regarding Disposals, this annual report shall include the price received by the Authority and the name of the purchaser of the Real Property.

6.2 The Authority may be called upon periodically to submit information regarding the Disposal of Real Property to organizations implementing the PAL or other statutes regulating the Disposal of Real Property.

6.3 The Authority's Governance Committee meets at least three times per year and staff from Enterprise Shared Services or the equivalent(s) may prepare and present ongoing reports regarding the Disposal of Real Property.

VII. APPROVAL OF GUIDELINES BY THE AUTHORITY'S BOARD

7.1 The Guidelines shall be annually reviewed and approved by the Authority's Trustees. On or before the thirty-first day of March in each year, the Authority shall file with the State Comptroller a copy of the most recently reviewed and approved Guidelines, including the name of the Authority's designated Contracting Officer. At the time of filing such Guidelines with the State Comptroller, the Authority shall also post such Guidelines on its internet website.

Exhibit B
March 30, 2021

GUIDELINES

AND

PROCEDURES

FOR THE

ACQUISITION OF REAL PROPERTY

BY THE NEW YORK POWER AUTHORITY

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GUIDELINES AND PROCEDURES FOR THE ACQUISITION OF REAL PROPERTY BY THE NEW YORK POWER AUTHORITY

I. PURPOSE

1.1 These Guidelines and Procedures for the Acquisition of Real Property ("Guidelines"), which comply with Title 2, Article 9 of the Public Authorities Law, establish the procedures that detail the Authority's policy and instructions regarding the acquisition of real property. In addition, the Guidelines designate a contracting officer who is responsible for the Authority's compliance with, and enforcement of, the Guidelines.

II. DEFINITIONS

2.1 "Contracting Officer" shall mean the officer or employee of the Authority who shall be responsible for enforcement of the Guidelines for the acquisition of real property. The "Contracting Officer" is hereby designated to be the Vice President - Enterprise Shared Services, or the equivalent(s), or designee.

2.2 "Acquisition" or "Acquire" shall mean to obtain title to or any other beneficial interest in real property in accordance with applicable statutes and these Guidelines.

2.3 "Fair Market Value" shall mean the estimated dollar amount that a willing buyer would pay to a willing seller for the Real Property in an arms-length transaction in the appropriate marketplace and under similar circumstances.

2.4 "Real Property" shall mean real property, including land, tenements and hereditaments owned by the Authority, and any other interest in such real property, to the extent that such interest may be conveyed to another person or entity for any purpose, excluding an interest securing a loan or other financial obligation of another party.

2.5 "Relative" is any person living in the same household as the Authority employee or any person who is a direct descendant of the Authority employee's grandparents or the spouse of such descendant, as referred to in Article 5 of these Guidelines.

III. COMPLIANCE OVERVIEW

3.1 These Guidelines are being adopted consistent with the Public Authorities Law ("PAL").

3.2. The Authority may Acquire Real Property through purchase, eminent domain, state transfers of jurisdiction, lease and by other legal means.

3.3 The Authority's New York statutory authority for land acquisition includes, without limitation, the Public Authorities Law, the Real Property Law, the Public Lands Law, the Eminent Domain Procedure Law and the Highway Law, as amended.

IV. DUTIES OF THE MANAGER CORPORATE REAL ESTATE

4.1 The Manager Corporate Real Estate or the equivalent(s) or designee will maintain adequate inventory controls and accountability systems for all Real Property under the Authority's control.

4.2 Real Property to be Acquired by the Authority will be in support of existing operating and transmission facilities or in support of new initiatives being pursued by the Authority. The Manager Corporate Real Estate or the equivalent(s) or designee will, in consultation with the other appropriate Authority staff (by oral or written communication), determine what Lands are necessary or convenient for Acquisition by the Authority.

4.3 The compensation for and the procedure for such Acquisition must be consistent with these Guidelines and the Authority's Real Estate Expenditure Authorization Procedures as amended.

4.4 The Manager Corporate Real Estate or the equivalent(s) or designee will arrange for the transfer or Acquisition of any Real Property identified for Acquisition by the Authority in accordance with these Guidelines and the Authority's Real Estate Expenditure Authorization Procedures and as soon as reasonably practical under the circumstances.

4.5 The Manager Corporate Real Estate or the equivalent(s) or designee will provide all relevant documentation to the Authority's Environmental Division to determine whether the Acquisition of Real Property is in compliance with the State

Environmental Quality Review Act, and whether it adheres to the American Society of Testing and Material's Guidelines for Environmental Site Assessments, if applicable.

4.6 Public Authorities Law Section 2879-a establishes a framework for the Office of the State Comptroller ("OSC") to review and approve certain Public Authority contracts.

4.6.1. Any contract in excess of $1,000,000 that is to be awarded by a state authority 1) to a "single source" or "sole source", or pursuant to any other means of procurement that is not competitive, or 2**)** where the monies to be paid in whole or in part have been appropriated by the state to the state authority for such contractual expenditure ("Eligible Contract"), must be reported in advance of execution to the OSC. Upon execution, all such Eligible Contracts must be filed with the OSC within 60 days.

4.6.2. If the OSC has previously identified a contract or category of contract as "reviewable" ("Reviewable Contract)", such Reviewable Contract must include language stating that it is subject to OSC approval and the executed Reviewable Contract submitted to the OSC for review. If the OSC does not act to disapprove the contract within 90 days, the contract is valid.

V. ETHICAL CONSIDERATIONS

5.1 No Authority employee who is involved in the Acquisition of Real Property, may ask any purchaser, grantor, lessor or officers, directors or employees of such current or prospective purchaser, grantor or lessor to reveal: (a) the political party affiliation

of the individual; (b) whether the individual or entity has made campaign contributions to any political party, elected official, or candidate for elective office; or (c) whether the individual voted for or against any political party, elected official or candidate for elective office.

5.2 No Authority employee may take part in any Acquisition decision involving the payment of more than $1,000: (i) to a Relative; or (ii) to any entity in which a Relative owns or controls 10% or more of the stock of such entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange); or serves as an officer, director or partner of that entity. If such situation arises, the employee must advise his or her supervisor of the relationship, and must be recused from any and all discussions or decisions relating to the matter.

VI. ACQUISITION REPORTS BY THE AUTHORITY

6.1 The Manager Corporate Real Estate or equivalent(s) or designee shall publish the following reports in accordance with these Guidelines:

6.1.1 Pursuant to Section 2800 of the Public Authorities Law, the Manager Corporate Real Estate shall furnish a report for incorporation in the Authority's annual report which is distributed to the Governor, the Chairman and Ranking Minority Member of the Senate Finance Committee, the Chairman and Ranking Minority Member of the Assembly Ways and Means Committee, the State Comptroller and the State Authorities Budget Office. This report shall include (a) a listing of all Real Property having an estimated Fair Market Value greater than fifteen thousand dollars ($15,000.00) that the Authority Acquired during such reporting period and the name of the seller of the Real Property and the price paid by the Authority for the Real Property, and (b) a description of the total amounts of Real Property purchased without competitive bidding, including (i) the nature of the Real Property, (ii) the names of the

counterparties, and (iii) where the price for the Real Property purchased exceeds Fair Market Value, a detailed explanation of the justification for making the purchase without competitive bidding, and a certification by the Authority's Chief Executive Officer and Chief Financial Officer that they have reviewed the terms of such purchase and determined that it complies with applicable law.

6.1.2 The Authority may be called upon periodically to submit information regarding the Acquisition of Real Property to organizations implementing the PAL or other statutes regulating the Acquisition of Real Property, such as the Authority Budget Office through the Public Authorities Reporting System ("PARIS").

6.1.3 The Authority's Governance Committee meets at least three times per year and staff from HR and Enterprise Shared Services or the equivalent may, upon request, prepare and present ongoing reports regarding the Acquisition of Real Property.

Exhibit C
March 30, 2021

POWER AUTHORITY OF THE STATE OF NEW YORK
2020 ANNUAL REPORT OF DISPOSAL (CONVEYANCE) OF REAL PROPERTY OVER $15,000 IN VALUE

Purchaser's Name	Price Realized by the Authority	Parcel Acres	Transfer Date

None.

Exhibit C-1
March 30, 2021

POWER AUTHORITY OF THE STATE OF NEW YORK
2020 ANNUAL REPORT OF ACQUISITIONS OF REAL PROPERTY OVER $15,000 IN VALUE

Seller's Name	**Price Paid by the Authority**	**Acres**	**Transfer Date**
Robert J. Harvey	$15,000.00	2.4	2/26/2020

ATTACHMENT D

DELEGATION OF APPROVAL / SIGNATORY AUTHORITY FOR CLAIMS SETTLEMENT AND PAYMENT FOR REAL ESTATE

	Real Estate Administrator or Equivalent	Mgr Corp. Real Estate or Equivalent	VP – ESS or Equivalent[1]	President/Chairman	Trustees
A) Acquisition and disposition of fee and easement interests in real property other than by appropriation or condemnation:		up to $ 10,000 FMV per parcel	up to $ 25,000 FMV per parcel	up to $ 250,000 FMV per parcel	> $ 250,000 FMV per parcel
B) Permits, Licenses and Operating Agreements for use of property owned by others or for use of Authority property by others:	up to $1,000 annual value	up to $10,000 annual value	up to $25,000 annual value	up to $100,000 annual value	>$100,000 annual value
C) Agreement for annual payment in lieu of taxes: [2] (per year)		up to $10,000 per parcel	up to $50,000 per parcel	up to $100,000 per parcel	> $100,000 per parcel
D) Leases or Lease Extensions where Authority is either landlord or tenant:		up to 5-year term including all renewal options *and* not exceeding $30,000 annual rent	up to 10-year term including all renewal options *and* not exceeding $50,000 annual rent	up to 10-year term including all renewal options *and* > $50,000 and ≤$100,000 annual rent	> 10-year term including all renewal options *or* > $100,000 annual rent regardless of term
E) Advance payments for acquisition of real property by condemnation or appropriation:		100% of AV with concurrence of General Counsel if over $100,000			
F) Settlement of claims resulting from:					
1) Acquisition of Real Property by Appropriation or Condemnation: [3]					
(a) If AV [4] is $ 20,000 or less:		≤ 150% of AV *or* AV + $2,000	≤ 200% of AV *or* AV + $6,000	> 200% of AV *or* AV + $6,000	
(b) If AV is $ 200,000 or less:		≤ 125% of AV	≤ 150% of AV	≤ 175% of AV	> 175% of AV
(c) If AV is $ 500,000 or less:		≤ 110% of AV	≤ 120% of AV	≤ 135% of AV	> 135% of AV
(d) If AV is $1,000,000 or less:		AV	≤ 110% of AV	≤ 135% of AV	> 135% of AV
(e) If AV is more than $1,000,000:		--	≤ AV	≤ 120% of AV	> 120% of AV
2) Agricultural damages and mitigation:	up to $1,000	up to $20,000	up to $100,000	up to $300,000	> $300,000
3) Miscellaneous damages:	up to $1,000	up to $20,000	up to $50,000	up to $100,000	> $100,000
4) Radio & TV interference; audible noise:		up to $20,000	up to $50,000	up to $100,000	> $100,000

(1) The SVP of HR and Enterprise Shared Services (ESS) is also authorized to sign commitments for Real Estate transactions up to the VP ESS level in the latter's absence.
(2) Only upon approval by Trustees to make payment in lieu of taxes for the specific project.
(3) Only upon approval by the Trustees of the acquisition.
(4) AV = Appraised Value, FMV = Fair Market Value

Exhibit E
March 30, 2021

Guidelines for the Disposal of Canal Corporation Real Property

Note: Revision # should be listed in descending order starting with most recent version at the top

Revision Date(For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
[Revision Date]	1	Conversion to new Canal document template	All	Allison Renstrom Shea Special Counsel

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1 PURPOSE AND SCOPE

The purpose of these Guidelines for the Disposal of Real Property ("Guidelines"), which comply with Title 5-A, Article 9 of the Public Authorities Law, is to establish the procedures that detail the Canal Corporation's ("Corporation") policy and instructions regarding the disposal of real property. In addition, the Guidelines designate a Contracting Officer who is responsible for the Corporation's compliance with, and enforcement of, the Guidelines.

The powers and duties relating to the New York State canal system, which were transferred to and merged with the Power Authority ("Power Authority") pursuant to Canal Law Section 5, may be exercised by the Power Authority directly or through the Corporation on behalf of the people of the State of New York.

2 APPLICABILITY

This Policy applies to all New York State Canal Corporation employees who intend to Dispose of Real Property owned by or under the jurisdiction of the New York State Canal Corporation.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

Contracting Officer - shall mean the officer or employee appointed by resolution of the Corporation's Trustees to be responsible for compliance with, and enforcement of, the Guidelines for the Disposal of Real Property. The "Contracting Officer" is hereby designated to be the Power Authority Vice President – Enterprise Shared Services, or equivalent(s) or designee.

Corporation – Canal Corporation

Dispose or Disposal - shall mean transfer of title or any other beneficial interest in real property in accordance with these Guidelines. Disposal does not include a release of an easement, Permit or Transfer of Jurisdiction.

Fair Market Value - shall mean the estimated dollar amount that a willing buyer would pay to a willing seller for the Real Property in an arms-length transaction in the appropriate marketplace and under similar circumstances.

OGS – NYS Office of General Services

PAL – Public Authorities Law

Permits - shall mean permits issued by the Corporation that grant revocable privileges to use or access real property or structures under the jurisdiction of the Corporation and for the diversion of Canal waters for sanitary, farm or industrial purposes. Permits are revocable in part to assure availability of the real property for Corporation or public purposes. Permits do not transfer a beneficial interest in real property and may be issued when deemed to be advantageous to the Corporation for the purpose of cutting, gathering and hauling away ice from the canals or when the permitted use does not result in a detriment to canal navigation or damage to the banks or other structures thereof. Permits include Occupancy and Work Permits.

a) **Occupancy Permit** - a revocable instrument that authorizes the temporary, restricted use of real property under the jurisdiction of the Corporation, including, temporary use of Canal lands or structures, and for the diversion of Canal waters for sanitary, farm or industrial purposes.

b) **Work Permit** - a revocable instrument that authorizes construction, maintenance, inspection, survey, or other type of work or short term activity on real property under the jurisdiction of the Corporation.

Real Property - shall mean real property, including land, tenements and hereditaments owned by the Corporation, and any other interest in such real property, to the extent that such interest may be conveyed to another person or entity for any purpose, excluding an interest securing a loan or other financial obligation of another party.

Relative - shall mean any person living in the same household as the Corporation employee or any person who is a direct descendant of the Corporation employee's grandparents or the spouse of such descendant.

Transfers of Jurisdiction - shall mean transactions pursuant to Public Lands Law §3(4) and which are between the Corporation and other State governmental entities where jurisdiction over Real Property is transferred and reassigned on such terms and conditions as the Corporation and the New York State Office of General Services deem proper, but the title to the Real Property remains in the name of the People of the State of New York.

4 RESPONSIBILITY

The Board shall adopt by resolution Guidelines for the Disposal of Canal Corporation Real Property regarding the use, awarding, monitoring and reporting of contracts for the disposal of Real Property and which designate a Contracting Officer who is responsible for compliance with and enforcement of, these Guidelines.

5 PROCEDURE IMPLEMENTATION

5.1 COMPLIANCE OVERVIEW

The Public Authorities Law ("PAL") requires the Corporation to establish policy guidelines to accomplish the following:

5.1.1 Ensure that the Corporation's contracting activities comply with Title 5-A, Article 9 of the Public Authorities Law, the Corporation's enabling statute, and any other applicable law pertaining to the Disposal of Real Property.

5.1.2 Maintain inventory controls and accountability systems for all Real Property under the Corporation's control.

5.1.3 Periodically inventory Corporation Real Property to determine which Real Property shall be disposed of.

5.1.4 Dispose of Corporation Real Property interests as promptly as possible in accordance with the PAL.

5.1.5 Prepare annual reports of Real Property Disposal transactions.

5.2 DISPOSITION OF CORPORATION REAL PROPERTY

5.2.1 The Corporation may Dispose of Real Property for not less than the Fair Market Value of such Real Property by sale, exchange, or transfer, for cash, credit or other property, without warranty, and upon such other terms and conditions as the Contracting Officer deems proper under the provisions of the PAL and as implemented by these Guidelines. Fair Market Value of the Corporation Real Property subject to Disposal shall be established by independent appraisal as appropriate and consistent with the intent of the PAL. Such appraisal documents shall be included in the record of the Real Property Disposal transaction.

5.2.2 Except as set forth in Sections 5.2.3 and 5.2.4 herein of the Guidelines, any Disposal of Real Property shall only be made after publicly advertising for bids in accordance with the following:

a) the advertisement for bids shall be made at such time prior to the Disposal or contract, through such methods, and on such terms and conditions as shall permit full and free competition consistent with the value and nature of the Real Property; and

b) all bids shall be publicly disclosed at the time and place stated in the advertisement; and

c) the award shall be made with reasonable promptness by notice to the responsible bidder whose bid, conforming to the invitation for bids, will be most advantageous to the Corporation, price and other factors considered; provided, that all bids may be rejected when it is in the public interest to do so.

5.2.3 The Disposal of Corporation Real Property by Negotiation or Public Auction

a) The Disposal of Corporation Real Property may be negotiated or made by public auction without regard to Section 5.2.2 but subject to obtaining such competition as is feasible under the circumstances, if:

1. the Fair Market Value of the Real Property does not exceed fifteen thousand dollars ($15,000.00); or
2. bid prices after advertising therefore are not reasonable, either as to all or some part of the Real Property, or have not been independently arrived at in open competition; or
3. the Disposal will be to the state or any political subdivision, and the estimated Fair Market Value of the Real Property and other satisfactory terms of Disposal are obtained by negotiation; or
4. under those circumstances permitted by Section 5.2.4; or
5. such action is otherwise authorized by law.

b) The Disposal of Corporation Real Property may also be made by negotiated sale without regard to Section 5.2.2 but subject to obtaining such competition as is feasible under the circumstances, if ALL of the following conditions have been satisfied:

1. the Corporation has determined that: such real property is no longer necessary or useful to the purposes of the Corporation; disposal of such real property complies with all applicable provisions of the canal law; and disposal of such real property is in the best interest of the Corporation; and
2. an appraisal of the fair market value of such property has been made by an independent appraiser and included in the record of the transaction; and
3. the fair market value of such real property is greater than fifteen thousand dollars ($15,000.00) but not greater than seventy-five thousand dollars ($75,000.00); and

4. such real property was improved prior to April 1, 1992 under a municipal permit or a permit issued pursuant to Section 100 of the Canal Law, thereby creating an encroachment on Corporation Real Property; and
5. the purchaser of such Real Property is, or will be, the owner of the improvement that either fully or partially encroaches on Corporation real property; and
6. the consideration paid for such real property will not be less than the fair market value of the real property exclusive of the value, fair market or otherwise, of the encroaching improvements.

5.2.4 Below Fair Market Value

a) No Real Property owned, leased or otherwise in the control of the Corporation may be sold, leased, or otherwise alienated for less than its Fair Market Value except if:

1. the transferee is a government or other public entity, and the terms and conditions of the transfer require that the ownership and use of the Real Property will remain with the government or any other public entity; or
2. the purpose of the transfer is within the purpose, mission or governing statute of the Corporation; or
3. in the event the Corporation seeks to transfer Real Property for less than its Fair Market Value to other than a governmental entity, which Disposal would not be consistent with the Corporation's mission, purpose or governing statutes, the Corporation shall provide written notification thereof to the Governor, the Speaker of the Assembly, and the Temporary President of the Senate, and such proposed transfer shall be subject to denial by the Governor, the Senate, or the Assembly. Denial by the Governor shall take the form of a signed certification by the Governor. Denial by either House of the Legislature shall take the form of a resolution by such House. The Governor and each House of the Legislature shall take any such action within sixty days of receiving notification of such proposed transfer during the months of January through June, provided that if the Legislature receives notification of a proposed transfer during the months of July through December, the Legislature may take any such action within sixty days of January first of the following year. If no such resolution or certification is performed within sixty days of such notification of the proposed transfer to the Governor, Senate, and Assembly, the Corporation may effectuate such transfer.

b) In the event a below Fair Market Value Real Property transfer is proposed, the following information must be provided to the Corporation’s Board of Trustees and the public:

1. a full description of the Real Property; and
2. an appraisal of the Fair Market Value of the Real Property and any other information establishing the Fair Market Value sought by the Corporation’s Board of Trustees; and

3. a description of the purpose of the transfer, and a reasonable statement of the kind and amount of the benefit to the public resulting from the transfer, including but not limited to the kind, number, location, wages or salaries of jobs created or preserved as required by the transfer, the benefits, if any, to the communities in which the Real Property is situated as are required by the transfer; and
4. a statement of the value to be received compared to the Fair Market Value; and
5. the names of any private parties participating in the transfer, and if different than the statement required by subparagraph (iv) of this paragraph, a statement of the value to the private party; and
6. the names of other private parties who have made an offer for such Real Property, the value offered, and the purpose for which the Real Property was sought to be used.

d) Before approving the Disposal of any Real Property for less than Fair Market Value, the Corporation's Board of Trustees shall consider the information described in Paragraph 5.2.4.b and make a written determination that there is no reasonable alternative to the proposed below-market transfer that would achieve the same purpose of such transfer.

5.2.5 An explanatory statement detailing the Disposal by negotiation of Corporation Real Property subject to the PAL as set forth in Section 5.2.3.a shall be made for any Disposal of:

a) Real Property with a Fair Market Value in excess of one hundred thousand dollars ($100,000.00) except that Real Property Disposed of by lease or exchange shall only be subject to Paragraph 5.2.5.b of this Section 5.2.5; or

b) Real Property Disposed of by lease if the fair annual rent over the term of the lease is in excess of fifteen thousand dollars ($15,000.00); or

c) Any Real Property or real and related personal property Disposed of by exchange, regardless of value, or any property any part of the consideration is for Real Property.

5.2.6 Each explanatory statement prepared in accordance with Section 5.2.5 above shall be transmitted to the State Comptroller, the Director of the Division of the Budget, the Commissioner of General Services, the State Legislature and the State Authorities Budget Office not less than 90 days in advance of such Disposal, and a copy shall be kept by the Corporation.

5.2.7 In the Corporation's discretion, when it shall be deemed advantageous to the Corporation and the State, the Corporation may enter into an agreement with the Office of the Commissioner of the Office of General Services ("OGS") under which OGS may Dispose of the Corporation's Real Property under terms and conditions agreed to by the Corporation and the OGS. In Disposing of any such Real Property of the Corporation, the OGS shall be bound by the relevant provisions of the PAL.

5.2.8 No Corporation employee who is involved in the award of Corporation grants or contracts, may ask any purchaser(s), grantor(s), lessor(s) or officer(s), director(s) or employee(s) of such current or prospective purchaser(s), contractor(s) or grantee(s) to reveal: (a) the political party affiliation of the individual; (b) whether the individual or entity has made campaign contributions to any political party, elected official, or candidate for elective office; or (c) whether the individual voted for or against any political party, elected official or candidate for elective office.

5.2.9 No Corporation employee may award or decline to award any grant or contract, or recommend, promise or threaten to do so because of a current or prospective grantee's or contractor's: (a) refusal to answer any inquiry prohibited by Section 5.2.8 above or (b) giving or withholding or neglecting to make any contribution of money, service or any other valuable thing for any political purpose.

5.2.10 No Corporation employee may take part in any contracting decision involving the payment of more than $1,000: (i) to a Relative; or (ii) to any entity in which a Relative owns or controls 10% or more of the stock of such entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange); or serves as an officer, director or partner of that entity. If such situation arises, the employee must advise his or her supervisor of the relationship, and must be recused from any and all discussions or decisions relating to the matter.

5.2.11 Public Authority Contracts

a) Public Authorities Law Section 2879-a establishes a framework for the Office of the State Comptroller ("OSC") to review and approve certain Public Authority contracts.

b) Any contract in excess of $1,000,000 that is to be awarded by a state authority 1) to a "single source" or "sole source", or pursuant to any other means of procurement that is not competitive, or 2) where the monies to be paid in whole or in part have been appropriated by the state to the state authority for such contractual expenditure ("Eligible Contract"), must be reported in advance of execution to the OSC. Upon execution, all such Eligible Contracts must be filed with the OSC within 60 days.

c) If the OSC has previously identified a contract or category of contract as "reviewable" ("Reviewable Contract)", such contract must include language stating that it is subject to OSC approval and the executed Reviewable Contract must be submitted

to the OSC for review. If the OSC does not act to disapprove the Reviewable Contract within 90 days, the contract is valid.

5.3 CORPORATION REAL PROPERTY REPORTS

5.3.1 The Corporation shall publish the following reports in accordance with these Guidelines:

a) Pursuant to Section 2800 of the Public Authorities Law, the Corporation shall furnish a report for incorporation in the Corporation's annual report which is distributed to the Governor, the Chairman and Ranking Minority Member of the Senate Finance Committee, the Chairman and Ranking Minority Member of the Assembly Ways and Means Committee, the State Comptroller and the State Authorities Budget Office. This report shall include (a) a listing of all Real Property having an estimated Fair Market Value greater than fifteen thousand dollars ($15,000.00) that the Corporation Disposed of during such reporting period and the name of the purchaser of the Real Property and the price paid by the purchaser for the Real Property, and (b) a description of the total amounts of Real Property sold without competitive bidding, including (i) the nature of the Real Property, (ii) the names of the counterparties, and (iii) where the price for the Real Property sold is less than Fair Market Value, a detailed explanation of the justification for making the sale without competitive bidding, and a certification by the Power Authority's Chief Executive Officer and Chief Financial Officer that they have reviewed the terms of such sale and determined that it complies with applicable law.

b) Pursuant to Public Authorities Law § 2896(3), the Corporation shall prepare for distribution to the State Comptroller, the Director of the Division of the Budget, the Commissioner of General Services, the State Legislature and the State Authorities Budget Office, an annual report listing all real property of the Corporation, which report shall include a list and description of all Real Property Disposed of during the fiscal reporting period. Regarding Disposals, this annual report shall include the price received by the Corporation and the name of the purchaser of the Real Property.

5.3.2 The Corporation may be called upon periodically to submit information regarding the Disposal of Real Property to organizations implementing the PAL or other statutes regulating the Disposal of Real Property.

5.3.3 The Canal Corporation's Governance Committee meets at least three times per year and Corporation staff may be required to prepare and present ongoing reports regarding the Disposal of Real Property.

5.4 APPROVAL OF GUIDELINES BY THE AUTHORITY'S BOARD

The Guidelines shall be annually reviewed and approved by the Corporation's Board of Trustees. On or before the thirty-first day of March in each year, the Corporation shall file with the State Comptroller a copy of the most recently reviewed and approved Guidelines, including the name of the Corporation's designated Contracting Officer. At the time of filing such Guidelines with the State Comptroller, the Corporation shall also post such Guidelines on its internet website.

6 VIOLATIONS

Violations of these Guidelines and related policies and procedures by employees may result in disciplinary action up to and including termination. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state or local laws.

7 REFERENCES

Canal Law
Public Authorities Law

8 PROCEDURE REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Year

9 ATTACHMENTS

N/A

Exhibit F
March 30, 2021

Guidelines and Procedures for the Acquisition of Real Property by the Canal Corporation

Note: Revision # should be listed in descending order starting with most recent version at the top

Revision Date(For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
6/6/2017	1	Conversion to new Canal document template	All	Allison Renstrom Shea Special Counsel

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2 Applicability 3
3 Initialisms (Acronyms) and Definitions 3
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1 PURPOSE AND SCOPE

These Guidelines for the Acquisition of Real Property ("Guidelines"), which comply with Title 2, Article 9 of the Public Authorities Law, establish the procedures that detail the Canal Corporation's ("Corporation") policy and instructions regarding the acquisition of real property. In addition, the Guidelines designate a contracting officer who is responsible for the Corporation's compliance with, and enforcement of, the Guidelines.

The powers and duties relating to the New York State canal system, which were transferred to and merged with the Power Authority of the State of New York ("Power Authority") pursuant to Section 5 of the Canal Law, may be exercised by the Power Authority directly or through the Corporation on behalf of the people of the State of New York.

2 APPLICABILITY

These Guidelines apply to all New York State Canal Corporation employees who intend to Acquire Real Property for the New York State Canal Corporation.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

Contracting Officer - shall mean the officer or employee appointed by resolution of the Corporation's Trustees to be responsible for compliance with, and enforcement of, the Guidelines for the acquisition of real property. The "Contracting Officer" is hereby designated to be the Power Authority Vice President - Enterprise Shared Services, or the equivalent(s), or designee.

Corporation – Canal Corporation

Acquisition or Acquire – shall mean to obtain title to or any other beneficial interest in real property in accordance with applicable statutes and these Guidelines.

Fair Market Value – shall mean the estimated dollar amount that a willing buyer would pay to a willing seller for the Real Property in an arms-length transaction in the appropriate marketplace and under similar circumstances.

OSC – Office of the State Comptroller

PAL – Public Authorities Law

PARIS – Public Authorities Reporting System

Real Property – shall mean real property, including land, tenements and hereditaments owned by the Corporation, and any other interest in such real property, to the extent that such interest may be conveyed to another person or entity for any purpose, excluding an interest securing a loan or other financial obligation of another party.

Relative – is any person living in the same household as the Corporation employee or any person who is a direct descendant of the Corporation employee's grandparents or the spouse of such descendant, as referred to in Article 5 of these Guidelines.

4 RESPONSIBILITY

The Board shall adopt by resolution Guidelines for the Acquisition of Canal Corporation Real Property and which designate a Contracting Officer who is responsible for compliance with and enforcement of, these Guidelines.

5 PROCEDURE IMPLEMENTATION

5.1 COMPLIANCE OVERVIEW

5.1.1 These Guidelines are being adopted consistent with the Public Authorities Law ("PAL").

5.1.2 The Corporation may Acquire Real Property through purchase, eminent domain, state transfers of jurisdiction, lease and by other legal means.

5.1.3 The Corporation's New York statutory authority for land acquisition includes, without limitation, the Canal Law, the Public Authorities Law, the Real Property Law, the Public Lands Law, the Eminent Domain Procedure Law and the Highway Law, as amended.

5.2 DUTIES OF THE CORPORATION

5.2.1 The Corporation will maintain adequate inventory controls and accountability systems for all Real Property under the Corporation's control.

5.2.2 Real Property to be Acquired by the Corporation will be in support of existing facilities, operations or in support of new initiatives being pursued by the Corporation.

5.2.3 The compensation for and the procedure for such Acquisition must be consistent with these Guidelines and the Corporation's Real Estate Expenditure Authorization Procedures as amended.

5.2.4 The Corporation will arrange for the transfer or Acquisition of any Real Property identified for Acquisition in accordance with these Guidelines and the Corporation's Real Estate Expenditure Authorization Procedures and as soon as reasonably practical under the circumstances.

5.2.5 Public Authorities Law Section 2879-a establishes a framework for the Office of the State Comptroller ("OSC") to review and approve certain contracts.

a) Any contract in excess of $1,000,000 that is to be awarded by a state authority 1) to a "single source" or "sole source", or pursuant to any other means of procurement that is not competitive, or 2) where the monies to be paid in whole or in part have been appropriated by the state to the state authority for such contractual expenditure ("Eligible Contract"), must be reported in advance of execution to the OSC. Upon execution, all such Eligible Contracts must be filed with the OSC within 60 days.

b) If the OSC has previously identified a contract or category of contract as "reviewable" ("Reviewable Contract)", such Reviewable Contract must include language stating that it is subject to OSC approval and the executed Reviewable Contract must be submitted to the OSC for review. If the OSC does not act to disapprove the Reviewable Contract within 90 days, the contract is valid.

5.3 ETHICAL CONSIDERATIONS

5.3.1 No Corporation employee who is involved in the Acquisition of Real Property, may ask any purchaser, grantor, lessor or officers, directors or employees of such current or prospective purchaser, grantor or lessor to reveal: (a) the political party affiliation of the individual; (b) whether the individual or entity has made campaign contributions to any political party, elected official, or candidate for elective office; or (c) whether the individual voted for or against any political party, elected official or candidate for elective office.

5.3.2 No Corporation employee may take part in any Acquisition decision involving the payment of more than $1,000: (i) to a Relative; or (ii) to any entity in which a Relative owns or controls 10% or more of the stock of such entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange); or serves as an officer, director or partner of that entity. If such situation arises, the

employee must advise his or her supervisor of the relationship, and must be recused from any and all discussions or decisions relating to the matter.

5.4 ACQUISITION REPORTS BY THE CORPORATION

5.4.1 The Corporation shall publish the following reports in accordance with these Guidelines:

a) Pursuant to Section 2800 of the Public Authorities Law, the Corporation shall furnish a report for incorporation in the Corporation's annual report which is distributed to the Governor, the Chairman and Ranking Minority Member of the Senate Finance Committee, the Chairman and Ranking Minority Member of the Assembly Ways and Means Committee, the State Comptroller and the State Authorities Budget Office. This report shall include (a) a listing of all Real Property having an estimated Fair Market Value greater than fifteen thousand dollars ($15,000.00) that the Corporation Acquired during such reporting period and the name of the seller of the Real Property and the price paid by the Corporation for the Real Property, and (b) a description of the total amounts of Real Property purchased without competitive bidding, including (i) the nature of the Real Property, (ii) the names of the counterparties, and (iii) where the price for the Real Property purchased exceeds Fair Market Value, a detailed explanation of the justification for making the purchase without competitive bidding, and a certification by the Power Authority's Chief Executive Officer and Chief Financial Officer that they have reviewed the terms of such purchase and determined that it complies with applicable law.

b) The Corporation may be called upon periodically to submit information regarding the Acquisition of Real Property to organizations implementing the PAL or other statutes regulating the Acquisition of Real Property, such as the Authority Budget Office through the Public Authorities Reporting System ("PARIS").

c) The Corporation's Governance Committee meets at least three times per year and Corporation staff may be required to prepare and present ongoing reports regarding the Acquisition of Real Property.

6 VIOLATIONS

Violations of these Guidelines and related policies and procedures by employees may result in disciplinary action up to and including termination. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state or local laws.

7 REFERENCES

Public Authorities Law

8 PROCEDURE REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Year

9 ATTACHMENTS

N/A

Exhibit G
March 30, 2021

NEW YORK STATE CANAL CORPORATION
2020 ANNUAL REPORT OF DISPOSAL (CONVEYANCE) OF REAL PROPERTY OVER $15,000 IN VALUE

Purchaser's Name	**Price Realized by the Corporation**	**Parcel Acres**	**Transfer Date**
Riverpark Commons Waterloo, LLC	$66,199	6.9	6/08/2020

Exhibit G-1
March 30, 2021

NEW YORK STATE CANAL CORPORATION
2020 ANNUAL REPORT OF ACQUISITIONS OF REAL PROPERTY OVER $15,000 IN VALUE

Seller's Name	**Price Paid by the Authority**	**Acres**	**Transfer Date**
United States of America Environmental Protection Agency	$0.	24.76	10/30/2020
United States of America Environmental Protection Agency	$0	5.27	10/30/2020

NEW YORK STATE OF OPPORTUNITY. | NY Power Authority | Canal Corporation

Date: **March 30, 2021**

To: **Governance Committee**

From: **Gil Quiniones, President and Chief Executive Officer**

Subject: **Annual Review and Approval of Certain Policies for New York Power Authority and Canal Corporation**

SUMMARY

The Governance Committee is requested to review and recommend for approval by the full Board of Trustees ("Trustees") and Canal Corporation Board of Directors ("Board") certain policies for NYPA and Canal Corporation as required by Section 2824 of the Public Authorities Law and Article II, Section 2 of the Authority's and Canal Corporation's By-laws.

The Governance Committee is also requested to recommend that the Trustees and the Board delegate to the President and Chief Executive Officer the authority to modify these policies, as necessary, except in the event that any powers, duties or obligations of the Governance Committee would be affected by such modification.

BACKGROUND AND DISCUSSION

Section 2824 of the Public Authorities Law and the Bylaws require the Authority's and Canal Corporation's Boards to establish policies and periodically review and as necessary recommend changes to the written corporate policies, including but not limited to, policies relating to ethics, conflicts of interest, corporate governance principles, equal opportunity employment, procurement of goods and services, acquisition and disposition of real and personal property or interests therein, travel, regulations and rate proceedings, and the protection of whistleblowers.

Policies that were modified and approved in 2020, including existing Ethics and EEO policies, according to NYPA's business controls process, are attached as Exhibits "A" through "W" and respectively entitled:

Exhibit	Policy Name	Policy Number	Revision Date
A	Strategic Supply Management Policy	SSM-POL-DEP-001	4/14/2020
B	Credit Card Procurement System Policy	SSM-POL-CCPS-001	4/20/2020
C	Warehouse Controls	Proc-Pol-WH-01	5/1/2020
D	Contract Management: Contract Initiation, Negotiation and Administration	SSM-PRO-CINA-001	4/07/2020
E	Supplier Relationship Management Procedure	SM-PRO-SRM-002;	10/16/2020
F	Strategic Supply Management Sourcing Procedure	SSM-PRO-SRC-001	4/26/2020
G	Procedure for the Destruction of NYPA Records	ITP-DW-4.1	5/08/2020
H	Glossary for Digital Warehouse Policies and Procedures	ITP-IRC: G02.00	5/05/2020
I	NYPA's Workplace Violence Policy	CP 1-8	1/06/2020
J	Severance Policy	EP 1.7	9/29/2020
K	Management Non-Exempt and Facility-Based Exempt Overtime	EP 2.4	5/18/2020
L	Management Time Away from Work	EP 3.12	11/25/2020
M	Reasonable Accommodation Policy for Applicants and Employees with Disabilities and Pregnancy-Related Conditions	CP 1-11	1/06/2020
N	Reasonable Accommodation of Religious Observances or Practices Policy for Applicants and Employees	CP 1-12	1/06/2020

Exhibit	Policy Name	Policy Number	Revision Date
O	Equal Employment Opportunity, Anti-Harassment and Anti-Discrimination Policy	CP 1-14	2/26/2020
P	Travel Policy	CP 2-1	7/6/2020
Q	Travel Procedure	Trvl-Pro-01	4/25/2020
R	Company Airplane Procedures	Trvl-Pro-02	5/15/2020
S	Whistleblower Policy	GCP-2018-11	2/27/2018
T	Code of Conduct	Conduct	3/21/2013
U	Company Policy Program Administration	CP 1-1	5/04/2020
V	Personal Identifying and Protected Health Information Privacy Policy	CP 1.9	9/24/2020
W	Time Away from Work	EP 3.12	11/25/2020

RECOMMENDATION

The Executive Vice President and Chief Human Resources & Administrative Officer recommends that the Governance Committee recommend that the Board of Trustees and the New York Power Authority and the Canal Corporation approve the Authority's and Canal Corporation's policies in accordance with Section 2824 of the Public Authorities Law, the Authority's Bylaws and the bylaws of the Canal Corporation.

The Governance Committee is also requested to recommend that the Trustees and the Board delegate to the President and Chief Executive Officer the authority to modify these policies, as necessary, except in the event that any powers, duties or obligations of the Governance Committee would be affected by such modification.

For the reasons stated, I recommend the approval of the above-requested action by adoption of the resolution below.

Gil C. Quiniones
President and Chief Executive Office

R E S O L U T I O N

RESOLVED, that pursuant to Section 2824 of the Public Authorities Law and Section 2 of Article II of the Authority's and Canal Corporation By-laws the below-listed policies of the Authority and Canal Corporation are hereby approved:

Exhibit	Policy Name	Policy Number	Revision Date
A	Strategic Supply Management Policy	SSM-POL-DEP-001	4/14/2020
B	Credit Card Procurement System Policy	SSM-POL-CCPS-001	4/20/2020
C	Warehouse Controls	Proc-Pol-WH-01	5/1/2020
D	Contract Management: Contract Initiation, Negotiation and Administration	SSM-PRO-CINA-001	4/07/2020
E	Supplier Relationship Management Procedure	SM-PRO-SRM-002;	10/16/2020
F	Strategic Supply Management Sourcing Procedure	SSM-PRO-SRC-001	4/26/2020
G	Procedure for the Destruction of NYPA Records	ITP-DW-4.1	5/08/2020
H	Glossary for Digital Warehouse Policies and Procedures	ITP-IRC: G02.00	5/05/2020
I	NYPA's Workplace Violence Policy	CP 1-8	1/06/2020
J	Severance Policy	EP 1.7	9/29/2020
K	Management Non-Exempt and Facility-Based Exempt Overtime	EP 2.4	5/18/2020
L	Management Time Away from Work	EP 3.12	11/25/2020
M	Reasonable Accommodation Policy for Applicants and Employees with Disabilities and Pregnancy-Related Conditions	CP 1-11	1/06/2020
N	Reasonable Accommodation of Religious Observances or Practices Policy for Applicants and Employees	CP 1-12	1/06/2020
O	Equal Employment Opportunity, Anti-Harassment and Anti-Discrimination Policy	CP 1-14	2/26/2020
P	Travel Policy	CP 2-1	7/6/2020
Q	Travel Procedure	Trvl-Pro-01	4/25/2020
R	Company Airplane Procedures	Trvl-Pro-02	5/15/2020
S	Whistleblower Policy	GCP-2018-11	2/27/2018
T	Code of Conduct	Conduct	3/21/2013
U	Company Policy Program Administration	CP 1-1	5/04/2020
V	Personal Identifying and Protected Health Information Privacy Policy	CP 1.9	9/24/2020
W	Time Away from Work	EP 3.12	11/25/2020

AND BE IT FURTHER RESOLVED, that the President and Chief Executive Officer is authorized to modify the foregoing policies, as necessary, except in the event that any powers, duties or obligations of the Trustees and Board of Directors would be affected by such modification.

RESOLVED, That the Chairman, the Vice Chairman, the President and Chief Executive Officer, the Chief Operating Officer and all other officers of the Authority and Canal Corporation are, and each of them hereby is, authorized on behalf of the Authority and Canal Corporation to do any and all things and take any and all actions and execute and deliver any and all agreements, certificates and other documents to effectuate the foregoing resolution, subject to the approval of the form thereof by the Executive Vice President and General Counsel.

Title: Strategic Supply Management Policy

Document Type:	Business Unit Policy
Document Number:	SSM-POL-DEP-001
Revision Date:	4/14/2020
Final Approver:	*Canale, John* VP Strategic Supply Management
Executive Owner:	Canale, John VP Strategic Supply Management
Content Owner:	Gil, Diane Sr Dir Procurement Gov & Analytics COE

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Records will be retained in accordance with NYPA's approved records retention schedules and/or in compliance with all applicable legal requirements pertaining to NYPA.

Strategic Supply Management Policy

Revision Date (For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
4/14/2020	1	Update For NERC CIP 13 guidance	1, 3, 5, 7	Diane Gil, Senior Director Procurement Governance & Analytics Center of Excellence
2/19/2019	0	Original Issue	N/A	Diane Gil, Senior Director Procurement Governance & Analytics Center of Excellence

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Records will be retained in accordance with NYPA's approved records retention schedules and/or in compliance with all applicable legal requirements pertaining to NYPA.

1 PURPOSE AND SCOPE

This Strategic Supply Management (SSM) Department Policy supports the NYPA Guidelines for Procurement Contracts CP 3-1, the Expenditure Authorization Procedures (EAPs) CP 3-3, the SSM Company Policy CP 3-4, the Supplier Diversity Program CP 3-5, and the Cyber Supply Chain Risk Management Plan O-CI-02-001 (file paths located in Section 7, References), and sets forth more detailed guidance concerning the conduct required of all employees, consultant and contingent personnel when dealing with procurement related matters.

The purpose of this Policy is to promote sound and consistent procurement practices and internal controls, so as to ensure fair, non-biased procurement-related decisions. The Authority will adhere to all applicable New York State laws, governmental policies and administrative procedures regarding the procurement of goods and services.

2 APPLICABILITY

The Policy is applicable to all Authority employees as well as consulting and contract personnel.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

BCS – Bulk Electric System (BES) Cyber System

BES – Bulk Electric System

EAPs – Expenditure Authorization Procedures CP 3-3, which set forth the dollar value and corresponding authority levels by job title

Guidelines – NYPA Guidelines for Procurement Contracts CP 3-1

NERC (CIP) standards – North American Electric Reliability Corporation (Critical Infrastructure Protection) standards, specifically "*Cyber Security – Supply Chain Risk Management*" (standard number CIP-013-1), which is a regulatory standard that impacts guidance concerning the procurement, categorization, handling, maintenance and deployment of BES Cyber System related goods, services and inventory.

NYPA – New York Power Authority (the Authority)

SSM – Strategic Supply Management

SDP – Supplier Diversity Program CP 3-5

SSM Representative – an employee or designee of the Authority's Strategic Supply Management Department authorized to procure goods and/or services for, or on behalf of, the Authority.

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4 RESPONSIBILITY

Vice President, Strategic Supply Management or designee shall be responsible for the development, review, approval, revision, distribution and control of this Policy.

5 POLICY IMPLEMENTATION

5.1 NEW YORK STATE REQUIREMENTS

1. The Law Department determines which New York State laws, Executive Orders, Governmental Policies or administrative procedures are applicable to the Authority.

2. The Vice President, SSM will be responsible to adopt all Law Department determinations, with changes and updates to Guidelines, Policies and applicable Procedures along with communicating to all SSM Representatives enterprise wide.

3. Each SSM Representative will ensure that all applicable New York State requirements, as identified by the Vice President, SSM, are included in all SSM practices, bid documents and procurement contracts.

5.2 SSM REPRESENTATIVE RESPONSIBILITIES

1. SSM Representatives shall endeavor to bring added value to the Authority as a procurement professional by:
    a. Staying abreast of evolving procurement techniques, technologies, methods and strategies.
    b. Staying aware of trends and changes in the electric utility industry or related markets
    c. Deliver the best value for those goods/materials or services for the Authority needs, or may need, to fulfill its strategic objectives.
    d. Maximize the use of available resources to keep SSM administrative and processing costs low.
    e. Fully complying with the spirit and intent of the Guidelines, Policies and Procedures.
    f. Ensure all requests for commitments in the form of recommendation for awards or Purchase Requisitions and commitments in the form of Contracts are approved in accordance with the EAP's.

2. SSM Representatives shall stay fully informed of the policy, procedural, administrative and informal requirements that may impact the performance of his/her procurement functions.

3. SSM Representatives will fully comply with Supplier Diversity Program as stated in the SDP Policy and Procedures.

4. SSM Representatives will fully comply with the Cyber Supply Chain Risk Management Plan to define the risk management processes for the procurement, acquisition, and deployment activities related to vendor equipment, software, and services to be used within the Bulk Electric System (BES), as well as transitions from one vendor to another vendor(s).

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6 VIOLATIONS

Violations of this Policy and related policies and procedures by employees may result in disciplinary action up to and including termination. Violations of this Policy by contractors and other authorized third parties may result in the revocation of such party's access to NYPA's premises and/or electronic access to its systems, and the termination of such party's contract for services. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state or local laws.

7 REFERENCES

Guidelines for Procurement Contracts CP 3-1. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 3-1**

Expenditure Authorization Procedures CP 3-3. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 3-3**

SSM Procurement Policy CP 3-4. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 3-4**

SSM Supplier Diversity Program CP 3-5. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 3-5**

Supply Chain Risk Management Plan O-CI-02-001. This Plan document may be accessed on the Powernet → Quick Links → Policies & Procedures → Procurement Policies and Procedures → Supply Chain Risk Management Plan O-CI-02-001

8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Year

9 ATTACHMENTS

N/A

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E-Signature Approval History

Role	Name	Approved Date
Final Approver	Canale, John	4/14/2020
Executive Owner	Canale, John	4/14/2020
Content Owner	Gil, Diane	4/14/2020

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Title: Credit Card Procurement System Policy

Document Type:	Business Unit Policy
Document Number:	SSM-POL-CCPS-001
Revision Date:	4/20/2020
Final Approver:	*Canale, John* VP Strategic Supply Management
Executive Owner:	Canale, John VP Strategic Supply Management
Content Owner:	Gil, Diane Sr Dir Procurement Gov & Analytics COE

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Credit Card Procurement System Policy

Revision Date (For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
4/20/2020	1	Updates for NERC CIP 13 guidance	3, 5, 7	Diane Gil, Senior Director of Governance and Analytics Center Of Excellence, Strategic Supply Management
4/3/2019	0	Replaces Credit Card Procurement System Policy	N/A	Diane Gil, Senior Director of Governance and Analytics Center Of Excellence, Strategic Supply Management

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1 PURPOSE AND SCOPE

This Policy governs the use and administration of the Credit Card Procurement System (CCPS). The CCPS is intended to expedite the purchasing process and lower overall transaction costs while maintaining controls and adhering to purchasing guidelines. The CCPS is only to be used for official business purchases within the designated limits.

2 APPLICABILITY

This Policy applies to all New York Power Authority (herein after "Authority" or "NYPA") Cardholders, Approving Officials, Finance & Administration Managers (and/or Accounting Clerks) and Department Heads.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

BCS – Bulk Electric System (BES) Cyber System

BES – Bulk Electric System

CCPS – Credit Card Procurement System

NERC (CIP) standards – North American Electric Reliability Corporation (Critical Infrastructure Protection) standards, specifically "*Cyber Security – Supply Chain Risk Management*" (standard number CIP-013-1), which is a regulatory standard that impacts guidance concerning the procurement, categorization, handling, maintenance and deployment of BES Cyber System related goods, services and inventory.

OFAC – Office of Foreign Assets Control

4 PROCARD – PROCUREMENT CREDIT CARDRESPONSIBILITY

The ProCard Program Leadership, including Senior Director of Governance and Analytics Center of Excellence (COE) and Vice President of Strategic Supply Management are responsible for maintaining this Policy.

5 POLICY IMPLEMENTATION

5.1 Policy

5.1.1 Policy Statement

The Authority established and administers a Credit Card Procurement System. The CCPS authorizes certain Authority employees to procure specific goods, materials or services valued up to but not exceeding $4,999, on behalf of the department/division using the credit card or checks associated with the account. The CCPS incorporates the applicable requirements of the Authority's Guidelines for Procurement Contracts (CP 3-1) and Risk Management (insurance) requirements, as well as the requirements of the Expenditure Authorization Procedures (CP 3-3), Reimbursement of Employee Meal Costs (CAP 1-5), Capitalization vs. Period Operating

Expense (CAP 2.1), Contributions and Sponsorships (CP 11-1) and the Ethics and Compliance Program (CP 6-9). File paths are located in Section 7, References.

5.1.2 Privacy Statement

Section 94(1)(d) of the New York Public Officers Law requires this notice to be provided when collecting personal information from Authority employees applying for procurement credit cards for regulations issued by the U.S. Department of the Treasury's Office of Foreign Assets Control ("OFAC").

This information is requested pursuant to OFAC regulations. The principal purpose for which the information is collected is for J.P. Morgan to ensure that individuals who are listed on a government sanctions list do not use their products, which includes NYPA's ProCard, in accordance with Section 96(1) of the Personal Privacy Protection Law, particularly subdivisions (b), (e), and (f).

Failure to provide the requested information will result in a denial of an employee's request to use a ProCard.

This information will be maintained by the Office of Strategic Supply Management at the Power Authority of the State of New York located at 123 Main Street, White Plains, New York 10601, or when appropriate, at one of the various NYPA facilities.

For further information please contact your CCPS Program Administrator.

5.1.3 Compliance

A. All ProCard transactions are routinely audited by the CCPS Program Administrator, Approving Official and NYPA's Internal Audit Department. The New York State Office of State Comptroller also performs a periodic audit of NYPA's CCPS Procedures and associated transactions.

B. In accordance with NERC CIP-013, use of a ProCard for the procurement of vendor equipment, software, and services that may be used in the Bulk Electric System (BES) is prohibited. Cardholders shall comply with the Strategic Supply Management Sourcing Procedure (SSM-PRO-SRC-001) with file path located in Section 7, References, specifically to include guidance concerning the NERC CIP standard "Cyber Security – Supply Chain Risk Management" (standard number CIP-013-1), which is a regulatory standard that impacts guidance concerning the procurement, categorization, handling, maintenance and deployment of BCS-related goods, services and inventory.

C. Cardholders and Approving Officials shall comply with all CCPS Procedures and with all audit requests. Cardholders and Approving Officials shall provide upon request all signed monthly statements along with logs and any corresponding invoices and receipts upon request for audit purposes. Cardholder will answer all questions requested by auditor and follow up on any outstanding issues raised. Failure to cooperate with an auditor may result in suspension of the ProCard.

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6 VIOLATIONS

Cardholders and Approving Officials who violate any of these policies and procedures will be subject to the following actions by the Vice President of Strategic Supply Management and the Senior Director of Governance and Analytics COE or the CCPS Program Administrator:

6.1 A Notice of Admonishment will be sent as the first warning that a Cardholder or Approving Official has violated procedures or has engaged in actions deemed to be inconsistent and inappropriate with the requirements of the CCPS. A maximum of two (2) Notices of Admonishment may be received by a Cardholder or Approving Official before the card is suspended. A copy of the letter will be sent to the Cardholder's Approving Official and Human Resources.

6.2 Account suspension notification will be given when a Cardholder fails to comply with CCPS requirements or who has received two (2) Notices of Admonishment within a period of time, a copy of the letter will be sent to the Cardholder's Approving Official and Department Head. Suspension of an account will be for a period of not less than 60 days and no more than 120 days.

6.3 Account cancellation will occur upon the Vice President of Strategic Supply Management, Senior Director of Governance and Analytics Center of Excellence or CCPS Program Administrator's determination that the Cardholder has either consistently disregarded the CCPS Policy, received two (2) Notices of Admonishment, received an Account Suspension Notification or has engaged in actions that seriously violate the integrity of the CCPS or the Codes of Conduct of NYPA. Cardholders whose ProCard (or check account, which is a function on designated ProCard accounts allowing the use of convenience checks) has been cancelled will not be eligible to receive a new account or serve as an Approving Official under any circumstances.

6.4 Nothing in these CCPS Policy precludes the management of NYPA from recommending or imposing different or additional disciplinary action at any time. Cardholders and Approving Officials who violate this Policy or who make unauthorized purchases may be liable for the total amount of that purchase plus any associated administrative fees imposed by the bank, in addition to any disciplinary action up to and including termination.

7 REFERENCES

NYPA Guidelines for Procurement Contracts CP 3-1. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 3-1**

NYPA Expenditure Authorization Procedures CP 3-3. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 3-1**

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NYPA Strategic Supply Management Sourcing Procedure SSM-PRO-SRC-001. **This Policy, which details sourcing strategies and CIP-013-1 compliance measures, can be found on the Powernet → Quick Links → Policies & Procedures → Procurement Policies and Procedures → SSM-PRO-SRC-001**

NYPA Capitalization vs. Period Operating Expense CAP 2-1. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Accounting Policies and Procedures → CAP 2-1**

NYPA Corporate Travel Policy CP 2-1. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 2-1**

NYPA Reimbursement of Employee Meal Costs CAP 1-5. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Accounting Policies and Procedures → CAP 1-5**

NYPA Contributions and Sponsorships CP 11-1. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 11-1**

NYPA Ethics and Compliance Program CP 6-9. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 6-9**

NYPA Credit Card Procurement System Procedure SSM-PRO-CCPS-001. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Procurement Policies and Procedures → Credit Card Procurement System → SSM-PRO-CCPS-001**

NYPA Supplier Diversity Program CP 2-4. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 2-4**

8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Year

9 ATTACHMENTS

N/A

E-Signature Approval History

Role	Name	Approved Date
Final Approver	Canale, John	4/20/2020
Executive Owner	Canale, John	4/14/2020
Content Owner	Gil, Diane	4/13/2020

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Title: Warehouse Controls

Document Type:	Business Unit Policy
Document Number:	Proc-Pol-WH-01
Revision Date:	5/1/2020
Final Approver:	*Canale, John* VP Strategic Supply Management
Executive Owner:	Gil, Diane Sr Dir Procurement Gov & Analytics COE
Content Owner:	King, Kevin (WPO) Director Transactional Procurement

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Warehouse Controls

Note: Revision # should be listed in descending order starting with most recent version at the top

Revision Date (For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
5/1/2020	3	Edits made to update guidance for NERC CIP 13	1, 5, 7	Kevin King Director Transactional Procurement
2/23/2020	2	Annual review – edits made to update department name and titles	All	Kevin King Director Transactional Procurement
3/16/2018	1	Annual review – edits made to update department name and titles	N/A	Kevin King Director Transactional Procurement
3/22/2016	0	Original Issue	N/A	Patrick J. Donnelly Director Site Purchasing, Materials Mgmt.

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1 PURPOSE AND SCOPE

The function of Site Strategic Supply Management is to support NYPA's operations through the effective procurement of goods and services, as well as ensuring the accuracy of delivered goods and maintaining an inventory of equipment, supplies and materials to meet operational needs and goals. These functions are conducted safely, and in such a manner as to be compliant with applicable statutory and regulatory requirements, standards and guidance.

To that end, this Policy provides guidance for implementation of proper warehouse controls when receiving, inspecting and issuing procured equipment, supplies and materials. Management provides this guidance to promote effective, professional and safe industrial work practices.

2 APPLICABILITY

This procedure shall be adhered to by all warehouse personnel at NYPA sites, inclusive of leased warehouse properties. The requirements in this procedure apply to materials or equipment received by, or distributed from, a NYPA warehouse facility.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

BCS – Bulk Electric System (BES) Cyber System

BES – Bulk Electric System

ERP – Enterprise Resource Planning Software Solution

IT – Information Technology

NERC CIP standards– North American Electric Reliability Corporation Critical Infrastructure Protection standards, specifically "*Cyber Security – Supply Chain Risk Management*" (standard number CIP-013), which is a regulatory standard that impacts guidance concerning the procurement, categorization, handling, maintenance and deployment of BCS related goods, services and inventory.

SAP – Systems Applications and Products, an Enterprise Resource Planning (ERP) system

SSM – Strategic Supply Management

SSM Representative – an employee or designee of the Authority's SSM Department authorized to procure goods and/or services for, or on behalf of, the Authority

Supplier – the contractor capable of providing goods and/or services

Vendor - Persons, companies, or other organizations with whom NYPA, or its affiliates, contract with to supply BES Cyber Systems and related services

4 RESPONSIBILITY

The primary ownership of this procedure belongs to the Director, Transactional Procurement. Each Site Procurement Manager shall be responsible for recording equipment, supplies and materials procured by the Authority into the SAP software system.

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The Vice President, SSM or designee will have overall responsibility for overseeing this Procedure.

5 PROCEDURE IMPLEMENTATION

5.1 General

5.1.1 Physical Access to Warehouses

a. Only authorized warehouse personnel, or those with authorized access as approved by the Site Procurement Manager, shall have unaccompanied access to the warehouse facilities.
b. In order for a non-warehouse or unauthorized employee to gain access to the warehouse, the Site Procurement Manager must email Site Security to authorize and implement access for such individual.
c. If any non-warehouse personnel (NYPA employee or third party) requires access to warehouse facilities for any purpose, they shall be accompanied by authorized warehouse personnel or NYPA Security personnel at all times.

5.1.2 SAP Access to Inventory Records

a. Authorized warehouse personnel shall have SAP access to inventory records and be permitted to create, revise or delete such inventory records in accordance with SAP system procedures referenced in Section 7.
b. The Site Procurement Manager grants access to SAP by completing an IT authorization form for the individual (as found by following the following reference: **Powernet → Quick Links → Forms → Information Technology → IT Forms)**

5.1.3 Inventory Management

a. Monthly inventory cycle counts shall be conducted by the warehouse personnel as assigned by the Site Procurement Manager or the Senior Site Buyer.
b. Under the supervision of the Site Procurement Manager, a complete inventory of the warehouse is completed at least once every 24 months. Any member of the inventory team can escalate a discrepancy to the Site Procurement Manager. The Site Procurement Manager reviews and approves discrepancies in the inventory count.
c. Only authorized warehouse personnel may receive or issue materials, supplies or equipment into or out of inventory.
d. Authorized warehouse personnel receive, open and examine all items; performing a complete visual and physical inspection of the items upon delivery. Warehouse personnel shall review all bills of lading to verify that they conform to the materials, supplies or equipment actually delivered to NYPA's warehouse.
e. Non-conforming items are set aside in a designated area until an Authority SSM Representative contacts the Supplier in order to resolve and reconcile the discrepancy.

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All accepted items are issued directly to the person who requested it or secured into the SAP inventoried location within the warehouse facility for future application, via the Inventory Management module of SAP.

5.2 NERC CIP-013 "*Cyber Security – Supply Chain Risk Management*" requirements

For procurements that contain products for use in the BES, warehouse personnel will conduct several activities to ensure compliance with NERC CIP-013 requirements. Storage control processes ensure proper BCS product inspection and placement in designated storage facilities. BES information will appear on the SAP "Goods Receipt" screen or printed document for Warehouse personnel to verify that the item(s) are BES-related.

5.2.1 Prior to accepting receipt of Vendor products, authorized warehouse personnel must ensure equipment was protected during transit by conducting the following steps:

a. Confirm packaging has not been damaged and does not appear to have been tampered with. If a product is received and appears to be compromised, or any damage is apparent, Authority personnel take several photos and retain information with goods receipt information.
b. Identify all BCS-related items and validate that stock items are CIP-013 approved procurements, this includes verifying item quality, quantity, CIP-013 approval flags and Purchase Order data (i.e., manufacturer, part number, applicable specification sheets). Each BES stock item will be categorized in SAP as BES/CIP-013 so they can be easily identified or flagged as BES.
c. Enter warehouse inventory items into ERP system (SAP).
d. Separate BCS-related items for CIP-013 labeling and storage within designated location for BCS inventory items.

5.2.2 All BCS-related procurements are identified and labeled to uniquely classify the inventory material and/or items as products that could be used in or for the BES.

- Inventory items procured prior to CIP-013 enforcement date require "*Pre NERC CIP013 Item*" labeling. Warehouse personnel will label every BES stock item and storage location by the list of identified stock items for BES/CIP impacted items provided by Management.
- Inventory items procured after October 1, 2020 will follow the controlled Authority supply chain risk management process and require "*NERC CIP-013 Item*" labeling.
- All BCS procured inventory labels must include the corresponding stock number and purchase order number.
- Each BCS item must be labeled individually, not as a bundle, group or otherwise
- No BCS items shall be procured, received or released without a stock number. Stock numbers are created in accordance with O-AMM-20-013, Maximo Item Creation and Disposition, a procedure with file path noted in Section 7, References.

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- No BCS items shall be released without a valid Maximo work order in accordance with O-AMM-20-004, Work Order (WO) Planning, a procedure with file path noted in Section 7, References.

5.2.3 Warehouse storage bins, shelves, racks, etc. that are used to store BCS impacted inventory materials and/or items must be clearly labeled as BES by Warehouse personnel.

- Access to all Authority warehouse facilities is restricted to authorized personnel per 5.1.1 above.
- All Authority warehouse personnel are required to complete job-specific training for awareness of CIP-013 compliance and associated procedures as provided by Management.

5.2.4 BCS items returned to the warehouse by the department or group that the item was issued to must be returned in the original packaging, undamaged, with original BES labeling and with a copy of the original issue reservation. Prior to returning the item, the respective department must follow NYPA's information protection guidelines in accordance with O-CI-03-000 Cyber Asset Management Policy, O-CI-03-002 Information Protection Program Processes for Information Identification, Classification, Protection and O-CI-03-002-SD Information Protection Program Processes for Information Identification, Classification, Protection with file paths noted in Section 7, References.

6 VIOLATIONS

Violations of this procedure and related policies and procedures by employees may result in disciplinary action up to and including termination. Violations of this procedure by contractors and other authorized third parties may result in the revocation of such party's access to the Authority's premises and/or electronic access to its systems, and the termination of such party's contract for services. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state or local laws.

7 REFERENCES

SSM Department Procurement Policy SSM-POL-DEP-001. This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Procurement Policies and Procedures → General → SSM-POL-DEP-001

NYPA Strategic Supply Management Sourcing Procedure SSM-PRO-SRC-001. This Procedure, which details sourcing strategies and CIP-013 compliance measures, can be found on the Powernet → Quick Links → Policies & Procedures → Procurement Policies and Procedures → SSM-PRO-SRC-001

Cyber Asset Management Policy O-CI-03-000. This Policy document may be accessed on the Powernet → Quick Links → Policies & Procedures → NERC Policies and Procedures → Department: ECC – Operations Technology → Cyber Asset Management Policy O-CI-03-000

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Information Protection Program Processes for Information Identification, Classification, Protection O-CI-03-002. This Procedure document may be accessed on the Powernet → Quick Links → Policies & Procedures → NERC Policies and Procedures → Department: Cyber Security → Information Protection Program Processes for Information Identification, Classification, Protection O-CI-03-002

Information Protection Program Processes for Information Identification, Classification, Protection O-CI-03-002-SD. This Supporting Document may be accessed on the Powernet → Quick Links → Policies & Procedures → NERC Policies and Procedures → Department: Cyber Security → Information Protection Program Processes for Information Identification, Classification, Protection O-CI-03-002-SD

Maximo Item Creation and Disposition Procedure O-AMM-20-013. This Procedure document may be accessed on the Powernet → Quick Links → Policies & Procedures → Utility Operations Policies and Procedures → Asset Maintenance Manual Policies and Procedures → Maximo Item Creation and Disposition Procedure O-AMM-20-013

Work Order (WO) Planning O-AMM-20-004. This Procedure document may be accessed on the Powernet → Quick Links → Policies & Procedures → Utility Operations Policies and Procedures → Asset Maintenance Manual Policies and Procedures → Work Order (WO) Planning O-AMM-20-004

The following index reflects the procedures used in the execution of this Policy to be used by warehouse personnel:

Procedure Name
Display Stock Overview
Create a Material Master for Operating Supplies
Create a Material Master for Non-Valuated material
Display a Material Master Record
Flag Material Master Record for Deletion
Create Single Physical Inventory Document
Change Single Physical Inventory Document
Display Physical Inventory Document
Print Physical Inventory Document
Enter Physical Inventory count w/Ref Document
Enter Physical Inventory count w/o Ref Document
Display Physical Inventory Count
Change Physical Inventory Count
Display Physical Inventory Overview

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Display Physical Inventory Data for Material
Display Physical Inventory Documents for Material
Initiating a Recount
Post Inventory Differences
Post Count and Differences without Inventory Document
Post Count and Differences
Create a Reservations
Change or Delete a Reservation
Display a Material Reservation
Perform a Goods Issue
Reverse a Goods Issue
Post a Goods Transfer
Perform a Goods Receipt against a PO
Goods Receipt to Blocked Stock
Display a Material Document
Return Delivery to Vendor
Print MRP List
Display Stock Requirements List
MRP Change Planned Orders
MRP Planned Orders: Collective Conversion to PReq
MRP Individual Display of Planned Orders
MRP Collective Display of Planned Orders
Perform Online Total Planning Run
Perform Total Planning Run as Background Job
Display Batch
Change Batch

8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle : Every Year

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9 ATTACHMENTS

N/A

E-Signature Approval History

Role	Name	Approved Date
Final Approver	Canale, John	5/1/2020
Executive Owner	Gil, Diane	4/30/2020
Content Owner	King, Kevin (WPO)	4/30/2020

Title: Contract Management: Contract Initiation, Negotiation and Administration

Document Type:	Procedure
Document Number:	SSM-PRO-CINA-001
Revision Date:	4/7/2020
Final Approver:	*Canale, John* VP Strategic Supply Management
Content Owner:	Tempesta, Jeannine Manager Contract Management

Contract Management: Contract Initiation, Negotiation and Administration

Note: Revision # should be listed in descending order starting with most recent version at the top

Revision Date (For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
4/7/2020	0	Original Issue	N/A	Jeannine Tempesta, Manager Contract Management

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1 PURPOSE AND SCOPE

This Procedure supports the Strategic Supply Management (SSM) Procurement Policy and sets forth the Authority's overall contract initiation and negotiation process as well as the conduct required of employees, consultants and contingent workers when dealing with contract initiation and negotiation related matters.

The purpose of this Procedure is intended to guide all SSM Representatives in sound and consistent contract implementation practices and internal controls so as to ensure fair, non-biased procurement-related decisions.

2 APPLICABILITY

This Procedure applies to all SSM Representatives including consultant and contingent workers. This Procedure is subsequent to the SSM Sourcing Procedure (SSM-PRO-SRC-OO1)

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

BCS – Bulk Electric System (BES) Cyber System

BES – Bulk Electric System

CO – Change Order

CWO – Contract Work Orders

Content Server – The electronic filing system at the New York Power Authority, and the source of record for a procurement record

EAPs –Expenditure Authorization Procedures, CP 3-3

End User – the NYPA employee who has requested the goods or services

EPC – Engineering, Procurement and Construction, a standard contract template

Evaluation team – Authority stakeholders involved in the review of proposals for a certain procurement opportunity which will result in a Procurement Contract.

FD – Furnish and Deliver, a standard contract template

FDI – Furnish, Deliver and Install, a standard contract template

Guidelines –Guidelines for Procurement Contracts, CP 3-1

IT – Information Technology

MRP – Materials Requirement Planning

NERC (CIP) standards – North American Electric Reliability Corporation (Critical Infrastructure Protection) standards, specifically "*Cyber Security – Supply Chain Risk Management*" (standard number CIP-013-1), which is a regulatory standard that impacts guidance concerning the procurement, categorization, handling, maintenance and deployment of BES related goods, services and inventory.

NYSCR or New York State *Contract Reporter* – The Procurement Opportunities Newsletter which provides centralized public notice of State agency and public authority intentions to contract for goods and services in accordance with Article 4-C of the Economic Development Law.

OCIP – Owner Controlled Insurance Policy

Procurement Contract – As defined by the Guidelines for Procurement Contracts CP 3-1, is a contract for the acquisition of goods and/or services in the actual or estimated amount of $5,000 or more. Such goods and/or services are those necessary to support the Authority's White Plains office, facilities, operations and maintenance ("O&M") and capital projects, including but not limited to goods such as major electrical equipment, construction and maintenance work and services.

PO – Purchase Order, which section 7.A. of the Guidelines for Procurement Contracts, CP 3-1 notes as a standard form of contract for the procurement of goods / services. A Purchase Order is the source document used to place an order with a vendor or supplier.

POR – Purchase Order Release, which is the authorization for a supplier or vendor to deliver and bill for goods / services. This authorization 'releases' line items in an existing PO for delivery and payment.

Recommendation for Award – A form (site use) or memorandum (headquarters) used to formally justify and authorize the award of contract to a supplier (or suppliers) at a defined dollar value in accordance with the EAPs, CP 3-3and Guidelines for Procurement Contracts, CP 3-1. See Section 7, References for template location(s).

Services Contracts – as defined in section 2.C., of the Guidelines for Procurement Contracts, CP 3-1, services contracts include Construction Contracts, Personal Service Contracts and Non-Personal Service Contracts

Single Source – as defined in section 2.J., of the Guidelines for Procurement Contracts, CP 3-1, a single source procurement is one in which the Authority, upon written findings setting forth

material and substantial reasons, may award a contract (or amendment to a contract) to one offerer over another that can supply the goods and/or services.

Sole Source – as defined in section 2.K., of the Guidelines for Procurement Contracts, CP 3-1, a sole source procurement is one in which only one offerer is capable of supplying the required goods and/or services.

SSM – Strategic Supply Management

SSM Representative – An employee, consultant or contingent worker of the Authority's Strategic Supply Management (SSM) Department authorized to procure goods and/or services for, or on behalf of, the Authority.

TCFT – Technical Cross Functional Team; the technical team designated to review BES parts and vendors for approval

VC – Value Contract, which is a term used for a binding agreement such that the total value of all Purchase Orders issued against the agreement (contract) is not to exceed a certain predefined value.

4 RESPONSIBILITY

The VP, SSM or designee shall be responsible for the development, review, approval, revision, distribution and enforcement of this Procedure.

5 PROCEDURE IMPLEMENTATION

5.1 CONTRACT INITIATION

5.1.1 At the time a Request for Proposals is being developed, the SSM Representative will select an agreement template in accordance with the Sourcing Procedure SSM-PRO-SRC-001. The template will be selected based upon the nature of the procurement. If a template does not exist for the nature of the procurement, the SSM Representative will escalate to their manager to coordinate an appropriate alternative.

5.1.2 SSM Representative must use standard agreement templates stored in the Authority's electronic bidding system. Below is a list of standard agreement templates that are managed by SSM:

Standard agreement templates:

i. Consulting Services Agreement
ii. Furnish and Deliver (FD)
iii. Furnish, Deliver and Install (FDI)
iv. Construction Work Order (CWO)
v. Construction Agreement
vi. Maintenance Services Agreement

vii. SAP Purchase Order (with terms and conditions incorporated)
viii. Contingent Staffing Agreement
ix. Service Provider Agreement for Energy Efficiency
x. Site Services Agreement

Any use of a template not noted in i-x above would require approval by the VP, SSM and the Law Department.

5.1.3 For all standard agreement templates except for the SAP Purchase Order, the SSM Representative will populate the agreement template to reflect the title and specifics of the project. The agreement template is one component of the final Procurement Contract. Concurrently, the SSM Representative is also responsible for gathering the additional components appropriate to the nature of the specific procurement. As noted in SSM Sourcing Procedure SSM-PRO-SRC-001 Section 5.3.1, these components may include:

1. Scope of work / specifications / drawings prepared by the End User specifically for the procurement.

2. Compensation schedule, line items or schedule of values for completion by the bidder(s),

3. Appendices and certifications (such as Executive Order 177), as applicable:

    a. Executive Order 177 – prevents the Authority from entering into a contract with entities that have policies or practices that fail to address harassment and discrimination based on any protected basis. Signed copy required, except when awarding through OGS. Signed copy to become part of the final contract and procurement record. When the award is through OGS, OGS will handle EO 177.
    b. Appendix A – Applicable Laws and Regulations – to be included with every procurement. Signed copy to become part of the final contract and procurement record.
    c. Appendix B – Prompt Payment Statement – a copy must be provided to every bidder. No signature required. Will become part of the final contract and procurement record.
    d. Appendix C – MWBE Goals – to be included when deemed necessary by Supplier Diversity Group. If applicable, a completed copy will become part of the final contract and procurement record.
    e. Appendix D – Background Screening for NYPA's Contractors – to be included in procurements which call for on-site access. No signature required. Awarded bidders will be given a follow up Appendix D which will become part of the final contract and procurement record.
    f. Appendix E – Requirements of the Omnibus Procurement Act of 1992 - to be included with every procurement. Will become part of the final contract and procurement record.

g. Appendix F – Computer Aided Design Requirements for New York Power Authority Drawings – to be included in procurements that require the supplier to submit drawings for the Authority. No signature required. Will become part of the final contract and procurement record.
h. Appendix G – Equal Employment Opportunities Requirements – to be included with every procurement. A completed copy will become part of the final contract and procurement record.
i. Appendix H – Tax Law Requirements – to be included with every procurement. Signed copy requested from awarded bidders prior to issuance of contract. Signed copy will become part of the final contract.
j. Appendix I – NERC CIP Cyber Access and / or Unescorted Physical Access Training Requirements – to be included with procurements that will require unescorted access at NYPA sites. No signature required prior to the issuance of a contract. Will become part of the final contract and procurement record.
k. Appendix J – Requirements of New York State Finance Law and Compliance Form – to be included with all procurements over $15,000.00. A signed copy will become part of the final contract and procurement record.
l. Appendix M – Use of Ultra Low Sulfur Diesel Fuel and Best Available Retrofit Technology for Heavy Duty Vehicles – to be included with procurements that require heavy duty vehicles. Signed copy will become part of the final contract and procurement record.
m. Appendix N – NYS Iran Divestment Act of 2012 – to be included with every procurement. Signed copy will become part of the final contract and procurement record.
n. Appendix P – Information Security Requirements for Vendors and External Partners – must be included on 1) all procurements involving IT purchases, technology and/or confidential data (as defined in Appendix P) and 2) BES procurements. No signature required. Will become part of the final contract and procurement record.
o. Non-Collusive Proposal Certification – must be included with every procurement. Signed copy will become part of the final contract and procurement record.

4. New York State Prevailing Wage Rates (PWR), if applicable – When the procurement meets the Department of Labor's criteria for prevailing wages, the SSM Representative will obtain Wage and Supplement Information and associated PWR number (https://apps.labor.ny.gov). This information shall become part of the final contract and procurement record.

5. Insurance requirements are included in all standard agreement templates. However, if the procurement falls under Owner Controlled Insurance Policy (OCIP) standards set forth in the SSM Sourcing Procedure SSM-PRO-SRC-001 Section 5.5 the SSM Representative will use the established OCIP language rather than the standard insurance language in the template.

6. Security and Bonds, if applicable:

a) Any Construction, FDI, CWO or EPC project, in excess of $200,000, requires Performance Bond and Labor and Material Payment Bond.

i. Performance Bond:
The Authority requires the successful bidder at the time of award to execute and deliver the original bond with sureties approved by the Authority, guaranteeing the faithful performance of the contract. In lieu of a Performance Bond, the SSM Representative, may request a Letter of Credit. Performance Bonds will not be returned.

ii. Labor and Material Payment Bond:
The successful bidder must execute and deliver a Labor and Material Payment Bond with sureties approved by the Authority, guaranteeing prompt payment of monies due to all persons furnishing labor or materials in the prosecution of the work provided for in the contract. Payment Bonds will not be returned.

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5.1.4 For competitive sourcing events, the SSM Representative will attach the updated agreement template and all related materials to the sourcing event for review by bidders during the bidding period.

5.1.5. For non-competitive sourcing events, the SSM Representative will send the updated agreement template and all related materials to the bidder for review. For non-competitive sourcing events when the SAP Purchase Order serve as the agreement template, the SSM Representative will ensure that the terms and conditions are included in at the time of signature.

5.2 CONTRACT NEGOTIATION

5.2.1 The negotiation process begins once the bidding period has completed. The SSM Representative and Evaluation Team will review all proposals received from bidders and proceed as outlined herein.

5.2.2 The Authority requests exception free proposals, however bidders may propose exceptions in the form of red-lined comments on the supplied documents at the time of bid submittal. The nature of the exceptions taken by the bidder will be considered in the evaluation of the bid. SSM Representatives will respond to exceptions provided by technically and commercially qualified bidders.

5.2.3 The SSM Representative shall work with supporting departments including, but not limited to: (i) End Users for technical issues; (ii) Law Department for legal matters;

(iii) Risk Management for insurance issues; (iv) Environmental Safety and Health for related issues; (v) the Technical Cross Functional Team (TCFT) for BCS-related procurements involving compliance with NERC CIP standards; and (vi) the Supplier Diversity Manager for Supplier Diversity Program matters. All exceptions are tracked through the Contract Management Module. To do so, the SSM Representative will:

a) Use the Contract Management Module and import the red-lined documents for transparent review by the appropriate supporting departments

b) Coordinate review and comment by appropriate supporting departments

c) Respond to the bidder with the Authority's response to the exceptions

Once all exceptions have been resolved, the SSM Representative shall finalize all edits to the agreement template.

5.2.3 Upon completion of negotiation, SSM Representative will prepare the SAP Purchase Order (PO) / Value Contract (VC). This PO/VC becomes the first part of the final Procurement Contract.

5.2.4 SSM Representative shall promptly complete preparation of the contract document after receipt of the Recommendation for Award memorandum and/or Trustee approval. Note: For BCS-related procurements, it is a requirement to source from an approved CIP-013 Supplier that has been risk assessed by TCFT. Vendor cyber security information must be approved, and BCS Terms and Conditions must be agreed upon.

5.2.5 All contracts must be approved in accordance with the EAPs and, where applicable, must be approved and reviewed by the Trustees. SSM Representative confirms compliance of signatory authority is in accordance with the EAPs.

5.2.6 Contracts are signed via an electronic signature tool (currently Adobe Sign) with the Authority's signatory signing first. Supplier is requested to execute the contract within 10 business days. SSM Representative shall follow up with supplier if an executed contract is not received after 10 business days. Should the supplier not execute the contract after 10 business days, and after SSM Representative follow up, the VP of SSM has the right to cancel the contract. When both parties have signed the contract, the contract is considered fully executed and must be filed by the SSM Representative in Content Server.

5.3 PURCHASE ORDER RELEASES AGAINST A VALUE CONTRACT

5.3.1 In order to issue a Purchase Order Release (POR) against a Value Contract, the End User must provide the SSM Representative managing the contract a properly approved Purchase Requisition (PR) and scope of work.

5.3.2 If the POR is to be bid amongst a stable of existing contracts (also referred to as a mini bid) for the needed goods or services:

a) the SSM Representative will obtain proposals for the scope of work from the suppliers owning the existing contracts.

b) the SSM Representative and members of the Evaluation Team will evaluate the proposals and determine the best qualified supplier.

c) if the POR involves a BES asset, the goods or services may only be procured by a BES approved vendor as outlined in 5.2.4 above.

5.3.3 SSM Representative will prepare the POR in SAP and arrange for signature in accordance with EAPs.

5.3.4 SSM Representative shall follow up with supplier if an executed POR is not received after 10 business days.

5.3.5 Should the supplier not execute the POR after 10 business days, and after SSM Representative follow up, the SSM Representative may, after consultation and concurrence with the End User, withdraw the POR and confer with the End User for an alternate strategy for completing the work.

5.3.6 Upon receipt of the fully executed POR, the SSM Representative will save the document electronically to Content Server in the contract file.

5.4 CONTRACT ADMINISTRATION

5.4.1 Upon receipt of fully executed contracts, SSM Representative must store the contract in the contract folder located in Content Server within one (1) week after signature.

5.4.2 Unsuccessful bids/cancelled project(s) documents, including evaluations of the corresponding proposal (if any) and other supporting documentation, shall be retained and stored in Content Server by the SSM Representative (or designee) in accordance with the Authority's Digital Warehouse Procedures and the Authority's Records Management Policy CP-2-11, with respective file paths noted in Section 7, References.

5.4.3 For contract amounts greater than $50,000, SSM Representative will post the name of the awarded supplier on the New York State *Contract Reporter* (NYSCR) website, the NYPA.gov SSM website and, where wage rates apply, the New York State Department of Labor website with file paths noted in the Section 7 References.

5.4.4 SSM Representative maintains and reviews contract compliance, including but not limited to, managing amendments/COs, price escalators, renewals, terminations, compliance with terms and conditions by the Contractor.

5.4.5 SSM Management shall perform review of randomly selected executed contracts on quarterly basis to confirm contract compliance; for example, adherence to terms and conditions and/or monetary spend.

5.5 CONTRACT ADMINISTRATION - CHANGE ORDERS

5.5.1 Change Orders (CO) can be authorized against Purchase Orders, Purchase Order Releases or Value Contracts. Note: For applicable BCS-related procurements, the TCFT must be involved for risk management and mitigation. If a change or modification is made for a CIP-013 pre-approved item, engagement, service or contract, the TCFT may review the updates to further assess any additions or BCS impacts to risk assessments.

5.5.2. The End User must provide the SSM Manager with a properly approved PR and memo/email justifying the proposed CO.

5.5.3 SSM Representative may:

a) Issue CO(s) to the supplier documenting the changes mutually agreed upon by the parties.

b) Issue internal CO for Authority use only (not distributed to the supplier), documenting certain internal Authority information including, but not limited to, target value, budget, certain SAP administrative needs, etc.

5.5.4 SSM Representative will prepare the CO in SAP, issue arrange for signature in accordance with EAPs based upon the value of the Change Order, not the value of the PO/POR/VC.

5.5.5 SSM Representative shall follow up with supplier if an executed CO is not received after 10 business days.

5.5.6 Should the supplier not execute the CO after 10 business days, and after SSM Representative follow up, the SSM Representative may, after consultation and concurrence with the End User, withdraw the POR and confer with the End User for an alternate strategy for completing the work.

5.5.7 Upon receipt of the fully executed CO, the SSM Representative will save the document electronically to Content Server in the contract file.

5.6 CONTRACT ADMINISTRATION - DISCREPANCIES / DISPUTES / CLAIMS

5.6.1 In the event of any discrepancies, disputes or claims the SSM Representative will review the nature of the discrepancy/dispute/claim via:

a) Direct contact with the supplier
b) Input provided by warehouse receiving
c) Input from the End User

d) Input from Accounts Payable
e) Input from Legal Department

5.6.2 If/when the notification of a claim comes from an End User, it will be accompanied by supporting documentation from the End User enough that it can be objectively evaluated by SSM.

5.6.3 SSM Representative will contact the supplier, with the End User's input if necessary, and attempt to resolve the discrepancy/dispute/claim in the most cost-effective manner.

5.6.4 Any unresolved discrepancy/dispute/claim shall be brought to the SSM Manager, and/or Law Department's attention as necessary.

5.6.5 Once a resolution of the discrepancy/dispute/claim, is achieved, the SSM Representative will make an adjustment to the PO/VC by issuing a Change Order (CO), if required. The SSM Representative will require applicable paperwork (i.e. memo, email, SAP PR) from the End User in order to make the appropriate adjustments.

5.7 CONTRACT ADMINISTRATION - CONTRACT ASSIGNMENT

5.7.1 If a supplier is involved in a purchase or merger which results in a change to the supplier's tax identification number, a contract assignment must be performed.

5.7.2 The supplier must deliver the following:

a) a letter on company letterhead explaining the reason for the purchase or merger and requesting approval to assign the contract to the new entity.
b) the name, address, and tax identification number and signed IRS Form W9 "*Request for Taxpayer Identification Number and Certification*" for the new entity, together with the name, title and contact information for the signatory for the new entity.

5.7.3 In the case where the original contract was issued to a BES approved supplier, SRM will verify whether or not the new entity is BES approved. If the new entity is not a BES approved supplier, SRM will work with the supplier to obtain the information necessary for TCFT to evaluate the new entity.

5.7.4 The Law Department and VP of SSM will review the documentation, confer with SRM for a risk assessment of the new entity and approve or deny the assignment:

a) if approved, Law will oversee the drafting of an assignment document for signature by the VP of SSM, the supplier, and the new entity.
b) if denied, Law will oversee the drafting of a letter will be sent to the supplier advising that the assignment is not approved.

5.7.5 Once an assignment document is drafted, the SSM Representative will terminate the original contract in SAP and issue a new contract to the new entity. The terms

and conditions of the original contract will remain intact, only the supplier entity shall change.

5.7.6 A Change Order against the original contract will be prepared to document the termination of the original contract and the establishment of a new contract.

5.7.7 All documentation will be filed in Content Server in the folders for both the original contract and the new contract.

5.8 CONTRACT ADMINISTRATION - CONTRACT SUSPENSION

5.8.1 A contract requiring suspension, in any form, must have the written recommendation from the End User and the Law Department prior to SSM's issuance of a notification to the supplier.

5.8.2 The SSM Representative will collaborate with appropriate internal resources to determine the impact to the project and establish the reason for, proper length of, the proposed suspension.

5.8.3 SSM Representative will prepare a letter for signature by VP, SSM Manager, directing the supplier in writing to suspend all or part of the PO/VC work via a limited stop work order or a full stop work order.

5.8.4 A CO will be issued against the contract.

5.8.5 SSM Representative shall save all fully executed documents (POs/VCs) and supporting documentation to the contract file in Content Server.

5.9 CONTRACT ADMINISTRATION – CONTRACT CANCELLATION

5.9.1 A contract may be cancelled in the event it was fully executed but never commenced. In this case, the SSM Representative acting on the concurrence of the End User may prepare a Change Order cancelling the contract, per the terms of the contract.

5.9.2 The SSM Representative will send the Change Order to the supplier for signature.

5.9.3 SSM Representative shall save the fully executed Change Order in the contract file in Content Server.

5.10 CONTRACT ADMINISTRATION – CONTRACT TERMINATION

5.10.1 SSM Representative will engage with the Law Department upon learning of any reason to suspect that the Supplier may be in default of the terms and conditions of the contract, or upon notice from the End User that there may be a reason to

consider termination of the contract. Reason for contract termination include, but are not limited to:

a) No longer a need for the goods and/or services originally contracted
b) Supplier's failure to comply with SDP requirements
c) Unacceptable specification/scope of work change by supplier
d) Unacceptable delay in delivery
e) Unacceptable price change
f) Unavailability of goods ordered
g) Inability to resolve discrepancies/disputes/claims
h) Failure to meet QA/QC requirements

5.10.2 A review any proposed termination will be conducted. In the event of a default by the Supplier, a notice of default will be sent to the Supplier and time will be allowed for the Supplier to cure the default. If the Supplier does not cure the default in the time allowed including extensions as deemed appropriate, the Law Department will instruct the SSM Representative to move forward with a termination in accordance with the contract terms.

5.10.3 Prior to sending formal termination notice to the supplier, the End User and SSM Representative will negotiate cancellation cost (if any) and/or terms and conditions.

5.10.4 SSM Representative will close the contract in SAP and save a copy of the formal notice and related backup documents electronically in Content Server.

5.11 CLOSING OF PROCUREMENT CONTRACTS

5.11.1 At the end of the contract term, the End User will confirm the completion status of the PO/VC by sending a written statement (via email) to the SSM Representative that work is substantially complete. Substantial completion of work will sometimes include the receipt of "as built" drawings in addition to completion of the work or services.

5.11.2 SSM Representative and End User will review the monies spent by confirming that all invoices have been received and paid and decommit any unused funds from each line of the contract, resulting in a zero balance for the contract.

5.11.3 SSM Representative will add in the "Date Completed" and change the "Status Information" to "Complete" in SAP Contract Data Screen.

6 VIOLATIONS

Violations of this Procedure and related policies and procedures by employees may result in disciplinary action up to and including termination. Violations of this Procedure by contractors and other authorized third parties may result in the revocation of such party's access to NYPA's premises and/or electronic access to its systems, and the termination of such party's contract

for services. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state or local laws.

7 REFERENCES

Award Recommendation Memorandum Templates can be found **on the Powernet → Department Sites → Strategic Supply Management → Forms & Templates**

Guidelines for Procurement Contracts CP 3-1. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 3-1**

Expenditure Authorization Procedures CP 3-3. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 3-3**

SSM Procurement Policy CP 3-4. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 3-4**

Supplier Diversity Program CP 3-5. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 3-5**

SSM Department Procurement Policy SSM-POL-DEP-001. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Procurement Policies and Procedures → General → SSM-POL-DEP-001**

Records Management CP 2-11. **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 2-11**

Digital Warehouse Procedures. **These Procedures may be accessed on the Powernet → Quick Links → Policies & Procedures → Digital Warehouse Policies & Procedures**

New York State *Contract Reporter* website. **This website address is www.nyscr.ny.gov**

SSM Section of NYPA website. **This section of the NYPA website may be accessed through www.nypa.gov → RFP's**

New York State Department of Labor website. **This website address is www.labor.ny.gov**

8 PROCEDURE REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Year

9 ATTACHMENTS

Appendix A: Document Review Checklist

APPENDIX A: STRATEGIC SUPPLY MANAGEMENT – DOCUMENT REVIEW LIST (Non-Control Document)

INSTRUCTIONS: Use this document as an aid to identify initial contract documents & paperwork for IRC retention. Indicate inclusion of documentation with a check mark (√). If documentation is not applicable to this Contract/PO, write-in (N/A) on the hardcopy.

PO/Agreement :		Outline Agreement:		OGS/GSA No.	
Site Location:					
Project Title:					
Consultant/Vendor Name:					
Contract Title:					
Dollar Value	$		Check One:	☐ O&M	☐ CAPITAL

CONTRACT AWARD TYPE (check one):

☐ Normal ☐ Emergency ☐ Sole/Single Source ☐ Competitive Search ☐ M/WBE Single Source
☐ SBE Single Source ☐ Non-Procurement ☐ OGS/Federal GSA ☐ Other: _____

☐ Approved Bidding Requisition	☐ Supplemental Bidder Correspondence
☐ Technical Specification/Scope of Work (if any)	☐ Post Bid Addendum(s) (if any)
☐ Engineer's Estimate (if any)	☐ Commercial Evaluation (M/WBE analysis of plan)
☐ Competitive Search Memo/Email (if applicable)	☐ Final Evaluation
☐ Emergency Purchase Justification (if applicable)	☐ Contract Requisition (Approved for Award)
☐ Single Source Purchase Justification (if applicable)	☐ Trustee Approval/Authorization
☐ Sole Source Purchase Justification (if applicable)	☐ Award Confirmation Letter
☐ Copy of NYS Contract Reporter Ad [1]	☐ Contract Document Review Comments (if any)
☐ Bid Document	☐ PO/Award Document (partially executed original) [2]
☐ Bidders List w/Addresses	☐ Confidentiality Agreement (if applicable)
☐ Follow-up of Potential Bidders	☐ Email Correspondence
☐ M/WBE Goal Reduction / Set-To-Zero Memo	☐ Letters of Regret (Optional commencing w/orders >$100,000)
☐ Bid Addendum(s) (if any)	☐ Fully Executed Contract (sans Official Contract Documents) [4]
☐ Bid Proposal (date stamped w/envelopes)	☐ Insurance Certificate [5]
☐ Abstract of Bids (witnessed, signed & dated)	☐ Performance Bond/Payment Bond/Letter of Credit
☐ M/WBE Preliminary Subcontracting Plan [3]	☐ Other:
☐ Other:	☐ Other:

FILE APPROVALS:

_____ Date: _____
(Procurement Representative)

_____ Date: _____
(Manager's Concurrence) [6]

[1] FOR CONTRACTS OVER $50,000
[2] FOR NON-CONSTRUCTION CONTRACTS OVER $25,000, AND CONSTRUCTION CONTRACTS OVER $100,000.
[3] PROCUREMENT REPRESENTATIVE MUST ENSURE THAT FULLY EXECUTED AGREEMENTS ARE ADDED TO FILE
[4] FOR ALL CONTRACTS THAT INCLUDE INSURANCE REQUIRMENTS.
[5] NOT REQUIRED BEFORE SENDING FILES TO RECORDS MANAGEMENT.
[6] REQUIRED ONLY FOR ALL CONTRACTS $25,000 and GREATER.

Rev. 5, 8/23/2013

E-Signature Approval History

Role	Name	Approved Date
Final Approver	Canale, John	4/7/2020
Content Owner	Tempesta, Jeannine	4/6/2020

Title: Supplier Relationship Management Procedure

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Revision Date:	10/16/2020
Final Approver:	*Canale, John* VP Strategic Supply Management
Content Owner:	Kuscu, Emre Manager Supplier Relationship

Supplier Relationship Management Procedure

Note: Revision # should be listed in descending order starting with most recent version at the top

Revision Date (For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
10/16/2020	0	Original Issue	N/A	Emre Kuscu, Manager Supplier Relationship Management

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1 PURPOSE AND SCOPE

The Supplier Relationship Management Procedure sets forth a systematic approach to manage supplier information, supplier performance, supplier relationships and supplier risk. This procedure addresses the full life cycle of supplier engagements and relationship.

2 APPLICABILITY

This Procedure applies to all Authority employees as well as consulting and contract personnel.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

BCS – Bulk Electric System (BES) Cyber System

BES – Bulk Electric System

EEO – Equal Employment Opportunity

ERP – Enterprise Resource Planning software solution

IRQ – Inherent Risk Questionnaire

M/WBE – Minority / Women-Owned Business Enterprise

NERC (CIP) standards – North American Electric Reliability Corporation (Critical Infrastructure Protection) standards, specifically “Cyber Security – Supply Chain Risk Management” (standard number CIP-013-1), which is a regulatory standard that impacts guidance concerning the procurement, categorization, handling, maintenance and deployment of BCS-related goods, services and inventory.

Performance Scorecard – a tool used to measure the performance and effectiveness of vendors and suppliers that provide goods or services to the business

RFX – A generic term for any bidding event

Supplier Profile Questionnaire (SPQ) – a form which collects Supplier information

SRM – Supplier Relationship Management

SRM Representative – an employee or designee of the Authority’s SRM division

SSM – Strategic Supply Management department

SSM Representative – an employee or designee of the Authority’s SSM Department authorized to procure goods and/or services for, or on behalf of, the Authority

Supplier – the entity capable of providing goods and/or services

TCFT – Technical Cross Functional Team; the technical team designated to review BES cyber systems parts and vendors for approval

Vendor – Supplier (payee)

4 RESPONSIBILITY

The Vice President of SSM or designee will have overall responsibility for overseeing this Procedure.

5 PROCEDURE IMPLEMENTATION

5.1 Supplier Engagement

5.1.1 Supplier Outreach

In accordance with NYS Economic Development Law, public notice of bidding opportunities for contracts estimated valued at $50,000 or greater must be advertised on the NYS Contract Reporter and NYPA's Internet site.

NYPA lists all current bid opportunities on its web site. Bidders can request access to bid events through the NYPA web site for both the New York Power Authority and New York State Canals Corporation.

SRM will periodically work with the SSM Representatives to evaluate the need for suppliers due to:
a) Limited bid responses
b) Lack of Suppliers in a region
c) Specialized products and/or services

SRM will periodically:
a) Review the registration status of Suppliers
b) Establish Supplier outreach programs
c) Collaborate with SSM representatives, internal departments, other agencies, and authorities on outreach efforts.
d) Create awareness of the work and how Suppliers can get involved.
e) Gather CIP-related SPQ, IRQ and supporting documentation from Suppliers of BCS-related goods and services for evaluation and qualification by the TCFT.

5.1.2 Business Review Meetings

SRM is responsible for establishing business review meetings with strategic and key Suppliers, SSM Representatives, and internal stakeholders.

The purpose of the meetings is to reinforce accountability, share ideas and learn about interrelationships in the business, celebrate success, identify, and remove barriers, and

develop action plans. For Suppliers of BCS-related goods and services, SRM Representative will review Supplier qualification status in SAP and coordinate between TCFT and Supplier to resolve open issues as needed. Refer to Vendor Master Procedure for details.

SRM Representative will document results, share with all parties, and maintain in the Supplier's profile.

5.2 Supplier Information Management

SRM will maintain the Supplier information.

SRM will administer, review, and maintain centralize Supplier related information, including but not limited to:
a) Suppliers legal name, address, and contact information
b) Diversity designation
c) IRS form W-9 or WBEN8
d) Performance scorecard
e) Performance reports
f) Industry of Supplier
g) CIP-related SPQ responses (for Suppliers of BCS-related goods and services)
h) CIP-related IRQ responses (for Suppliers of BCS-related goods and services)

SSM Representative responsible for a bid event shall use Supplier information, as appropriate, during bid evaluation. See Sourcing Procedure for details.

5.2.1 SIPM Registration and Onboarding

The Authority has migrated to an E-sourcing platform for sourcing, contract management and Supplier management. The platform allows:

- NYPA to manage the bidding process, contracts, and supplier relationships more efficiently.
- streamline of the procurement process by electronic collaboration with suppliers.
- suppliers to be able to submit electronic bid responses.
- contract negotiations and management of Supplier relationships.

The SRM representative s responsible for the Supplier registration process.

The SRM representative will direct Suppliers to a web-based portal to enter information on the Supplier Profile Questionnaire (SPQ).

SRM Representative will review the SPQ information and documentation submitted for completeness and accuracy. SRM Representative will either contact the Supplier for additional information, approve Supplier or reject Supplier.

Once a Supplier is approved by the SRM Representative, the Supplier will receive electronic notification.

Approved Suppliers may gain electronic access to bid opportunities in accordance with the SSM Sourcing Procedure SSM-PRO-SRC-001.

5.2.2 Vendor Master File Management

Supplier company information shall be recorded in the Authority's SAP ERP system under a unique supplier profile. The SRM representative is responsible for the management and maintenance of the vendor master file within the Authority's ERP system in accordance with Vendor Master Procedure SSM-PRO-VM-001.

5.3 Supplier Segmentation

Supplier segmentation allows the Authority to evaluate the way Supplier relationships are formed and managed. Supplier segmentation may be used to inform future Supplier outreach efforts, and other business strategies as required.

The SRM representative will be responsible for segmenting the Authority's Suppliers into 4 quadrants:
a) Strategic – high spend, large breadth of services, recognized as expert
b) Key Alliance – medium spend, limited number services, high switching costs
c) Specialized – niche market, low/medium spend
d) Transactional – multiple sources of supply, high spend low switching costs

5.4 Supplier Performance Management

SRM is responsible for establishing tools and processes to manage the performance of a supplier to reduce costs, alleviate risks, and drive continuous improvement. Tools shall include but not limited to: Supplier scorecards, performance reports, and surveys.

5.4.1 Performance Scorecards

Supplier scorecards is a tool used to measure and manage Supplier performance. SRM is responsible for the development and implementation of Supplier scorecards, as applicable. Scorecards may address the following key areas:
a) Customer Focus – ability to proactively manage tasks and escalation process
b) Quality – product delivery, communication, and reliability
c) Timeliness – services dependability and responsiveness
d) Innovation – best practices, promote technological advances and sustainability
e) Commercial compliance – price competitiveness, change orders, and diversity goals

SRM Representative will work with initiating department and the SSM Representative to evaluate contracts that require Supplier scorecards, define Authority personnel who will score the Supplier's performance, and frequency of scoring.

SSM Representative will include the criteria for the scorecard as part of the contract with the Supplier. The SSM Representative and SRM Representative will review the scorecard process. SRM Representative will summarize the score card results during a

specific period and may provide to the Supplier to provide feedback and improving performance.

5.4.2 Performance Reports

Any Authority personnel can report vendor performance issues to SRM. Issues may include but not be limited to:

a) Poor performance
b) Non-compliance to commercial requirements (M/WBE, EEO reporting, updated insurance forms, etc.)
c) Accuracy and timeliness of billing
d) Schedule delays
For Suppliers of BCS-related goods and services, non-compliance of risk mitigation plans as set forth by the TCFT and included in the contract,

SRM will conduct performance review meetings, as needed, with the Supplier, SSM Representative, and the initiating department on a periodic basis and document results. SRM will maintain performance reports and related information.

5.5 Supplier Risk Management

SRM is responsible for monitoring, assessing, and reporting Supplier risk. SRM will investigate Supplier's business status as well as use risk monitoring tools.

5.5.1 Supplier Business Status Review

SSM Representative will request a business status review of a Supplier prior to a contract award.

SRM Representative will vet a Supplier which includes information such as Dun & Bradstreet score, US Department of State Corporation Search, Federal debarment status, NYS tax warrant, NYS tax liens, VendRep and OSHA violations.

SRM Representative will provide a report of the findings to the SSM Representative in accordance with SSM Sourcing Procedure SSM-PRO-SRC-001 and Vendor Master Procedure SSM-PRO-V-001, respectively.

5.5.2 Supplier Risk

Various tools are used to monitor Suppliers' news events and furnish alerts based on information collected from various public sources. Alerts are generated based on potential risk exposure.

Risk alerts may include, but are not limited to, the following categories:
a) Environmental & Social
b) Financial

c) Operational
d) Regulatory and Legal Compliance
e) Cyber

Risk alerts for Suppliers are gathered at multiple stages in the relationship. This includes:
a) After Supplier Onboarding
b) During Bid Evaluation
c) Upon Contract Award
d) Throughout the contractual relationship with the Supplier

For Suppliers of BCS-related goods and services, TCFT will monitor cyber risk. BCS-related risk reviews are conducted in accordance with Cyber BES Risk Management O-CI-02-002. SRM will monitor risk alerts for all other categories.

SRM or SSM Representative will evaluate the risk event to determine if further action is required. For Suppliers of BCS-related goods and services, TCFT will evaluate a cyber risk event and inform SRM if further action is required. If action is required, SRM or SSM Representative will escalate the risk to the appropriate Authority departments on strategy to determine impact and root cause of the risk. If necessary, SRM will engage the Supplier to gather further information. Documented results will be provided to SRM and will be stored under the Supplier's profile.

SSM Representative will review risk alerts for suppliers considered for award as part of the Evaluation process. For Suppliers of BCS-related goods and services, TCFT will review cyber risk and inform the SSM Representative for consideration as part of the Evaluation Process in accordance with SSM Sourcing Procedure SSM-PRO-SRC-001.

6 VIOLATIONS

Violations of this Procedure and related policies and procedures by employees may result in disciplinary action up to and including termination. Violations of this Procedure by contractors and other authorized third parties may result in the revocation of such party's access to NYPA's premises and/or electronic access to its systems, and the termination of such party's contract for services. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state, or local laws.

7 REFERENCES

Guidelines for Procurement Contracts CP 3-1. This Policy can be found on the **Powernet → Quick Links → Policies & Procedures → Company Policies → 3-1**

Cyber BES Risk Management Plan O-CI-02-002. This Plan document may be accessed on the Powernet → Quick Links → Policies & Procedures → NERC Policies and Procedures → Cyber Security → O-CI-02-002 Cyber BES Risk Management Plan

SSM Sourcing Procedure SSM-PRO-SRC-001. This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Procurement Policies and Procedures → General → SSM-PRO-SRC-001

8 PROCEDURE REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Year

9 ATTACHMENTS

N/A

E-Signature Approval History

Role	Name	Approved Date
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Content Owner	Kuscu, Emre	10/16/2020

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Strategic Supply Management Sourcing Procedure

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1 PURPOSE AND SCOPE

This Procedure supports the Strategic Supply Management (SSM) Policy and sets forth the Authority's overall procurement process as well as the conduct required of all employees and contract personnel when dealing with procurement related matters. Questions regarding this Procedure shall be directed to Headquarters Strategic Supply Management (SSM).

The purpose of this Procedure is also intended to guide all SSM Representatives in sound and consistent procurement practices and internal controls, so as to ensure fair, non-biased procurement-related decisions. The Authority will adhere to all applicable New York State laws, governmental policies and administrative procedures regarding the procurement of goods and services.

2 APPLICABILITY

The Procedure is applicable to all Authority employees as well as consultant and contract personnel.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

ARIBA – A procurement cloud software solution intended to facilitate an efficient and consistent procurement process

BCS – Bulk Electric System (BES) Cyber System

BES – Bulk Electric System

Best Value – A basis for awarding contracts to the offeror that optimizes quality, cost and efficiency, among responsive and responsible offerors. Such basis shall reflect, wherever possible, objective and quantifiable analysis and may also identify a quantitative factor for offerors that are Small Businesses or NYS-certified SDVOB or MWBE firms.

Bid Addendum – Additional clarifying information distributed to all bidders prior to the bid due date.

CCPS – Credit Card Procurement System

Competitive Search – For contracts where the scope of work cannot be well defined or quantified, or where selection requires evaluation of factors such as breadth and depth of experience in a unique or highly specialized field and suitability as an Authority representative, a “competitive search” will be conducted to determine which consultants are most qualified, for reasonable compensation terms, to perform the work. Depending on market conditions, at least

five potential sources should be evaluated; if there are fewer than five sources, all sources should be evaluated.

DBE – Disadvantaged Business Enterprise

Discretionary Purchase – A procurement made below statutorily established monetary threshold amounts and, at the discretion of the Authority, without a need for a formal competitive bid process.

Diversity Practices – The assessment of a prime contractor's commitment to sound diversity practices within their respective organizations that promote the use of minority-and women-owned business enterprises in State contracting where practicable, feasible and appropriate.

EEO – Equal Employment Opportunity

EAPs – Expenditure Authorization Procedures CP 3-3 (file path located in Section 7, References) which set forth the dollar value and corresponding authority levels by job title.

ERP – Enterprise Resource Planning Software Solution

Guidelines – NYPA Guidelines for Procurement Contracts CP 3-1 (file path located in Section 7, References)

GSA – Federal General Service Administration

Maximo – Asset and Work Management Software System

MWBE – Minority and Women-Owned Business Enterprise – Any New York State-certified business enterprise at least 51% of which is owned by black persons, Hispanics, Native Americans, Asians, Pacific Islanders and/or women, and as further described in the Authority's Supplier Diversity Program requirements and Executive Law 15-A and pursuant to the definition found in Executive Law §310.

NERC CIP standards– North American Electric Reliability Corporation Critical Infrastructure Protection standards, specifically "*Cyber Security – Supply Chain Risk Management*" (standard number CIP-013), which is a regulatory standard that impacts guidance concerning the procurement, categorization, handling, maintenance and deployment of BCS related goods, services and inventory.

NYSCR - New York State Contract Reporter – The *Procurement Opportunities* web site, which is intended to ensure the integrity of the State procurement process by providing for regular, centralized public notice of State Agency and Public Authority intentions to contract for goods and services in the amount of $50,000 or more. Requirements are established in Article 4-C of the NYS Economic Development Law. Public Authorities that have the majority of their Board of Directors (Trustees) appointed by the Governor are subject to these requirements.

OGS – NYS Office of General Services

Procurement Contract – As defined by the Guidelines for Procurement Contracts CP 3-1, is a contract for the acquisition of goods and/or services in the actual or estimated amount of $5,000 or more. Such goods and/or services are those necessary to support the Authority's White Plains office, facilities, operations and maintenance ("O&M") and capital projects, including but not limited to goods such as major electrical equipment, construction and maintenance work and services.

PO – Purchase Order, which section 7.A. of the Guidelines for Procurement Contracts, CP 3-1 notes as a standard form of contract for the procurement of goods / services. A Purchase Order is the source document used to place an order with a vendor or supplier.

POR – Purchase Order Release, which is the authorization for a supplier or vendor to deliver and bill for goods / services. This authorization 'releases' line items in an existing PO for delivery and payment.

Post-bid Addendum – Notices issued to convey changes to the solicitation after the bid due date.

PR – Purchase Requisition

RFI – Request for Information

RFQ – Request for Quotation

RFP – Request for Proposal

RFX – A generic term for any bidding event.

Restricted Period – The period of time commencing with the earliest written notice, advertisement or solicitation of a request for proposal, invitation for bids, or solicitation of

proposals, or any other method for soliciting a response from bidders/contractors intending to result in a procurement contract with the Authority and ending with the final contract award and execution.

SAP – Systems Applications and Products, NYPA's Enterprise Resource Planning (ERP) system

SBE – NYS Small Business Enterprise

SDVOB – Service Disabled Veteran-Owned Business – A New York State certified-business enterprise, including a sole proprietorship, partnership, limited liability company or corporation that is at least 51% owned by one or more service-disabled veterans; in which such ownership is real, substantial and continuing, and also has and exercises the authority to control independently the day-to-day business decisions of the enterprise; is a Small Business Enterprise and is certified by the New York State Office of General Services, as further set forth in Article 17-B of the Executive Law.

Single Source – as defined in section 2.J., of the Guidelines for Procurement Contracts, CP 3-1, a single source procurement is one in which the Authority, upon written findings setting forth material and substantial reasons, may award a contract (or amendment to a contract) to one offerer over another that can supply the goods and/or services.

Sole Source – as defined in section 2.K., of the Guidelines for Procurement Contracts, CP 3-1, a sole source procurement is one in which only one offerer is capable of supplying the required goods and/or services.

SOQ – Statements of Qualification

SSM – Strategic Supply Management

SSM Representative – An employee or designee of the Authority's Strategic Supply Management Department authorized to procure goods and/or services for, or on behalf of, the Authority.

TCFT – CIP-013 Technical Cross Functional Team; the technical team designated to review BCS products, services, engagements, and vendors for approval

Vendor – Persons, companies, or other organizations with whom NYPA, or its affiliates, contract with to supply BES Cyber Systems and related services.

4 RESPONSIBILITY

The VP, SSM or designee shall be responsible for the development, review, approval, revision, distribution and control of this Procedure.

5 PROCEDURE IMPLEMENTATION

5.1 PURCHASE REQUISITION

1. A Purchase Requisition (PR) should be completed and signed by a Manager or higher-level staff "for bidding purposes" from the initiating department. A CIP-013 Procurement Checklist (consisting of 3 questions) will be completed for all purchase requisitions to identify any BCS-related procurements to ensure compliance with CIP-013.

    a) Prior to initiating a request for a new BCS-related stock item, search the item master list to determine if the hardware or software already exists within the item master inventory list.

    b) For initial requests for BCS-related hardware and software, a stock number will be created once the TCFT approves the inventory item, which is prior to commencing the sourcing process. An SSM representative can verify approval as line items in the PR will be designated in SAP as BCS-related.

    c) For subsequent requests for BCS-related hardware and software,

        1) A reservation can be made with the authorized BCS stock number from the item master list in SAP and an automated PR will be generated based on that approval, as appropriate; or

        2) A PR can be created with a BCS stock number which may be charged directly to a project.

    d) For BCS-related services or other procurement activity, the TCFT must approve the PR prior to release for processing.

2. A PR must be issued in order to release funds. These funds require approval in accordance with the Expenditure Authorization Procedures (EAPs) and can be transmitted via a signed memo or a SAP PR.

3. When issuing a PR for Purchase Order Releases (PORs) associated with a value contract, approval of the value contract departmental owner is required.
4. Initiating department must complete and submit the following documents in an electronic format (a 'Procurement Checklist' is a helpful aid, and may be found using the following file path: **Powernet → Department Sites → Strategic Supply Management → Hot Topics: Procurement Checklist**), as applicable:

- Scope of work including deliverables and a detailed description of work / services to be provided
- Fair cost estimate (compensation schedule), as shown in Purchase Requisition
- Project specifications (technical/civil/environmental/cyber/division 1)
- Drawings and list of drawings cleared by security, as applicable
- Supplementary conditions
    1. Warranty requirements
    2. Determination of need for bid tour (detailed specification meeting or on-site review)
    3. Project specific dates
    4. Liquidated Damages, if applicable
- Contract terms (multi-year / single year)
- Evaluation Criteria
- Engagement Risk Assessment, as applicable
- Recommended Bidder's list

5.2 SOURCING STRATEGY

Upon review of the purchase requisition, SSM Management is responsible for determining the type of sourcing applicable prior to assigning it to a SSM Representative. In procurements for BCS-related products and/or services, sourcing must be derived from a CIP-013 approved vendor (as indicated in ARIBA / SAP) who has been vetted and approved by the TCFT. A non-approved vendor may bid on a BCS-related event, but the TCFT must approve vendors prior to contract award.

5.2.1 Non-competitive Bidding:

1. Single Source / Sole Source:
    - SSM Representative is required to coordinate with the initiating department to determine Single/Sole Source justification AND obtain:
        - A written quotation (proposal) from the supplier.
        - SSM Representative will evaluate the proposal with the initiating department.
        - Initiating department will create the purchase requisition and ensure the Single/Sole Source justification / award memorandum has approval of the VP, SSM. Filed sites may use a Single/Sole Source form to complete these requirements.
    - SSM Representative must notice the procurement in the New York State *Contract Reporter* (NYSCR) as soon as practical after execution of the Purchase Order (PO)/Contract as dictated by the Guidelines for Procurement Contracts CP 3-1 (file path located in Section 7, References).

    - For single source and sole source CIP-013 BCS procurements, the SSM Representative must source from a TCFT vetted and approved CIP-013 Vendor,

products, engagements or services. BCS terms and conditions concerning cyber risk requirements set forth by NYPA must be adhered to by Vendors (and included to the contract).

2. Emergency:
    - A Procurement Contract may be awarded without following the solicitation requirements that ordinarily apply where emergency conditions exist, as defined in the Guidelines for Procurement Contracts, CP 3-1, with file path noted in Section 7, References, such as:
        - A threat to the health or safety of the public or Authority employees or workers.
        - Proper functioning of the Authority facilities or construction or operating projects requires adherence to a schedule that does not permit time for an ordinary procurement solicitation.
    - NYPA Personnel must attend to the emergency immediately. SSM Representative shall competitively select a bidder (e.g. price comparisons) as is practicable under the circumstances and issue a PO/Contract.
    - NERC CIP-013 requires BCS-related procurements to be risk assessed to determine impacts and risk levels in accordance with the procurement. In the case of emergency conditions, where NERC CIP-013 BCS procurement process is not followed, proper documentation is required to provide traceability once the emergency is over and to document after-the-fact risk assessments and mitigations were completed. For additional details, refer to O-CI-02-001 Cyber Supply Chain Risk Management Plan (see section 7 References for file path).

3. Discretionary purchase is a procurement made below statutorily established monetary threshold amounts (e.g. not exceeding $500,000 for the purchase of commodities or services from Small Business Enterprises (SBEs) or Minority or Women-owned Business Enterprises (MWBEs)) and at the discretion of the Authority subject to the approval of VP, SSM, without the need for a competitive bid process. For any discretionary purchases involving CIP-013, the SSM Representative must source from a TCFT vetted and approved CIP-013 Vendor. To determine whether a purchase is within discretionary thresholds, note that:
    - The aggregate amount of all purchases from the same vendor of the same or similar goods and/or services to be made within a 12-month period commencing on the date of purchase shall be considered.
    - A change to, or a renewal of, a discretionary purchase shall not be permitted if the change or renewal would bring the reasonably expected aggregate amount within 12-month period commencing on the date of the first purchase to an amount greater than $500,000.
    - Discretionary purchases must be “noticed” in the NYSCR as soon as practical after the execution of the PO/Contract when the award is $50,000 or greater.

- Purchase of goods and/or technology that are recycled or remanufactured in an amount not exceeding $500,000.
- Purchase of goods that are food, including milk and milk products, which are grown, produced or harvested in New York State in an amount not exceeding $500,000.

5.2.2 Competitive Bidding:

1. NYS Office of General Services (OGS) Contracts or Federal General Service Administration (GSA) Contracts or any city or municipality or approved cooperative agreement.
    - Goods and/or services may be procured pursuant to Procurement Contracts let by any department, agency, officer, political subdivision or instrumentality of the State or Federal government or any city or municipality where Strategic Supply Management and the initiating department determine that a reasonable potential exists for cost savings or other benefits to the Authority and have approved the specifications and proposed terms and conditions of such contract.
    - These contracts are to be considered 'competitive' for reporting purposes, as they were competitively bid by the originating agency.
    - SSM Representative will issue a PO/Contract referencing the originating agencies contract.
    - OGS/GSA contracts awarded for CIP-013 BCS procurements must follow the CIP-013 procurement workflow to ensure proper product, service, engagement and vendor risk assessments are completed prior to sourcing. BCS terms and conditions concerning cyber risk requirements set forth by NYPA must be adhered to by Vendors (and included to the contract).
2. Mini-Bids are a competitive bidding strategy where an abbreviated bid process in which an SSM Representative, in coordination with project stakeholders, develops a project definition outlining its specific requirements and solicits bids from a stable of existing prequalified backdrop contractors. When a mini-bid process is employed, the exact process shall be clearly outlined in the backdrop contract. SSM must Mini-Bid among contracts of an aggregate award. If selectively excluding vendors, the SSM Specialist must document compelling reasons and have the written approval of the VP, SSM. The award will result in a Purchase Order Release (POR).

If the sourcing strategies listed above or in section 5.2.1 have not been employed, sourcing will be considered for competitive bidding, and bids will be solicited from multiple bidders as a Competitive Search (3 or more / 5 or more).

5.2.3 Other Strategies:

NYPA may also solicit a Request for Information (RFI), which is generally used to gather market intelligence. In these instances, an ad is placed on NYS *Contract Reporter* and www.nypa.gov, and through the Ariba Discovery tool. This is considered a one-step process, which does not result in an award, and SSM does not publish results on the NYS *Contract Reporter* website as it would with an award.

NYPA may also solicit a request for Statements of Qualifications (SOQ) in order to create a stable of qualified vendors to participate in a RFP process. In this strategy, a multi-departmental team is engaged to create an appropriate set of qualification and evaluation criteria which will be used to technically and commercially evaluate and qualify suppliers. In these instances, an ad is placed on NYS *Contract Reporter* and www.nypa.gov, and through the Ariba Discovery tool advising of this two-step process. Supplier responses are evaluated by the established multi-departmental team through comparison of their SOQ responses to the established qualification and evaluation criteria for the specific project.

Suppliers which are deemed qualified may be given the opportunity to participate in the subsequent RFP process as noted in 5.3.1 below. There may be multiple RFP's associated with any given SOQ. An SOQ may result in award(s).

NYPA encourages competitive bids for credit card procurement system purchases (those under $4,999) as described in Credit Card Procurement System procedure SSM-PRO-CCPS-001 with file path noted below in Section 7, References.

5.3 SOLICITATION

5.3.1 Bid Solicitation

1. The SSM Representative will determine which of the Authority's standard contract templates (as stored in Ariba) is best suited for solicitation purposes. A RFP may include:
    a. Information for Bidders
    b. Scope of work / detailed description of goods / services
    c. Evaluation criteria
    d. Specifications (technical/civil/environmental/cyber/division 1)
    e. Drawings and list of drawings
    f. Contract template
    g. Compensation schedule (price section or line items) to be completed by the bidder
    h. Appendices A, B, C, D, E, F, G, H, I, J, M, N & P as appropriate
    i. Executive Order EO 177
    j. New York State Prevailing Wage Rates, if applicable; include Prevailing Rate Case #
    k. Insurance requirements (included in the template, modified as required (OCIP, etc.)
    l. Bid due date and time (standard time for a bid due date is 4pm EST)
    m. Delivery location or location of the work
    n. Safety requirements

o. Schedule for deliverables
p. Bonds (Bid, Construction, Payment, Performance, Faithful)
q. For BCS-related procurements, an RFP must contain CIP-013 vendor cyber security information requirements and the Authority's cyber vendor risk questionnaire.

2. Initiating department may provide a list of bidders in accordance with the Guidelines' Solicitation Requirements. The SSM Representative will review the list of potential bidders with the initiating department, the SRM Team and, to address NYS MWBE goal requirements, the Supplier Diversity Manager (and/or team member) may also review the list for additional vendors.

3. The RFX shall be reviewed by SSM Management. The RFX may be reviewed by the initiating department prior to publishing. For CIP-013 BCS-related procurements, an RFX may require additional review by the TCFT.

4. SSM Representative, with the input from the initiating department, will establish the solicitation period for solicitations under $50,000. For solicitations in the amount of $50,000 or greater, the SSM Representative must advertise the project in the NYSCR and the solicitation period will be a minimum of fifteen (15) business days.

5. If the engineering estimate (estimated project cost) is $50,000 or greater, SSM Representative will notice the solicitation in accordance with the NYSCR procedures and post the solicitation on the SSM webpage www.nypa.gov, unless exempted from inclusion by the VP, SSM.

6. The solicitation posted on www.nypa.gov will be the "Issue Date" specified in the NYSCR. Any due date extension must be updated on both sites, as well as Ariba.

7. Contract Term: SSM Representative, together with initiating department, will determine if the term for goods and/or services submitted by the initiating department for solicitation will be for less than one (1) year or for multiple years.

8. Supplier Diversity Program goals and diversity practices are to be stated in bid documents, as applicable.

9. Bidders' requests for clarifications during the Restricted Period:
   a. A pre-bid conference may be held at the discretion of the SSM Representative and the initiating department.
   b. All clarifications of a commercial nature shall be responded by the SSM Representative. All clarifications of a technical nature shall be responded to by the initiating department. All BCS-related clarifications must be forwarded to the TCFT. All responses will be issued electronically in the form of Bid Addenda through the SSM Representative.

c. SSM Representative and/or initiating department will determine if additional information will be distributed electronically to all bidders in the form of a Bid Addendum. All bidders will be notified simultaneously of any changes or additions to a bid document.
d. For BCS-related procurements, clarifications for bidders may require additional conversations with TCFT to determine associated mitigation of CIP-013 risks.

5.4 BID RECEIPT, HANDLING AND OPENING

1. The source of record for all electronic bid documentation is Ariba.

2. All non-electronic (including non-Ariba) bids received by the bid due date shall be date stamped upon receipt by the SSM Department or otherwise appropriately marked by SSM staff and considered for evaluation. For non-electronically submitted proposals, the SSM Representative shall upload all proposals to the Ariba event to allow the initiating department and the evaluation team members' access for review and evaluation purposes.

3. Electronic bids, received through the Ariba platform, are automatically received, recorded and accessible to the SSM and initiating department designated team members on the bid due date and time.

4. Under special circumstances, and only with the prior approval of the VP, SSM, proposals may be transmitted by email or fax but must be received by the bid due date and time.

5. Proposals received after the bid due date and time must be date/time stamped, noted as being received late, and returned to the bidder unopened, if possible, unless specifically authorized by the VP, SSM to retain and consider such proposal. Electronic proposals cannot be submitted in Ariba after the bid due date and time has passed.

6. All proposals will be accessible in Ariba Sourcing to the Project Team (SSM Representatives and Business Unit staff associated with the project) after the bid due date and time, and must be retained in accordance with Authority Records Management CP 2-11 requirements (file path located in Section 7, References).

7. All unsuccessful bids and associated supporting documentation will be filed in the Digital Warehouse by the SSM Representative (or designee) in accordance with Digital Warehouse Procedures. **These Procedures may be accessed on the Powernet → Quick Links → Policies & Procedures → Digital Warehouse Policies & Procedures**

8. Bid openings:

- Proposals will not be publicly opened unless specifically requested and approved by VP, SSM.
- Electronic bid documentation opened by the Project Team will not be posted, shared or disseminated outside the Ariba environment or shared outside the Project Team.
- All non-electronic proposals must be opened in the presence of one SSM Manager or higher and witnessed by two (2) Authority SSM Representatives and all parties sign and date the bid opening form and the bid abstract. Through Ariba, electronic proposals are automatically made accessible to the Project Team as soon as the bid period closes.
- The SSM Representative shall verify that all proposals received on or before the bid due date and time are accounted for at the bid opening.

5.5 BID EVALUATIONS

1. The evaluation team (SSM Representative, initiating department and other evaluators with subject matter expertise) will evaluate the proposals based on criteria outlined in the bid document using a fair and equitable comparison of all aspects including an analysis of each offer that considers:
    - The quality of goods and/or the competence of the bidder (including but not limited to, the bidder's skill, judgment and business integrity)
    - The technical merit of the proposal
    - The price for which the goods and/or services are to be supplied
    - The Diversity Practices of bidders, when required; and
    - The Minority- and Women-owned Business Enterprise utilization requirements, when required.
    - Vendor viability / vendor risk criteria, as applicable
    - Sustainability practices, as applicable
    - In BCS-related procurements, agreement to NYPA BES Terms and Conditions, CIP-013 Vendor risk assessment results and required mitigation activities, when required.

2. The evaluation team shall document the reasons why any proposal was eliminated from further consideration in the award recommendation memorandum. **Award Memorandum templates can be found on the Powernet → Department Sites → Strategic Supply Management → Forms & Templates**

   The Authority follows the "Best Value" practice for awarding contracts for services to the bidder that optimizes quality, cost and efficiency, among responsive and responsible bidders. For other contracts, such as contracts for parts, where there is little to differentiate between offerings, "Lowest Bid" is the preferred method of award. For BCS-related hardware, software, and service contracts, NYPA's best value evaluation includes consideration of the results of risk assessments and compliance with CIP-013.

3. In the event the price submitted by the recommended bidder to be awarded a contract exceeds the cost estimated, where a cost estimate is provided on the solicitation at the time of bidding, the initiating department will prepare a written explanation to be reviewed by the Headquarters SSM Department and/or the appropriate site SSM Department and appropriate SSM managers in accordance with the Expenditure Authorization Procedures (EAPs) CP 3-3 (with file path located in Section 7, References). The following options should be considered:
    a) Rejecting the proposals, re-soliciting proposals and/or modifying the scope of work;
    b) Revising the cost estimate and proceeding with the contract award (must be noted in the award recommendation memorandum);
    c) Negotiating with the low bidder(s), as determined by VP, SSM or designee, to reduce the price quoted.

4. SSM Representative, together with the initiating department, the Law Department (if required), and Risk Management (if required), shall negotiate a settlement of deviations and/or exceptions with the recommended successful bidder. Each proposal considered for award should be negotiated on the basis of the specific procurement and not in reference to any previously agreed terms and conditions. All deviations and/or exceptions must be resolved prior to Trustee approval and approval in accordance with the EAPs and should be documented in the Ariba Contract Management module, as applicable. For applicable BCS-related procurements, the TCFT must be involved for risk management and mitigation. If a change or modification is made for a CIP-013 pre-approved item, engagement, service or contract, the TCFT may review the updates to further assess any additions or BCS impacts to risk assessments.

5. All proposals received, including unsuccessful proposals, shall be retained in accordance with the Authority's Records Management CP 2-11 requirements (file path located in Section 7, References).

6. As part of the bid evaluation:
    a. Post-bid Addendum must be used to convey changes to the solicitation for reasons including but not limited to:
        i. Changes/clarifications to the scope of work/specification
        ii. Schedule changes
        iii. Changes in quantity
        iv. Any reason that may impact the prices quoted
        v. Request for clarifications
    b. SSM Representative may conduct a clarification meeting if required. For BCS-related procurements, the TCFT must be invited to attend to determine impacts to risk assessments and CIP-013 approval requirements, if any.
    c. If there are exceptions (or "red-lines") that a bidder has taken to the Authority's bid document, clarification or pricing, the SSM Representative (with concurrence of the

applicable stakeholders) will negotiate the most favorable terms and conditions to the benefit of the Authority.

5.6 BID AWARD

Section 1 – Contract Awards

1. After completion of the bid evaluation process for a project based procurement, a recommendation for approval of an award of a Procurement Contract in the form of a memorandum or e-mail by the initiating department is required (except in the case of Lowest Bid, where the procurement record will support the lowest offering and PR will reflect approval in accordance with the EAPs). The recommendation must include an evaluation of proposals as specified in the Guidelines for Procurement Contracts CP 3-1 (file path located in Section 7, References), as well as the term of service and the proposed specific compensation terms that provide a clear breakdown of cost factors and methods of calculation.

2. As appropriate, and upon receipt of a recommendation of award memo or email from the initiating department, the SSM Representative will notify the successful bidder via a verbal notification, a Contract or a 'Notice to Proceed' letter issued on the Authority's letterhead and signed in accordance with the EAPs. This letter may be transmitted electronically.

Section 2 – OGS / GSA Contract Awards

Goods and/or services may be procured pursuant to Procurement Contracts let by any department, agency, officer, political subdivision or instrumentality of the State (e.g., OGS) or Federal government (e.g., GSA) or any city or municipality where the Headquarters SSM Department, or site SSM Departments, and the initiating department determine that a reasonable potential exists for cost savings or other benefits to the Authority and have approved the specifications and proposed terms and conditions of such contract.

1. SSM Representative shall review the OGS / GSA terms and conditions and confirm the supplier's pricing and ability to meet schedule or delivery requirements. The SSM Representative may negotiate lower than published pricing.

2. SSM Representatives shall check the source agreement for additional or special instructions regarding the contract and must abide by the instructions provided. For BCS-related procurements, it is a requirement to use an approved CIP-013 Vendor, product, engagement or service that has been risk assessed by TCFT. BES Terms and Conditions must be agreed upon.
3. SSM Representatives shall check the existence and availability of NYS-certified MWBE and SDVOB firms listed on State contracts.

4. The Authority's Appendix B, Prompt Payment Principles, is required when awarding to an OGS / GSA supplier. If applicable, other appendices as applicable to the Authority, such as Appendix D, Background Security Screening for Authority Contractors) may apply.

5. SSM Representatives shall follow previously established procurement procedures governing completion of the award process, as appropriate (refer to Section 1 (Contract Awards), Items 2 and 3 above).

Section 3 – Single / Sole Source PO / Contract Awards for NYS MWBE, NYS SBE and Recycled or Remanufactured Technology not exceeding $500,000 and SDVOB Awards

A single proposal may be sought, negotiated and accepted for discretionary purchase of goods and/or services not exceeding $500,000, in the aggregate including all amendments within 12-month period commencing on the date of the first purchase, from a NYS-certified MWBE, SBE, or Recycled or Remanufactured Goods and Technology supplier. SDVOB awards may similarly be sought, negotiated and accepted for discretionary purchase of goods without a dollar cap. Such award shall be in accordance with the Guidelines for Procurement Contracts CP 3-1 (file path located in Section 7, References) and with the written approval of VP, SSM.

Justification is required for all non-competitive bid awards and may be provided via a site-specific form and/or memorandum which is to be provided for review and approval by the VP, SSM. Justification must include prior award the same supplier for the same goods / services in the prior 12-month period.

5.7 RE-BIDDING

1. "Rebidding" may occur after SSM Representative cancels the request for solicitation and rejects the response(s) from bidder(s). SSM may re-solicit under the following reasons which include, but are not limited to:
    i. Revised scope of work
    ii. Revised project schedule
    iii. All bids largely exceed the cost estimate
    iv. Number of proposals received

2. The initiating department is required to prepare a memorandum justifying the compelling business reasons for rebidding and obtain approval from the business unit manager level or higher. For BCS-related procurements, the TCFT must review revisions, as applicable. SSM representative should follow the rebidding naming convention (i.e.: Q19-1234XY-a) in the revised solicitation. If within 45 days after the original due date, there is no requirement to re-advertise in the NYSCR.

6 VIOLATIONS

Violations of this Policy and related policies and procedures by employees may result in disciplinary action up to and including termination. Violations of this Policy by contractors and other authorized third parties may result in the revocation of such party's access to NYPA's premises and/or electronic access to its systems, and the termination of such party's contract for services. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state or local laws.

7 REFERENCES

Guidelines for Procurement Contracts CP 3-1. This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 3-1

Expenditure Authorization Procedures CP 3-3. This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 3-3

SSM Procurement Policy CP 3-4. This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 3-4

Supplier Diversity Program CP 3-5. This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 3-5

SSM Department Procurement Policy SSM-POL-DEP-001. This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Procurement Policies and Procedures → General → SSM-POL-DEP-001

Records Management CP 2-11. This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 2-11

Digital Warehouse Procedures. These Procedures may be accessed on the Powernet → Quick Links → Policies & Procedures → Digital Warehouse Policies & Procedures

NYPA Credit Card Procurement System Procedure SSM-PRO-CCPS-001. This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Procurement Policies and Procedures → Credit Card Procurement System → SSM-RO-CCPS-001

Supply Chain Risk Management Plan O-CI-02-001. This Plan document may be accessed on the Powernet → Quick Links → Policies & Procedures → Procurement Policies and Procedures → Supply Chain Risk Management Plan O-CI-02-001

Cyber BES Risk Management Plan O-CI-02-002. This Plan document may be accessed on the Powernet → Quick Links → Policies & Procedures → NERC Policies and Procedures → Cyber Security → O-CI-02-002 Cyber BES Risk Management Plan

8 PROCEDURE REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Year

9 ATTACHMENTS

N/A

E-Signature Approval History

Role	Name	Approved Date
Final Approver	Canale, John	4/29/2020
Content Owner	Reynolds, James	4/29/2020

Title: Procedure for the Destruction of NYPA Records

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Final Approver:	*Fazzari, Joanne* Manager Corporate Records
Content Owner:	Burneson, Eric Lead Records & Information Analyst

Procedure for the Destruction of NYPA Records

Note: Revision # should be listed in descending order starting with most recent version at the top

Revision Date(For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
5/8/2020	1	Converted to new format. Formerly ITP-IRC: 04.01 There were 2 prior versions of this procedure.	N/A	Eric Burneson Lead Records and Information Analyst

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1 PURPOSE AND SCOPE

NYPA Records must be retained for the time periods specified in the company's Corporate Records Retention Schedule and disposed routinely in the regular course of Authority business when their retention periods elapse, subject to exceptions and exclusions cited in CP-2.11, Records Management Policy.

Disposition is the final phase in a Record's Information Lifecycle and can include either destruction or archiving/digital preservation. This procedure only addresses the Destruction of Records.

NYPA Records must be destroyed in a manner that is safe and appropriate to the content of the records and to the media on which the records are made.

NYPA employees must not destroy or authorize the destruction of Authority Records except in accordance with this procedure and ITP-DW-04.0, the Destruction of NYPA Records Policy and any related procedures and directives

2 APPLICABILITY

. This Procedure shall be adhered to by the staff of all Authority Business Units, contractors and contingent workers.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

Certificate of Destruction: The form that certifies that NYPA Records were destroyed in accordance with the policy outlined here and in accordance with Records Destruction Procedure (ITP-DW 04.1)

CRRS - Corporate Records Retention Schedule – A document that identifies and describes the Authority's records and specifies how these records are to be maintained and directs their disposition.

Destruction of a Record – The physical destruction or digital erasure of a Record, including all copies.

Disposition of a Record – The final phase of a Record's Information Lifecycle when it is either archived or destroyed.

Duplicate of a Record - A document that replicates the content and functionality of the Record Copy, which may itself be an original Record or a copy. All copies other than the Record Copy are considered Duplicates of Records. See ITP-DW: 02 for examples.

Information Lifecycle – The phases of use and curation though which a Record or a Non-Record passes from its creation to its destruction or archiving.

Legal Hold/Litigation Hold – A directive issued by the Law Department to ensure the preservation of data, documents and records relevant to a threatened or pending legal or regulatory proceeding, investigation or subpoena. After the hold is released, the retention schedule resumes its normal lifecycle.

Record(s) – Recorded information, regardless of form or characteristics, made or received by the Authority arising out of the transaction of its business and managed as evidence of the organization, functions, policies, decisions, procedures, operations, processes or other activities of the Authority, or because of its informational value.

Record Copy – The single copy of a record, whether physical or electronic, designated by the Authority to satisfy legal and operational retention requirements. Where the same information exists in multiple copies or in multiple media formats, one copy will be designated as the Record Copy, except in the case of a born-digital record, which is always the Record Copy.

RMS - Records Management System - The official software used by the Authority to manage its records. Its primary management functions are categorizing and locating records, identifying records that are due for disposition, and storing, retrieving and disposing of the records in its repository.

4 RESPONSIBILITY

NYPA's Corporate Records Manager is responsible for implementing this procedure in conjunction with the Law Department.

5 PROCEDURE IMPLEMENTATION

5.1 General

CP 2-11, Records Management Policy, requires that "Records shall be destroyed in accordance with this policy and approved records retention schedules. Records that do not have approved retention schedules, or for which retention is under review for possible change, should not be destroyed until the review process has been completed."

The implementation of this procedure will follow the policy outlined in Destruction of NYPA Records (ITP-DW 04.01).

The Destruction of a Record may be temporarily suspended pursuant to a Legal Hold. A Legal Hold may be issued by the NYPA Law Department to suspend the retention schedule for a Record that may be relevant to litigation, government investigation, arbitrations, audits, or other legal matters as determined by the Law Department.

5.1.2 Review and Approval of Destruction of Records

The Corporate Records Manager will coordinate all reviews and approvals for destruction of NYPA Records past their retention period.

5.2.1. The relevant NYPA Business Unit will review and approve the Destruction of Records with elapsed retention periods.

5.2.2. Once the NYPA Business unit has approved the destruction of its Records, a listing will be sent to the General Counsel for final approval.

5.3 Destruction of Records

Records approved for destruction, shall be destroyed using the appropriate method outlined below.

5.3.1 Destruction of Non-Confidential Records

5.3.1.1 Records that contain non-confidential information may be discarded by any means consistent with the company's waste management practices and the waste removal requirements of the locality where the records will be discarded.

5.3.1.2 Recycling is an acceptable method of destroying records that contain non-confidential information.

5.3.2 Destruction of Confidential Records

5.3.2.1 Records that contain confidential and/or privileged information, personally identifiable information, and / or protected health information must be destroyed in a manner that completely obliterates their contents and renders the records unreadable and unusable:

5.3.2.2 Acceptable methods of destroying confidential paper records are shredding, incineration, and chemical disintegration. Other methods require approval by the records management program.

5.3.2.3 Unsupervised recycling is not acceptable for destruction of Authority records that contain confidential information.

5.3.2.4 Acceptable methods of destroying confidential information recorded on microfilm, photographic negatives, motion picture films, or other photographic media include pulverization and chemical disintegration.

5.3.2.5 While it may permit the recovery of information, file deletion is the only practical method of destroying confidential electronic records stored on hard drives that will remain in service following destruction of the information.

5.3.2.5 A hard drive that previously contained confidential information must be reformatted then physically destroyed when it is taken out of service.

5.3.2.6 Acceptable methods of destroying confidential electronic records stored on magnetic tapes, floppy disks, magneto-optical disks, or other removable magnetic media include degaussing (bulk erasure) or reformatting, followed by physical destruction of the media.

5.3.2.7 Media that stored confidential information must not be reused following deletion of the information.

5.3.2.8 Acceptable methods of destroying confidential electronic records stored on optical disks, including Compact Discs and DVDs, include cutting, crushing, pulverizing, chemical disintegration, or other physical destruction of the media.

5.3.2.9 Confidential records must be destroyed in a timely manner and kept in a secure location until destruction occurs.

5.3.2.10 Appropriate measures must be taken to ensure the security and confidentiality of recorded information during all phases of the destruction process, including pickup and transport of records from Authority locations to the destruction site.

5.3.2.11 It is the department's responsibility to ensure that confidential records are destroyed in full conformity with this policy.

6 VIOLATIONS

Violations of this procedure and related policies and procedures by employees may result in disciplinary action up to and including termination. Violations of this Procedure by contractors and other authorized third parties may result in the revocation of such party's access to NYPA's premises and/or electronic access to its systems, and the termination of such party's contract for services. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state or local laws.

7 REFERENCES

Corporate Records Retention Schedule: Digital Warehouse > Corporate Records Retention Schedule

CP-2.11 Records Management Policy: QuickLinks > Policies and Procedures > Records Management

ITP-DW 04.01 Destruction of NYPA Records: QuickLinks > Policies and Procedures > Records Management

8 PROCEDURE REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Year

9 ATTACHMENTS

Attachment 9.1: IRF – 75

Certificate of Destruction of Records Not Indexed in The Records Management System (RMS): QuickLinks > Forms > Information Technology > Digital Warehouse > Certificate of Destruction of Records Not Indexed in the Records Management System (IRF-75)

This form is used to track the approval and destruction of records that are not in the custody of the Digital Warehouse

Attachment 9.2: IRF – 52

Certificate of Destruction of Records Indexed in the Records Management System: QuickLinks > Forms > Information Technology > Digital Warehouse > Certificate of Destruction of Records Indexed in the Records Management System (IRF-52)

This form is used to certify how records under the control of the Digital Warehouse are destroyed.

E-Signature Approval History

Role	Name	Approved Date
Final Approver	Fazzari, Joanne	5/8/2020
Content Owner	Burneson, Eric	5/5/2020

Title: Glossary for Digital Warehouse Policies and Procedures

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Revision Date:	5/5/2020
Content Owner:	Ingle, Alexander Senior Records & Information Analyst

Printed copies are not controlled.
For the latest revision of this document, refer to the Policy and Procedure PowerNet Site.
Records will be retained in accordance with NYPA's approved records retention schedules and/or in compliance with all applicable legal requirements pertaining to NYPA.

Note: Revision # should be listed in descending order starting with most recent version at the top

Revision Date (For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
5/5/2020	1	Added Definitions Added Definitions	3 5	Alexander Ingle Senior Records and Information Analyst
7/31/2017	0	Original Issue	N/A	Alexander Ingle Senior Records and Information Analyst

Printed copies are not controlled.
For the latest revision of this document, refer to the Policy and Procedure PowerNet Site.
Records will be retained in accordance with NYPA's approved records retention schedules and/or in compliance with all applicable legal requirements pertaining to NYPA.

1 PURPOSE AND SCOPE

This glossary provides definitions for key terms in Digital Warehouse (DW) policies, procedures, guidelines, forms and schedules. It is a controlled vocabulary whose goal is to provide conceptual and terminological consistency in key documents produced by the DW. Terms defined here should be employed according to definitions below by all official DW policies, procedures, guidelines, forms and schedules.

2 APPLICABILITY

Applies to all Digital Warehouse staff and to Custodians of Records

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

Custodian(s) – The Department or employee responsible for maintaining, protecting, retaining and disposing of the record.

DW – Digital Warehouse

Record(s) – Recorded information, regardless of form or characteristics, made or received by the Authority arising out of the transaction of its business and managed as evidence of the organization, functions, policies, decisions, procedures, operations, processes or other activities of the Authority, or because of its informational value.

4 RESPONSIBILITY

The Manager of Corporate Records ensures implementation and review of these guidelines in all relevant Content produced by the DW or by Custodians in other NYPA units The Manager of Corporate Records establishes a committee to review the terms assembled here.

5 POLICY IMPLEMENTATION

All DW policies, procedures, guidelines, forms, schedules or other documents should employ the terms listed here only according to the definitions given below with initialisms and acronyms listed below.

AACR2 - Anglo-American Cataloging Rules, 2nd edition – Guidelines designed for use in the describing content in catalogues and other lists for libraries. The rules cover the description and provision of access points for library materials that are commonly collected. Now superseded by **Resource Description and Access (RDA)**.

ACL - Access Control List – A list of Record Series subject to restricted viewing access, including both physical records and records electronically stored in the Records Management System. Called an Access Restriction List in earlier Information Recourse Center literature.

ACN - Accession/Circulation Control Number – A number assigned to each item as it is received in the library. Accession numbers may be assigned through continuous numbering or a coded system.

Administrative Deletion – The process of removing non-records or duplicates of records from the Records Management System.

Authority Content – See: **NYPA Content**

Backup Copy – A point in time copy of all or selected computer data created for file recovery or Disaster Recovery purposes.

Bookmarked Scan – An electronic format for storing a uniform resource identifier within a PDF file used to create a table of contents for the document.

Born-digital – Content that originates in a digital form as opposed to analog content that is scanned or otherwise digitized.

Bulk Turnover – A collection of records transferred to DW that can be indexed, stored, retrieved and purged as a single unit.

Certificate of Destruction - A document proving that Records approved for destruction have been physically or electronically destroyed.

Closure / Date of Closure – A Retention Period that indicates that the Authority shall retain a record until the audit, contract, investigation, issue, program, or project or other process is closed, all tasks related to work/project activities have been completed, or settlement or final disposition of a matter.

CM - Content Management – The administration of content, whether it is digital or hardcopy, throughout its lifecycle, from creation to permanent storage or deletion. CM involves the establishment of processes and technologies that supports the collection, managing, and publishing of information in any form or medium.

Common Records - Documents are generic administrative documents that are created by departments across business lines repeatedly produced and used by NYPA personnel.

Content – Information in any form, such as text, emails, images, video, audio and multimedia, webpages and building plans. Content can be physical (hard copy) or electronic (digital). Content may also refer to information itself in each form, independent of that form.

Content Container or **Container** – A repository for a collection of content at any level (list, library, folder, or box) digital or physical.

Content Creator(s) – Authority employee or contractor who adds documents to a repository such as SharePoint or Content Server.

Content Management Technologies – Any technology that supports content publishing, editing, modifying, organizing, deleting and maintaining from a central interface. Future technological solutions and process improvements at the Authority for content management should provide procedures to manage workflow in a collaborative environment.

Content Management Systems – Systems that are used to create edit and store content and/or records such as SharePoint, Content Server, Maximo, Meridian, etc.

Content Owner(s) – The Department or employee responsible for maintaining, protecting, retaining and disposing of content.

Corporate Records Retention Schedule (CRRS) – A document that identifies and describes the Authority's records and specifies how these records are to be maintained and directs their disposition.

Coverage – A Retention Period that indicates that the Authority shall retain a record until coverage lapses.

Create – Adding an item to a repository such as SharePoint or Content Server.

Current – A Retention Period that indicates that the Authority shall retain a record until records or information are no longer current; that is, until they have been superseded or replaced by new information content.

Current + X Prior – A Retention Period that indicates that the Authority shall retain a record until it is longer current plus the stated number (X) of superseded versions, evaluations or surveys.

Custodian(s) – The Department or employee responsible for maintaining, protecting, retaining and disposing of the record.

Data – Information in raw or unorganized form (such as letters, numbers, or symbols) that refers to or represents conditions, ideas, or objects used as a basis for reasoning, discussion, or calculation. Data may be contained in any medium, including electronic media or hardcopy. Some NYPA records may contain or consist of data.

Destruction of a Record – The physical destruction or digital erasure of a Record. A Record is only eligible for destruction when it has met its normal retention requirement as set forth in NYPA's Corporate Records Retention Schedule.

Digital Transformation – The transformation of business activities, processes, competencies and models to fully leverage the changes and opportunities of digital technologies and their impact across society in a strategic and prioritized way.

Digitization – The automation of existing manual and paper-based processes so that they are wholly digital.

Digitizing – The transformation of analog content to digital format

Disaster – An unplanned, adverse event that renders company records at a given site unavailable or unusable for their intended purposes, with a resulting interruption in one or more company operations. Depending on the disaster, the interruption may be complete or partial, temporary or permanent.

Disaster Recovery – The measures taken to resume business operations following a disaster. In the case of records management, this indicates the resumption of access to records and the disposition of Records according to the CRRS.

Disaster Recovery Site – A secure location designated by the Authority's Information Technology Department for the storage of an electronic backup of the Authority systems, including the RMS, for access in the event of a disaster or emergency.

Disposition - The final stage of information in the information lifecycle. It refers to the Destruction of a Record according to the Corporate Records Retention Schedule, the accession of a Record to an archive or the destruction of a non-Record according to its Information lifecycle.

Distribution List – A routing list the Authority of employees who will have access to a copy of a serial publication and receive notice by email. Also called a Routing List.

Document Type – Describes the functional purpose of the document. Examples of a Document Type: invoice, financial report, meeting minutes, procedure, specification, etc. NB: the term, as used by the DW, does not refer to software type, e.g., Word, Excel, or PowerPoint.

Duplicate of a Record – A document that replicates the content and functionality of the Record Copy, which may itself be an original record or a copy. All copies other than the Record Copy of a Record are considered Duplicates of Records. See ITP-DW: 02 for examples.

Duration of Employment – A Retention Period that indicates that the Authority shall retain a record until employment retirement, death or termination.

Duration of Ownership – A Retention Period that indicates that the Authority shall retain a record until the property is no longer owned by the Authority.

DW - Digital Warehouse – The NYPA Business Unit under the direction of the Corporate Records Manager that oversees records management throughout the Authority and directs the retention, indexing and preservation of records in both physical and digital repositories. The Digital Warehouse manages the corporate library and facilitates Authority-wide content management endeavors.

ECM - Enterprise Content Management - The administration of Content, both Record and Non-Record, whether digital or analog, throughout its lifecycle from creation to permanent storage or deletion. ECM involves the establishment of processes and technologies and controls that support the collection, management and access of information in any form or medium.

ECMS - Enterprise Content Management Systems - Systems that are used to create, edit and store both Record and Non-record Content. At NYPA these include SharePoint, Content Server, etc.

Educational Materials - Published information used to support licensing, examinations, and certifications by NYPA employees.

Emergency Operating Records – Records that are essential to the functioning of The Authority's operations. Included are emergency plans, safety plans, and delegations of authority and program records needed to continue the critical operations during and after an emergency. These are a subset of Vital Records.

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Exhibit D – The projected publications budget expenditures for each NYPA department and business unit.

Expiration – A Retention Period that indicates that the Authority shall retain a record until the record transitions to a closed or expired status.

Event Completion – A Retention Period that indicates that the Authority shall retain a record until the completion of a specified event.

Event + X years – A Retention Period that indicates that the Authority shall retain a record until the occurrence of the event plus the period of years stated.

File Number – In Content Server refers to the Record Series that a given Record belongs to. On Records Turnover Transmittal Form (IRF 41) the File Number is the RM File Number.

Fiscal Year – A Retention Period that indicates that the Authority shall retain a record until end of fiscal year.

FOIL - Freedom of Information Law – A New York State Law that provides public access to NYPA Records. FOIL provides a process for the review and copying of an agency's records.

Hold – A temporary stay of disposition. Destruction authorization is suspended, for a Record Copy that is relevant to litigation, government investigation, arbitrations, audits, or other legal matters. After the hold is released, the retention schedule resumes its normal lifecycle (See: Legal Hold).

ILL - Interlibrary Loans – A resource sharing service between multiple libraries. ILL allows library patrons to search a network of libraries for an item and borrow the item from any library in that network.

ILS - Integrated Library System – The category of software used by DW to manage all books and materials made available through library circulation by DW. Its primary management functions are cataloging, managing and locating books and materials, documenting orders and acquisitions and tracking borrowed items.

Image Quality – An assessment of how accurately or fully an image of a subject represents that subject. Digital images must be faithful reproductions or "true copies" of the pages from which they are produced. See: True Copy.

Information Lifecycle – The phases of use and curation though which a Record or a Non-Record passes from its creation to its disposition.

Hire Date – A Retention Period that indicates that the Authority shall retain a record for a specified amount of time (indicated by X) after the employee has been hired.

Last Filing – A Retention Period that indicates that the Authority shall retain a record until the last Filing is superseded.

Last Revenue Requirement Analysis – A Retention Period that indicates that the Authority shall retain a record until the last Revenue Requirement Analysis is superseded.

LC - Library of Congress Classification (LC) – Classification scheme in which subject divisions are indicated by letters and their subdivisions by numbers. Used for creating call numbers for cataloging books for physical storage in a library, including the DW library.

Legal and Financial Records – Records that are essential to documenting the legal and financial status of the Authority. These Records are a subset of Vital Records.

Legal Hold – A directive issued by the Law Department to ensure the preservation of data, documents and records relevant to a threatened or pending legal or regulatory proceeding, investigation or subpoena. After the hold is released, the retention schedule resumes its normal lifecycle. Also called a litigation hold.

Life of X– A Retention Period that indicates that the Authority shall retain a record for the life of an entity indicted by X, that is, until all applicable legal, regulatory, or policy requirements have been satisfied (for, e.g., an **asset, facility, infrastructure,** or **plant**); until removal from service (of, e.g., **equipment, meter, piping, system, tank, tower, vehicle or vessel**); transitions to a closed or expired status (of, e.g., a **contract, lease, plan, program or trust**); or until the common relationship with client, customer, or vendor, etc., no longer exists; or until property is no longer owned bit eh Authority.

Life of Corporation – A Retention Period that indicates that the Authority shall retain a record for the life of the Power Authority or any subsequent entity.

Long-Term Retention – Records retained by the Authority for a period of eight years or more.

Machine-Readable Cataloging (**MARC,** often designated by its latest version, **MARC 21**) – A universal digital format developed by the Library of Congress that is used for the description of bibliographic items in many libraries, including that in the DW.

MARC Record – A computerized bibliographic record, whose content been designated according to MARC conventions.

Metadata – Data that is used to describe content. Examples of metadata are date, document created or document description.

Naming Convention – Standardized way in which documents are named. Typically, a naming convention will be defined by document type.

New York State ILLiad (NYS ILLiad) – An online system of access to the New York State Interlibrary Loan (ILL) system, which allows users to search New York State libraries and process requests for materials.

Non-Official Copy – A copy or duplication of a Record Copy. A Non-Official Copy is not a Record, but it must follow the same Retention Schedule as a Record Copy. See ITP-IRC: G02.00 for more information.

Non-Records – All media produced and used by the Authority that are not Records. These include Duplicates of Records not designated for retention; drafts or non-final versions of documents; unapproved or unsigned documents that require approval or signature; and library or published reference materials. Any duplicate of a Record Copy must be disposed of according the same retention schedule as the Record Copy.

NYPA Content – Content associated with the Authority's business operations and produced or acquired by Authority employees in furtherance of the Authority's functions and mission.

OAIS - Open Archival Information System reference model - A standard (ISO 14721:2012) used by archivists and records managers to preserve digital content.

OCR - Optical Character Recognition – The electronic conversion of scanned images into machine-encoded text. It is a widely used process for converting text into a digital image that can be electronically saved, searched and displayed.

OCLC - Online Computer Library Catalog – An international internet-based bibliographic network of library content and services.

OPAC - Online Public Access Catalog – An online database of materials available to the general public which is primarily used to search, track and locate, request, or borrow items in a library collection.

PDF/A - Portable Document Format/Archival – The electronic format used to represent a document independent of software systems. The PDF file type is used by DW for digital images which will be retained as records and other documents.

Personal Content – Any information-bearing object of a private nature that pertains solely to an employee's personal activities and interests and that have no relation to the employee's assigned duties or to the Authority's mission, goals, objectives, or business operations.

Physical Records – non-digital Records in physical form (paper records, books, papers, microforms, maps, photographs, or other documentary materials) made or received by DW or otherwise in DW custody.

Program Records – Records that document significant activities pertaining to the mission of each NYPA organization. The content is often of a technical nature. The formats or media vary, and may include correspondence, drawings, magnetically stored data, microforms, or audio-visual materials.

Production Application – Provides information about the database application or records repository where these records are maintained.

Published Information – Information, in any medium, that is generally available to persons or organizations outside the creating organization (free or for a charge). It does not include information created specifically by or for the Authority (i.e., Records).

RDA - Resource Description and Access – Content standard for cataloging library materials both physical and electronic, especially MARC21. Replaces **Anglo-American Cataloging Rules, 2nd edition (AACR2**).

Real-Time Replication – A backup and a Disaster Recovery method that is a simultaneous recording of information by multiple computers. Changes to a database or other record that resides on one computer, for example, are automatically made in a copy of the database or corresponding record that resides on another computer.

Record(s) – Recorded information, regardless of form or characteristics, made or received by the Authority arising out of the transaction of its business and managed as evidence of the organization, functions, policies, decisions, procedures, operations, processes or other activities of the Authority, or because of its informational value.

Record Copy – The single copy of a record, whether physical or electronic, designated by the Authority to satisfy legal and operational retention requirements. Where the same information exists in multiple copies or in multiple media formats, one copy will be designated as the Record Copy, except in the case of a born-digital record, which is always the Record Copy.

The Record Copy may be held by the department or other business unit that is principally responsible for the business operation with which the record is associated in a departmental file (physical or network server), or in a company-wide database or a centralized repository that is

accessible by multiple employees. The Record Copy is listed in the Corporate Records Retention Schedule.

Record Description – The description on CRRS that provides details about the different types of information and documents which are included in a Record Series a Records Turnover Transmittal Form or in Content Server.

Record Holder(s) – Initial custodian(s) or creator(s) that may or may not be integrated into a CRRS.

Record Owner(s) – See: **Custodian(s)**

Record Series – A grouping of Records. At the Authority, a Record Series is always associated with: Record Series Name, Record Description, Retention Period, Record Owner, and Notes. It may be accompanied with a file number that indicates a number assigned to a given series.

Record Series Name – The name of the Records Series as indicated on the CRRS or a Records Turnover Transmittal Form.

Record Type – See: **Record Series**

RMS - Records Management System – The official software used by the Authority to manage its records. Its primary management functions are categorizing and locating records, identifying records that are due for disposition, and storing, retrieving and disposing of the records in its repository.

Records Turnover Transmittal Form (IRF-41) – A form that accompanies the turnover to the Digital Warehouse of a collection of Records in a Records Series. The IRF-41 indicates critical information about the Records turned over, such as Record Owner, Record Series or Date. The IRF-41 is itself a record and preserved according to the appropriate retention schedule.

Repayment – A Retention Period that indicates that the Authority shall retain a record for the duration of the repayment period.

Request Fulfillment – A Retention Period that indicates that the Authority shall retain a record until the request has been fulfilled.

Retention Period – The retention period describes the period that a Record Series must be retained as a matter of Authority policy.

Retirement – A Retention Period that indicates that the Authority shall retain a record until the date on which an employee retires, or when a piece of equipment, a process, procedure, bond, account or program retires.

Scheduled Turnover – A collection of physical documents transferred to DW that can be indexed, stored, retrieved and purged.

Serial Publications – Any subscription or recurring published information for which a series of publications is acquired by the Authority. This includes magazines, newspapers, loose-leaf style publications for which updates are sent on a schedule

Short-term Retention – Retention period Describes records that need to be retained by DW for a period not exceeding seven years.

System of Record – An information storage system that is the authoritative data source for a given data element or piece of information. A system of record should not be confused with a

records management system, see above. (SAP is a system of Record; Content Server is a Records Management System).

True Copy – A faithful duplicate of an original document that is virtually identical and sufficient for its purposes to act as one. A True Copy preserves all significant information from the source document including the legible reproduction of all words, numbers, or other markings that can be read on the source document. A True Copy is not a Records Copy unless designated by the Records Manager.

Termination – A Retention Period that indicates that the Authority shall retain a record until the agreement, contract, or process has terminated.

Until Superseded – A Retention Period that indicates that the Authority shall retain a record until the record is superseded or replaced by a new record or an updated version of the existing record.

Vital Records – All records, which, in the event of a disaster or catastrophic event, are essential to the resumption or continuation of the Authority's operations, as designated by the Corporate Records Manager, Digital Warehouse, and specified in the appropriate records retention schedule and in conformity with applicable legal requirements, as articulated by the General Counsel. Emergency Operating Records and Legal and Financial Records are a subset of Vital Records. See ITP-IRC: 10 for further description.

Web Content – Content that is published on a website, either internally (on an intranet) or public facing (externally).

6 VIOLATIONS

N/A

7 REFERENCES

CP 2-11 Records Management (Quicklinks > Policies and Procedures > Digital Warehouse Policies and Procedures)
ITP-IRC: 02 Duplicates of Records, Drafts, and Documents of Transitory Value (Quicklinks > Policies and Procedures > Digital Warehouse Policies and Procedures)
ITP-IRC: 10 Protection of Vital Records (Quicklinks > Policies and Procedures > Digital Warehouse Policies and Procedures)

8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Other Year

9 ATTACHMENTS

N/A

E-Signature Approval History

Role	Name	Approved Date
Content Owner	Ingle, Alexander	5/5/2020

Title: NYPA's Workplace Violence Policy

Document Type:	Company Policy
Document Number:	CP 1-8
Revision Date:	1/6/2020
President:	*Quiniones, Gil* President & CEO
Executive Owner:	Pizzo, Kristine EVP Chief HR & Administrative Officer
Content Owner:	Pollack, Rani Director HR & Employee Relations

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NYPA's Workplace Violence Policy

Note: Revision # should be listed in descending order starting with most recent version at the top.

Revision Date(For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
1/6/2020	3	Updated to reflect NYS regulations for Public Employers.	Throughout	Rani Pollack Director HR & Employee Relations
5/20/2016	2	New format.	N/A	Rani Pollack Director HR & Employee Relations

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1 PURPOSE AND SCOPE

The purpose of this policy is to provide information to managers, supervisors, and employees about preventing and responding to incidents of workplace violence or threats of violence, to set forth procedures to be followed when such violence occurs in the workplace and to educate employees about the "New York State Public Employer Workplace Violence Prevention Law." NYPA is committed to maintaining a safe and secure work environment that is free from violence, threats of violence, harassment, intimidation, and other disruptive behaviors. While this conduct is not pervasive at NYPA, no workplace is immune. The goals of this policy are to reduce the probability of threats or acts of violence in the workplace and to ensure that any incident, complaint, or report of violence is taken seriously and dealt with appropriately.

2 APPLICABILITY

This policy is applicable to all NYPA employees and also covers the conduct of vendors, consultants, contingent workers, and customers. Implementing procedures shall be prepared as necessary to provide appropriate guidance in meeting the management controls described.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

Authorized Employee Representative – An employee authorized by the employees or the designated representative of an employee organization recognized or certified to represent the employees pursuant to Article 14 of the Civil Service Law.

ER – Employee Relations

Hotline – Employee Concerns Hotline

HR – Human Resources

Imminent Danger – Any conditions or practices in any place of NYPA employment which are such that a danger exists which could reasonably be expected to cause death or serious physical harm immediately or before the imminence of such danger can be eliminated through enforcement procedures provided for in the workplace violence regulations.

Privacy Concern Case – Incident involving the following injuries or illnesses: (1) An injury or illness to an intimate body part or the reproductive system; (2) An injury or illness resulting from a sexual assault; (3) Mental illness; (4) HIV infection; (5) Needle stick injuries and cuts from sharp objects that are or may be contaminated with another person's blood or other potentially infectious material; and (6) Other injuries or illnesses, if the employee independently and voluntarily requests that his or her name not be entered on the Workplace Violence Incident Report.

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Retaliatory Action – The discharge, suspension, demotion, penalization or discrimination against any NYPA employee, or other adverse employment action taken against an employee in the terms and conditions of employment.

Serious physical harm – Physical injury which creates a substantial risk of death, or which causes death or serious and protracted disfigurement, protracted impairment of health or protracted loss or impairment of the function of any bodily organ or a sexual offense as defined in Article 130 of the Penal Law.

Supervisor – Any person within NYPA who has the authority to direct and control the work performance of an employee, or who has the authority to take corrective action regarding the violation of a law, rule or regulation to which an employee submits written notice.

Workplace – Any location away from a NYPA employee's domicile, permanent or temporary, where an employee performs any work-related duty in the course of his or her employment by an employer.

Workplace Violence – Any physical assault or acts of aggressive behavior occurring where a NYPA employee performs any work-related duty in the course of his or her employment including but not limited to:

(i) An attempt or threat, whether verbal or physical, to inflict physical injury upon an employee;

(ii) Any intentional display of force which would give an employee reason to fear or expect bodily harm;

(iii) Intentional and wrongful physical contact with a person without his or her consent that entails some injury;

(iv) Stalking an employee with the intent of causing fear of material harm to the physical safety and health of such employee when such stalking has arisen through and in the course of employment.

Workplace Violence Incident Report – A report describing a workplace violence incident.

Workplace Violence Prevention Program – A NYPA program designed to prevent, minimize, and respond to any workplace violence, the development and implementation of which is required by Article 2, Section 27-b of the New York State Labor Law.

4 RESPONSIBILITY

Responsibility and oversight of this policy resides with the approver unless otherwise noted here in.

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5 POLICY IMPLEMENTATION

5.1 General

5.1.1 All employees are responsible for creating an atmosphere free of violent, threatening, harassing, intimidating, or other disruptive behavior and must act promptly to eliminate any such behavior when they witness or become aware of it.

5.1.2 In addition to the workplace violence definition above, workplace violence may also include:

- Non-specific threats of violence by an employee
- Bullying
- Specific threats of violence by an employee
- Threats of violence directed against an employee by a non-employee
- Violent confrontation by a spouse or significant other with an employee over a personal/domestic dispute
- Threats or threatening conduct by disgruntled or ex-employees
- Violent altercations between two employees or an employee and supervisor
- Assaults by an intruder

5.1.3 **Typical warning signs of potentially violent individuals may include, but are not limited to:**

Irrational beliefs and ideas; Verbal, nonverbal, or written threats or intimidation; Obsession with weapons and/or acts of violence; Expressions of a plan to hurt oneself or others; Externalization of blame; Bullying; Taking up much of a supervisor's time with behavior or performance problems; Drastic change in belief systems; Displays of unwarranted anger; New or increased source of stress at home or work; Inability to take criticism; Feelings of being victimized; Intoxication from alcohol or other substances; Expressions of hopelessness or heightened anxiety; Steals or sabotages projects or equipment; Demonstrates a lack of concern for the safety of others.

5.1.4 **Preventing Workplace Violence at NYPA:**

There is no single ingredient that will prevent or reduce violence in the workplace. Preventative measures must be based on a thorough understanding of risk factors associated with the various types of workplace violence that could occur. While understanding the factors that lead to workplace violence are not always evident, sufficient information is available which can reduce the risk. However, strong management commitment, and the day-to-day involvement of department managers, supervisors, employees and labor unions, is required to reduce the risk of workplace violence. To that end, NYPA will utilize the following measures for implementing its Workplace Violence Prevention Program:

Foster a supportive harmonious work environment: Create a culture of mutual respect to help reduce harassment and hostility in the workplace. NYPA will strive to communicate openly, give employees adequate control in their work and provide them with support and recognition. Conflict and stress are lower when employees feel empowered to work independently and are motivated to work cooperatively.

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Train employees on how to resolve conflicts: Conflicts on the job can be reduced by developing employee skills in negotiating, communicating effectively, team building, and resolving disputes. NYPA's Talent Development team offers courses in these subject areas.

Develop effective policies to protect employees from harassment: *S*trive to build a culture free of harassment and discrimination and advance this goal by having systems in place to address infractions. NYPA will not tolerate harassment or violence. All complaints will be expeditiously and thoroughly investigated. Appropriate action will be taken with those who violate this policy.

Use established procedures for handling grievances: Employees will follow existing *g*rievance procedures for reporting complaints of unfair treatment, discrimination, or harassment.

Provide personal counseling through an employee assistance program: Employees can use the confidential Employee Assistance Program (EAP) as a resource to address personal concerns. If a violent or threatening incident occurs at work, employees can call the EAP 24-hour Helpline at 800-833-8707.

Implement security programs that protect employees: NYPA has a variety of methods in place to ensure worker safety. Such methods include: access control to office locations; employee background screening; and, employee safety awareness and training. In addition, any employee concerned about personal safety may request an escort (to the parking lot or other worksite if reasonable) or other appropriate intervention.

Provide employee safety education programs: In addition to making workers aware of safety policies and employee support services, NYPA provides educational materials covering ways to maximize safety at work.

Train supervisory personnel on how to recognize signs of a troubled employee: NYPA will provide periodic information and/or training to Supervisors on how to recognize signs and symptoms of a potentially violent employee. Also, supervisory personnel can be instructed on how to be sensitive to signs of possible abuse among employees, such as frequent absences or depression.

5.1.5 Orders of Protection

Employees who apply for or obtain a protective or restraining order from a court or agency that lists NYPA facilities as a protected area must provide headquarters Employee Relations or site HR a copy of the petition and declarations used to seek the order and a copy of any temporary or permanent protective or restraining order that was granted. Employee Relations or Site HR will immediately provide the on-site Security Manager with a copy of the order. NYPA will respect the privacy of the reporting employee(s) and only Employee Relations or site HR and site Security will be provided a copy of the order.

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5.2 Responsibilities

5.2.1 **NYPA has identified the following responsibilities for implementing and maintaining the provisions of the Workplace Violence Prevention Program ("Program"):**

a. Employee Relations ("ER") is responsible for implementation of the Program with the participation of Labor Relations, Security and an authorized employee representative. ER is also responsible for maintaining and updating the Program as needed and reviewing the Program annually in partnership with Labor Relations and Security who collaborate with an authorized employee representative from each bargaining unit.
b. All NYPA employees receive online workplace violence prevention training annually.
c. In general, Security, ER, and site HR will investigate all claims of workplace violence. In some instances, all three groups may not need to be involved in the investigation and they will work together to decide which parties need to be involved in the investigation.
d. ER is responsible for completing Workplace Violence Incident Reports and taking any appropriate action as necessary.
e. NYPA's Program shall adhere to a hierarchy of controls as follows:
    - engineering controls
    - work practice controls
    - personal protective equipment

5.2.2 **Injury and Illness Recordkeeping and Reporting Requirements for Workplace Violence Incidents:**

NYPA is required to record and report workplace violence incidents in accordance with NYS Labor Law, Section 27-a (Public Employer Safety and Health Act). NYCRR Part 801 of that Law, Recording and Reporting Public Employees' Occupational Injuries and Illnesses, specifies conditions for employer recordkeeping and reporting requirements. Specifically, NYPA is required to record an employee workplace violence injury if it results in death, days away from work, restricted work or transfer to another job, medical treatment beyond first aid and loss of consciousness.

NYPA is also required to report employee workplace violence related fatalities and multiple hospitalizations to the Department's Public Employee Safety and Health ("PESH") Bureau within 8 hours of the incident. (Refer to NYCRR Part 801 for complete information pertaining to employee recordkeeping and PESH reporting requirements).

Additionally, NYPA utilized (and will continue to utilize) accident and illness recordkeeping information to ensure that its written Workplace Violence Prevention Program is as effective as possible.

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5.2.3 **Workplace Violence Prevention Risk Evaluation:**

The Security Department in coordination with an authorized employee representative employee at sites with union employees will perform a "risk evaluation" as a means of inspection of all workplaces to determine the presence of existing or potential hazards that might place employees at risk from occupational assaults or homicides.

The results from the risk evaluations must be used for the implementation of this Program and in all employee training that is required.

5.2.4 **Workplace Violence Prevention Compliance:**

NYPA has established this policy to ensure compliance with workplace violence prevention and security:

- Management is committed to ensuring that all safety and health policies and procedures involving workplace violence prevention and security are clearly communicated and understood by all NYPA employees.
- All NYPA employees are responsible for using safe work practices, for following all directives, policies and procedures and for assisting in maintaining a safe and secure work environment. NYPA's Workplace Violence Prevention Program is designed to ensure that all workers comply with work practices that have been identified to make the workplace more secure. Specifically, this Program will:

  a. Inform employees, supervisors, managers and union officials of the provisions of NYPA's Workplace Security procedures.
  b. Evaluate the performance of all employees in complying with workplace security measures.
  c. Recognize employees who perform work practices which promote security in the workplace.
  d. Provide training and/or counseling to employees whose performance is deficient in complying with work practices designed to ensure workplace security.
  e. Discipline employees for failure to comply with workplace violence prevention and building security practices in accordance with negotiated labor contracts if applicable.

5.2.5 **Reporting Workplace Violence Incidents:**

a. Any employee or his or her authorized employee representative who believes that a serious violation of NYPA's workplace violence prevention program exists, or that a workplace violence imminent danger exists, shall bring such matter to the attention of a supervisor in the form of a written notice and shall afford NYPA a reasonable opportunity to correct such activity, policy, or practice.

b. Written notice to NYPA shall not be required where imminent danger exists to the safety of a specific employee. Employees who observe or experience imminent

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danger of serious physical harm involving violent, threatening, harassing, intimidating, or other disruptive behavior by anyone, including those not employed by NYPA, which might be carried out on NYPA premises, or have been told that another person has witnessed such behavior, should report it immediately to site Security.

c. Supervisors or HR representatives who receive reports of alleged workplace violence shall first contact a site Security representative. Security must respond to the incident and depending on the severity of the situation, determine whether local police will need to be called.

d. Security must promptly notify Employee Relations or site HR to inform them of the workplace violence incident. Employee Relations and site HR will investigate the incident and recommend whether any discipline should be issued. ER will file a Workplace Violence Incident Report to be included in the Workplace Violence Prevention Program.

e. Employees may also report violations of this policy to NYPA Employee Information Concerns Line. The centralized, outsourced, toll-free Hotline is available and dedicated solely to receiving employee concerns, including those that may be of a violent, threatening, harassing, intimidating, or other disruptive nature. The Hotline number is 1-877-TEL-NYPA (1-877-835-6972).

f. All allegations of workplace misconduct under this policy will be handled thoroughly and promptly in a sensitive and discreet manner. When the incident involves no imminent danger, Employee Relations or site HR will investigate the matter to determine whether discipline is warranted. The privacy of the complaining party and the person accused of violating this policy will be respected to the maximum extent possible, consistent with the need to fairly investigate and correct the problem. It is not always possible to maintain absolute confidentiality.

g. NYPA will take appropriate corrective action, including disciplinary measures when justified, to remedy violations of this policy.

h. All workplace violence incidents with be reviewed by ER and one Authorized Employee Representative from each Local annually.

5.3 Anti-Retaliation

5.3.1 Consistent with CP 1-7, NYPA's "Anti-Retaliation Policy," this policy prohibits discrimination, harassment, and/or retaliation against any employee because the employee does any of the following:

a. informs a NYPA representative in good faith that someone has, or is reasonably expected to, act violently, is threatening, harassing, intimidating or causing other

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disruptive behavior for themselves, another NYPA employee or any other person on NYPA premises;

b. participates in any investigation arising from this policy; or
c. exercises any right under NYS Labor Law § 27-b6(e)(1)-(3).

5.3.2 Any employee who is found to have knowingly made a false accusation under this policy may be subject to appropriate disciplinary action up to and including termination of employment.

5.4 Workplace Violence Prevention Program Maintenance and Updating:

ER is responsible for maintenance and annual updating of the Program with participation of one authorized employee representative from each bargaining unit local.

6 VIOLATIONS

Violations of this policy and related policies and procedures by employees may result in disciplinary action up to and including termination. Vendors, consultants, contingent workers, and customers who engage in conduct that violates this policy may result in the revocation of their physical access to NYPA's premises and electronic access to NYPA's systems, and the termination of such party's contract for services. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state, or local laws.

7 REFERENCES

7.1 Public Employer Workplace Violence Prevention Programs 12 NYCRR Part 800.6

7.2 CP 1-7 Anti-Retaliation Policy PowerNet → Quick Links → Policies & Procedures → Company Policies

7.3 NYS Labor Law § 27-b

8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Other Year

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9 ATTACHMENTS

N/A

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E-Signature Approval History

Role	Name	Approved Date
President	Quiniones, Gil	1/6/2020
EVP Chief HR and Administrative Officer	Pizzo, Kristine	12/11/2019
General Counsel	Driscoll, Justin	10/21/2019
Chief Operation Officer	Kessler, Joseph	10/18/2019
Executive Owner	Pizzo, Kristine	10/16/2019
Content Owner	Pollack, Rani	10/2/2019

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Title: Severance Policy

Document Type:	Employee Policy
Document Number:	EP 1.7
Revision Date:	9/29/2020
Final Approver:	*Pizzo, Kristine* EVP Chief HR & Administrative Officer
Executive Owner:	Pollack, Rani Director HR & Employee Relations
Content Owner:	Bodolato, Diana Senior Employee Relations Specialist

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Severance Policy

Note: Revision # should be listed in descending order starting with most recent version at the top.

Revision Date (For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
9/29/2020	5	Added the Legal Department's role in reviewing actions triggering severance Modified definition for "length of service"- specifically, removed language about minimizing length of service by unpaid leave Added the Payroll Department's role in calculating severance payments and replaced severance pay chart with concise narrative and examples	2.2 3 5.1	Rani Pollack Director, HR & Employee Relations
1/29/2020	4	Clarified Purpose and Scope Clarified Applicability Clarified Definitions Clarified severance proration Modified maximum amount for severance payout to 12 weeks in accordance with Section 2854 of the New York State Public Authorities Law	1 2 3 5 5.1	Rani Pollack Director, HR & Employee Relations
4/1/2016	3	Uploaded information to a new format. This policy had two (2) revisions under the old format. Expanded on the definition of an eligible employee	N/A 3	Rani Pollack Director, HR & Employee Relations

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		Defined and expanded severance pay Detailed payment schedule Explained which payroll deductions can and cannot be made from severance pay	3 5.1 5.4	

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Please refer to Employee Policy EP 0.0 NYPA DISCLAIMERS where you will find a statement which pertains to all Employee Policies including this one.

1 PURPOSE AND SCOPE

This Policy provides guidelines and identifies circumstances for the payment of severance.

2 APPLICABILITY

2.1 This policy is applicable to Management full-time and part-time Permanent employees as defined by EP 3.1 Management Employee Categories and Eligibility for Benefits. This policy is not applicable to Temporary or Provisional employees or contingent workers whose compensation is paid directly by a third party, who are not paid directly through NYPA's payroll system, or who are classified by NYPA as consultants and/or independent contractors.

2.2 Severance pay shall be given to an eligible employee who is involuntarily terminated through no fault of his/her own as a result of a layoff; reduction-in-force; restructuring; or reorganization. Such instances shall be reviewed with the Legal Department prior to implementing the action.

2.3 Instances or actions where an employee is not eligible to receive severance:

a. Voluntarily resignation;
b. Termination for cause;
c. If an employee is offered a comparable position with NYPA as a result of a reorganization or restructuring, and the employee declines the offer; or
d. In the event of a takeover of all or part of an Authority facility or asset, where an employee is offered a comparable position with the new employer, and the employee declines the offer.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

Week of base salary - annual base salary divided by 52; such calculation does not include overtime, stipends, per diem, or other pay.

Eligible employees - Management full-time and part-time Permanent employees as defined in EP: 3.1, Management Employee Categories and Eligibility for Benefits

Length of Service – Time employed with NYPA as an eligible employee. If employee was a direct transfer or rehire, adjusted dates apply, see EP 1.9 Transfer or Re-Employment in Public Service

Management employee - non-bargaining unit NYPA employee

Severance - a payment offered to eligible employees. Such payment is calculated based on the impacted employee's base salary at the time of separation and length of service.

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4 RESPONSIBILITY

Responsibility and oversight of this policy resides with the EVP Chief HR and Administrative Officer unless otherwise noted herein.

5 POLICY IMPLEMENTATION

5.1 Eligible employees are offered severance based on length of service. Any portion of a month of service will be counted as a full month. Severance payments are calculated by the Payroll Department.

- Employees with less than 1 full year of service will be paid 2 weeks of base salary
- Employees with 1 or more years of service will be paid 2 weeks of base salary plus 1 week of base salary for each year of service (prorated for partial years) up to a maximum total severance payment of 12 weeks of base salary.

Examples:

- Employee with 7 months of service: severance payment = 2 weeks of base salary
- Employee with 1.67 years of service (20 months): severance payment = 3.67 weeks of base salary (1 week of salary times 1.67 years of service plus 2 weeks)
- Employee with 3 years of service (36 months): severance payment = 5 weeks of base salary (1 week of salary times 3 years of service plus 2 weeks)

5.2 Severance will be paid out in a separate lump sum check to be issued as soon as administratively possible within the normal pay schedule.

5.3 Payroll Deductions

5.3.1 Vacation time taken in excess of accrued time will be deducted from severance.

5.3.2 The following cannot be deducted from severance including, but not limited to: New York State and Local Retirement System and Voluntary Defined Contribution Plan deductions; 401(k) and 457 plan contributions and loan payments; health, life, disability, Flexible Spending Account deductions, etc. or any amounts owed for property not returned.

5.3.3 Severance payments are subject to applicable federal, state and local taxes.

6 VIOLATIONS

N/A

7 REFERENCES

EP 1.9 Transfer or Re-Employment in Public Service [Powernet → Quicklinks → Employee Policies → EP 1.9]

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EP 3.1 Management Employee Categories and Eligibility for Benefits [Powernet → Quicklinks → Employee Policies → EP 3.1]

8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision Cycle: Every Other Year

9 ATTACHMENTS

N/A

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E-Signature Approval History

Role	Name	Approved Date
Final Approver	Pizzo, Kristine	9/29/2020
Executive Owner	Pollack, Rani	9/29/2020
Content Owner	Bodolato, Diana	9/29/2020

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Title: Management Non-Exempt and Facility-Based Exempt Overtime

Document Type:	Employee Policy
Document Number:	EP 2.4
Revision Date:	5/18/2020
Final Approver:	*Pizzo, Kristine* EVP Chief HR & Administrative Officer
Executive Owner:	Saslow, Karina VP Total Rewards & HRIS
Content Owner:	McDonnell, Robyn Senior Compensation Specialist

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Management Non-Exempt and Facility-Based Exempt Overtime

Note: Revision # should be listed in descending order starting with most recent version at the top.

Revision Date(For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
5/18/2020	15	Expanded definition of First Line Supervisor	5.2.2	Kristen Coyne Director Total Rewards
8/6/2019	14	Addition of Eligibility for Management Exempt under an MOU or Mutual Aid Agreement Definition of term Overtime	2.2 f	Robyn McDonnell Sr. Compensation Specialist
8/6/2019	13	Update to titles Clarification of non-exempt travel time review Reference to Management Exempt Emergency/Crisis Response Compensation policy	2.2c, Section 4 5.1.4 5.2.5	Robyn McDonnell Sr. Compensation Specialist
1/15/2019	12	Updated document to the new format. This policy had 11 prior revisions under the old format. Replaced "Salaried" with “Management” Clarification of Exempt Eligibility, inclusion of Customer Load Forecasting Removed section pertaining to Exempt Employees temporarily assigned to a Facility Addition of FLSA	N/A Throughout 2.2 5.2.6 & 5.3.2 6	Robyn McDonnell Sr. Compensation Specialist

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1 PURPOSE AND SCOPE

1.1 This policy provides for the authorization and payment of overtime to eligible Authority employees (see Applicability, *Section 2,* below). It permits the Authority to:

a) comply with the Fair Labor Standards Act;

b) provide additional compensation to certain exempt positions for ensuring the safe and efficient generation and transmission of electricity during specified overtime events;

c) provide some relief for pay compression between bargaining unit employees and first line supervisors; and

d) manage overtime costs.

1.2 Eligible overtime is scheduled, authorized and approved time worked in excess of the normal workweek, under predetermined conditions related to specific Authority or facility requirements, priorities, special projects, or to maintain safe operating conditions.

2 APPLICABILITY

2.1 Non – Exempt Eligible Employees:

a) All management non-exempt employees are eligible for non-exempt overtime as required by the wage and hour laws of the Fair Labor Standards Act, as enforced by the U.S. Department of Labor.

2.2 Exempt Eligible Employees:

a) First Line Supervisors — as defined in 5.2.2.

b) Facility-based management exempt individual contributor employees in grades up through 09 (I/U/X) may be eligible for exempt overtime compensation.

c) Management exempt individual contributor employees working in the Generation Resources Trading Room on a 24/7 shift, management exempt individual contributor Fuel Buying/Gas Scheduling positions supporting the Generation Resources Traders, management exempt individual contributor Transmission System Operators working at the Energy Control Center (ECC), and management exempt individual contributor Market Forecasting Services (MFS) Analysts supporting the New York Independent System Operator

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(NYISO) energy bidding process and customer energy demands, may be eligible for exempt overtime compensation despite location or grade.

d) Headquarters management exempt employees, physically working at a facility as part of a specified temporary work project, and who are in grades up through 09 (I/U/X) may be eligible for exempt overtime compensation.

e) Management exempt employees in grades 10 (I/U) and above are not eligible for overtime compensation under any circumstances other than First Line Supervisors as noted in 2.2 (a), and the Fuel Buyer/Gas Scheduling, positions, Generation Resources Traders, System Operators at the ECC, and the MFS Analysts as noted in 2.2 (c).

f) Management exempt employees, despite grade or location, assigned to work as part of a special assignment to meet the terms of a Memorandum of Understanding and/or Mutual Aid Agreement.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

ECC – Energy Control Center

E-Week – A week during a rotating 12-hour shift schedule that permits a 32-hour week (4 - 8-hour days) to balance out the rotation

Exempt Employee – one whose job duties meet the established tests for exemption under certain wage and hour laws of the Fair Labor Standards Act, as enforced by the U.S. Department of Labor. Exempt employees receive pay on a salary basis.

Facility-Based – employees whose location of record in SAP is not White Plains or Albany

Headquarters – employees whose location of record in SAP is White Plains or Albany

Individual Contributor – employees who do not have defined supervisory or managerial responsibility for other NYPA employees

Management – all non-bargaining unit NYPA employees

MFS – Market Forecasting Services

Non-Exempt Employee – one whose job duties do not meet the established tests for exemption under certain wage and hour laws of the Fair Labor Standards Act, as enforced by the U.S. Department of Labor.

NYISO – New York Independent System Operator

O&M Budget – Operations and Maintenance Budget

Overtime - Time worked beyond the employee's normally scheduled shift

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Workweek – Sunday through Saturday

4 RESPONSIBILITY

4.1 A Business Unit Head or Regional Manager, or their designee will establish the event (Section 1.2) for which overtime will be paid, and will be accountable for the direction, authorization and administration of overtime as covered by this policy.

4.2 The Controller, or designee, will provide periodic reports of overtime paid including year-to-date totals, to the Business Unit Head or Regional Manager. The Business Unit Head or Regional Manager, or their designee will reconcile these reports against authorizations required by this policy and promptly notify the Controller or designee in writing of any discrepancies that require correction.

4.3 The Business Unit Head is responsible for the prudent use of overtime within the parameters established by the approved O&M Budget.

5 POLICY IMPLEMENTATION

5.1 Non-Exempt Overtime

5.1.1 On those occasions when it is necessary for non-exempt employees to work in excess of their basic workweek [see Attendance and Flexible Hours policy (EP: 4.6)], all additional time worked must be directed and authorized in advance in accordance with Section 1.2 of this policy.

5.1.2 Notwithstanding the requirements of Section 5.1.1 above, under the Fair Labor Standards Act, all non-exempt employees who work in excess of their basic workweek must record and be paid for all time worked.

5.1.3 The rate of pay for non-exempt employees is as follows:

a) Straight time for up to 40 hours in a workweek.

b) 1½ times the straight time equivalent hourly rate of the annualized salary for those hours worked beyond 40 hours in a workweek. Payment for time worked on a scheduled holiday will be paid at 1½ times the equivalent hourly rate.

5.1.4 Generally, time spent traveling on company business will not be counted as hours worked for overtime computation purposes. However, each situation is unique and should be confirmed with the Compensation group.

5.1.5 For non-exempt employees, work time spent as a required or assigned participant in any training program, lecture, meeting or workshop, will be paid at the applicable rate of pay (Section 5.1.3) for that time period. Additional detail on non-exempt overtime reporting is available on the PowerNet under Human Resources – Compensation

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5.2 Exempt Overtime

5.2.1 Time worked in excess of the scheduled workweek at an exempt employee's discretion will not be compensated. For eligible management exempt employees, all paid overtime must be approved in advance in accordance with Sections 1.2 and 5.3.

a) For exempt employees on 12-hour shifts, overtime is any time outside the regularly scheduled shift, regardless of the number of hours in the shift. If the scheduled rotation results in greater than 40 hours per week over the course of the year (e.g., 3 day on/3 day off continuous rotation), then the additional hours over the regular 2,080 hours will be built in overtime. With management's approval, trading of hours with another employee should result in an equal number of hours and the new hours become part of the regular schedule. For schedule rotations that include an "E-week" of four 8-hour shifts, the employee's schedule can be modified to backfill for shifts as needed, and all hours greater than 32 for the week would be paid as overtime.

5.2.2 For eligible management exempt employees in, or temporarily acting in a First Line Supervisor role, approved overtime will be paid at 1½ times the hourly equivalent of the exempt employee's salary for hours of actual supervision. The First Line Supervisor role is defined as mandatory, supervisory attendance to direct and support oversight of collective bargaining unit employees, or contractors performing work associated with maintenance or capital improvements, to assure accountability of work quality, and safety compliance. Similarly, Transmission System Operators and Day Ahead Traders approved overtime will be paid at 1½ times the hourly equivalent of their exempt salary for hours performing their primary duty. Any other overtime hours, if approved, will be paid at a straight time rate.

5.2.3 Eligible individual contributor employees may be paid for all hours worked, in accordance with section 1.2. Approved overtime will be paid at the straight time hourly equivalent of the exempt employee's salary.

5.2.4 Exempt employees who are pre-approved to work during a scheduled holiday will be paid at 1½ times the hourly rate for First Line Supervisors (as defined in 5.2.2), and 1 times the hourly rate for non-supervisory employees for actual hours worked in addition to their normal straight time pay for the holiday.

5.2.5 Exempt management employees who are called to respond to an emergency/crisis situation should refer to EP 2.5, "Management Exempt Emergency/Crisis Response Compensation".

5.3 Approval and Time Records

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pertaining to NYPA.

5.3.1 For eligible management exempt employees, an Overtime Approval form must be completed stating, at a minimum, the employee's name, period of time for which the overtime has been requested and approved, a brief description of the task, and the employee's basic workweek hours. Each operating facility may have a standard Overtime Approval form. These must be reviewed and approved (signed) by a Business Unit Head and/or Regional Manager, or designee, as appropriate. These records are retained by the applicable department or facility.

5.3.2 Payment for authorized overtime under the guidelines of this policy will be charged to the operating budget where the work is performed. The approved time report must clearly indicate the appropriate facility program code number to charge.

5.3.3 Payment to a management exempt employee for overtime that has not been specifically directed or authorized by those delegated the responsibility by this policy, will not be permitted under any circumstances. Issues with unauthorized non-exempt overtime will be addressed through the performance management process. [See Section 5.1 regarding treatment of non-exempt employees.]

5.3.4 This policy supersedes all prior policies and procedures regarding overtime for exempt and non-exempt personnel.

6 VIOLATIONS

Violations of this Policy and related policies and procedures by employees may result in disciplinary action up to and including termination.

7 REFERENCES

EP 2.5 Management Exempt Emergency/Crisis Response Compensation. [Powernet → Quick Links → Employee Policies → EP 2.5]

Non-exempt Compensable and Overtime FAQs: Powernet → Compensation → Non-exempt Compensable and Overtime FAQs

8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision Cycle: Every Other Year

9 ATTACHMENTS

N/A

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E-Signature Approval History

Role	Name	Approved Date
Final Approver	Pizzo, Kristine	5/18/2020
Executive Owner	Saslow, Karina	5/7/2020
Content Owner	McDonnell, Robyn	4/23/2020

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Title: Management Time Away from Work

Document Type:	Employee Policy
Document Number:	EP 3.12
Revision Date:	11/25/2020
Final Approver:	*Pizzo, Kristine* EVP Chief HR & Administrative Officer
Executive Owner:	Coyne, Kristen (Lennihan) Director Total Rewards
Content Owner:	Verdesi, Brenda Manager Benefits

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Management Time Away from Work

Note: Revision # should be listed in descending order starting with most recent version at the top.

Revision Date (For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
11/25/2020	2	• Removed references to Collective Bargaining Unit employees throughout policy. • Clarify vacation carryover • Change in NYS voting regulations	2.2 5.2.3 5.5 5.6 5.11 5.16 5.17 5.18 5.20 5.21 5.1.6 5.21	Brenda Verdesi, Manager, Benefits
9/3/2020	1	• Eliminated five policies and incorporated into this new policy: ○ 3.2 Vacation ○ 3.4 Leaves of Absence ○ 3.9 Sick Leave Policy ○ 3.10 Management Salary Continuation ○ 3.11 Management Vacation Donation Program • Waiting period for salary continuation begins on the eighth (versus sixth work day) consecutive calendar day • Employees eligible for Parental Leave benefits after six months of employment (shortened from 12), consistent with PFL • Two NYPA employees who are caregivers for the same child; each one is eligible for the 11 weeks of Parental Leave benefit • New hires eligible for salary	All	Brenda Verdesi, Manager, Benefits

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		continuation after one month of employment (shortened from one year)
		• Employees can use up to two days off for any type of volunteer work as individual or group activity. Simplified criteria for taking days.
		• Military benefits documented and enhanced from 30-day policy to provide a three-tiered approach for time away for active duty or training; two days travel time; and a paid day for mandated annual military physicals.
		• Incorporated additional legally required policies:
		  ○ Domestic Violence
		  ○ Cancer Screening
		  ○ Lactation Time & Space
		  ○ Organ & Bone Marrow Donation
		  ○ Election Voting		

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Please refer to Employee Policy EP 0.0 NYPA DISCLAIMERS where you will find a statement which pertains to all Employee Policies including this one.

1 PURPOSE AND SCOPE

This policy provides the requirements for a New York Power Authority (NYPA) Management employee to take time away from work under one of the following programs:

- vacation
- vacation donation program
- sick
- sick leave usage
- New York State Paid Family Leave
- Family and Medical Leave Act (FMLA)
- salary continuation
- parental leave
- long term disability
- workers' compensation
- floating holiday
- leave of absence
- bereavement time for death in the family
- jury duty
- military leave
- unpaid personal leave
- domestic violence
- cancer screening
- lactation time and space
- paid volunteer time
- organ and bone marrow donation
- election voting

2 APPLICABILITY

2.1 This Policy applies to full and part time Permanent and Provisional Management NYPA employees (as defined in EP: 3.1). Unless specified below, Temporary Employees (as defined in EP: 3.1) are not eligible for such paid leave.

2.2 This policy does not apply to Collective Bargaining Unit (or represented) employees.

2.3 Contingent Workers are not eligible for or entitled to participate in or receive benefits under any benefit plan, policy, or practice offered by NYPA, its parents, affiliates, subsidiaries, or successors.

2.4 Time away taken under this policy may run concurrently with the NYS Paid Family Leave or FMLA leave, if applicable. For Information on Family and Medical Leave, see. See EP 3.3.

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3 INITIALISMS (ACRONYMS) AND DEFINITIONS

Accrual – The number of sick or vacation days an employee has earned during the calendar year but has not taken.

Committee – Group of representatives from HR, Benefits, Legal, Ethics, Employee Relations, and local HR representative.

Contingent Worker - Workers whose compensation is paid directly by a third party and who are not paid directly through the NYPA payroll system.

Credits – The number of vacation days added to an employee's vacation balance on January 1 of each calendar year, or employment date for new employees.

Critical Personal Situation – A personal crisis of a severe nature that directly impacts the employee. This may be a critical or catastrophic illness or injury of the employee (non-work related) or an immediate family member (spouse, domestic partner, child, parent or other relationship in which the employee is legal guardian or sole caretaker) that poses a threat to life and/or requires inpatient or hospice health care. A critical personal situation may also include a natural disaster impacting the employee's primary residence, such as a fire or severe storm.

Employee(s) – Permanent and Provisional Management employees

EML - Employee Medical Leave – An employee's qualifying "serious health condition" that makes an employee unable to perform the functions of their position and is eligible for EML. EML may be work related or non-work related.

FMLA- Family and Medical Leave Act

Immediate Family - An employee's spouse, mother, father, stepmother, stepfather, brother, brother's spouse, sister, sister's spouse, child, child's spouse, stepchild, grandparents, grandchildren; or an employee's spouse's mother, father, brother, sister, children, or grandparents. For these purposes' "spouse" will include domestic partners.

Management – Non-Collective Bargaining Unit/represented employees

Parental Leave – Time away from work for the birth of a child and to bond with the newborn child within one year of birth. Also provides time away from work in connection with the birth, to bond with, travel for and placement of a child for adoption or foster care within one year of initial placement in the home, or adoption, whichever comes first.

PVT - Paid Volunteer Time

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Reasonable Accommodation - Assistance or changes to a position or workplace that will enable an employee to perform job duties despite having a disability or pregnancy-related condition or having to engage in a religious practice or observance.

4 RESPONSIBILITY

Responsibility and oversight of this policy resides with the approver unless otherwise noted here in.

5 POLICY IMPLEMENTATION

The following are time away from work benefits that NYPA offers to eligible employees. An employee who needs any of the following time away from work must notify and obtain the approval of their supervisor as soon as possible. The employee's time, indicating the reason for the absence, must be entered in the Payroll time entry system and the appropriate documentation must be submitted to the employee's supervisor. NYPA will provide these and other types of time away from work in compliance with New York State and/or Federal Laws and regulations. Employees can request a reasonable accommodation by contacting the Office of Civil Rights and Inclusion. Reasonable accommodations will be considered according to CP 1-11.

5.1 Vacation

5.1.1 Permanent Full-time Management employees receive vacation days as follows:

a) Employees are credited with 20 vacation days on January 1 of each year.

b) In an employee's first year of NYPA employment, vacation days are credited on a pro-rated basis (rounded up to the nearest half day), based on the employee's date of employment (1/12th of 20 vacation days, or 1 2/3 days for each month of service). For example, if employment began in April, the employee receives 15 vacation days for the year. If employment began in December, the employee receives two vacation days.

c) Employees who have 11 or more years of eligible NYPA service will be credited with an additional ½ vacation day on January 1 immediately after they attain 11 years of eligible service. (See EP 1.9, for transferred time eligibility criteria.) For each succeeding year of service, another ½ day will be credited on the following January 1st of each year until a maximum of 25 days per year is credited upon the January 1st after reaching 20 years of service.

d) If you are on FMLA, Salary Continuation, Paid Family Leave, Parental Leave, Military Leave or any paid leave of absence, you are credited with vacation on January 1;

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anything beyond that (i.e.: unpaid personal leave, medical leave extending beyond 12 weeks of FMLA, long term disability) would receive pro-rated time upon return.

5.1.2 Permanent Part-time Management employees are credited vacation days on a pro-rated basis contingent on the assigned number of hours worked per week. If part-time employees become full time during the year, their vacation days for the year will be adjusted on a pro-rated basis.

5.1.3 Provisional Management employees, employed on January 1, are credited with 10 vacation days per year for their first two full years of employment, and 15 vacation days in their third year. In the first calendar year of provisional employment, vacation will be pro-rated for each month of service.

5.1.4 Employees may use approved vacation days in full or half day increments.

5.1.5 Once an employee has submitted a voluntary resignation or retirement, vacation usage is subject to supervisory approval. To be eligible for unused accrued vacation payout, an employee must be physically at work on their last day of employment.

5.1.6 Up to 40 vacation days may be carried over from one year to the next. In the event of an employee's death, payment for accrued and unused vacation days will be paid in coordination with Section 5.3.6.

5.2 Vacation Donation Program

5.2.1 NYPA recognizes that Employees may have a family emergency or a personal crisis that causes a severe impact to them resulting in a need for additional time off in excess of their available sick/vacation time. To help these Employees, the Vacation Donation Program allows staff to donate vacation time to be held in a bank for staff to use when on leave for a Critical Personal Situation.

5.2.2 The Vacation Donation Bank (referred to as "the Bank") is a general bank of days that has been voluntarily donated by eligible NYPA employees from their unused vacation balances. As time donated from employees will differ in value, the allocation and distribution of this leave will be calculated based on value and not time.

5.2.3 The Bank is for use by active eligible Management employees.

5.2.4 Under IRS regulations donations are taxable compensation based on the donor's rate of pay at the time of donation and will be treated as W-2 wages for the donee. Payments received by an employee from the Bank are valued at the salary at the time of request and treated as W-2 wages for all income and employment tax withholding purposes.

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5.2.5 Criteria for Donating Leave

All eligible employees who choose to donate vacation must have a minimum of one year of service and must meet the guidelines outlined below. Only employees who have donated unused vacation balances can apply to participate in the plan as a recipient.
a) Donors must have a minimum of five days remaining in their vacation bank after donating vacation day(s).
b) Employees must donate at least one day each calendar year to remain active in the plan year, which is the following calendar year. There is no maximum as to how many days one can donate.
c) Employees cannot borrow against future vacation time to donate.
d) All donations must be in full day increments only.
e) Part-time employees may donate their full-day equivalent, and their participation in the plan will be calculated on a pro-rated basis.
f) Employees on 12-hour shift schedules will donate in 8-hour day equivalents. Their participation in the plan will be based on an 8-hour workday, 5-day work week.
g) Employees on a leave of absence during the donation period may not donate their time.
h) All donations are irrevocable.
i) Donors will remain anonymous.

5.2.6 Eligibility for Receiving Donations

All eligible employees with one year of service with NYPA are eligible to make a request. Guidelines are as follows:
a) Employees who would like to make a request to receive donated leave must have circumstances that qualify as a Critical Personal Situation.
b) All requests must be made on the Critical Personal Situation Request Form.
c) Employees making the request must have depleted all sources of paid time off, including sick time, vacation time, floating holidays, New York State Paid Family Leave, parental leave, and salary continuation, if applicable.
d) Employees will not be granted leave from the donation Bank instead of, or as a supplement to, long-term disability benefits.
e) Full-time employees who are eligible to receive donated leave may receive up to four weeks in a 12-month period calculated as the 12-month period measured forward from the first day of the Vacation Donation usage. Time can be taken consecutively or intermittently in full days. Part-timers may receive up to 4 weeks at a pro-rated amount.
f) All time allocated from the donation Bank will be converted and distributed based on dollar value of the recipients' rate of pay at the time of request, not by donated hours.
g) Illnesses and/or injuries may not be job related.
h) Illnesses and/or injuries must be supported by acceptable medical documentation as determined by the review committee. By signing the application for this paid leave, employees are agreeing that their personal information may be shared with the Committee making decisions on this request. Every effort will be made to maintain confidentiality.

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5.3 Sick

5.3.1 Sick time is provided to address the below scenarios and is not to be substituted for any other types of absences:

a) an employee's illnesses or injuries
b) an employee's trips to a health care provider (including reasonable travel and actual visit time)
c) a family member's illness or injury. A family member is a child, spouse, parent (not parent-in-law), or domestic partner.
d) Family Medical Leave, as specified in EP 3.3, and the first 5 business days of absence under Parental Leave.
e) New York State Paid Family Leave, if employee elects to use accrued sick leave while on PFL.

5.3.2 Full-time Management employees accrue sick time as follows:

a) 3.46 hours per pay period if on a 37.5-hour work week

b) 3.69 hours per pay period if on a 40-hour work week

5.3.3 Part-time Management NYPA employees (working 20 or more hours per week, but less than full-time weekly work hours) and Provisional employees that work less than full-time (working at least 30 hours or more per week) accrue sick leave on a prorated basis based on the number of hours the employee is scheduled to work.

5.3.4 There is no maximum on the amount of sick leave Credits that may be carried over from one year to another.

5.3.5 If, for an entire pay period, an employee is on a personal leave of absence without pay, medical leave extending beyond 12 weeks of FMLA (see EP 3.3), or long term disability (LTD), they will not accrue sick leave Credits until they return to work.

5.3.6 In the event of death, payment for accrued and unused sick leave will be paid first to the beneficiary as named in the employee's group life insurance policy as permissible under the NYS Surrogates Court Procedure Act § 1310 ("SCPA") with the remainder (if any) paid to the estate of the decedent. If no allocation is permissible under the SCPA, the entire amount of unused vacation sick leave will be paid to the estate of the decedent.

5.3.7 Sick leave will be paid out to employees who qualify as a NYPA retiree (see EP 3.1). Details on payout options at retirement are available in the Retiree Benefits Guide on nypa.gov/benefits.

5.4 Floating Holiday

NYPA provides floating holidays as paid days off from work in lieu of certain regular holidays (See NYPA Holiday Schedule on nypa.gov/benefits). Employees actively at work, on FMLA, Paid Family Leave, Parental Leave, or any paid leave of absence are credited with one floating holiday on the first day of each quarter, not to exceed four in a

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calendar year. Floating holidays do not roll over to following year and are not paid out.

5.5 New York State Paid Family Leave (PFL)

NYPA provides Employees with paid time off for employees who may need time to bond with a new child, care for a sick family member, or assist loved ones when a family member is called to active military service abroad as defined in the New York State's Paid Family leave law. For further information, contact your local HR Representative or HR Services, who will calculate your eligible paid time based on any other time away from work policies, which may run concurrently with PFL

5.6 Family Medical Leave Act (FMLA)

NYPA provides Employees with job protection under FMLA, which requires larger employers to provide employees up to 12 weeks of unpaid job protected leave for a serious health condition for yourself or a family member. Such qualified medical and family reasons may include adoption, pregnancy, foster care placement, family or personal Illness, or military leave. (see E.P. 3.3).

5.7 Management Salary Continuation

Salary continuation is available during an approved Employee Medical Leave (EML) and runs concurrently with FMLA, when applicable. If the EML is intermittent, then intermittent FMLA runs concurrently. Benefits begin on the eighth consecutive calendar day of an employee's disability or after their sick leave is exhausted, whichever is later, and cannot exceed 11 weeks in a 12-month period.

a) Employees, who have worked for NYPA for at least 1 month, are eligible to receive salary continuation at 50% of the employee's base pay per day during the covered leave period.
b) Employees have the option of using vacation time and/or floating holidays instead of salary continuation.
c) For Part-time or Provisional Management employees that are less than Full-Time, Salary Continuation will be paid on a prorated basis based on their weekly work schedule.

5.8 Parental Leave

Parental Leave is available to Employees and runs concurrently with FMLA and PFL, when applicable. Employees who have worked for NYPA at least 6 months are eligible for 100% of the employee's base pay per day during the covered leave period.

Benefits begin on the eighth consecutive calendar day of leave. Employees have the option of using sick, vacation time and/or floating holidays for the waiting period.

If two NYPA Management employees are the caretakers for the same child, both are eligible to take Parental Leave. Both employees may take leave consecutively or

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intermittently, and simultaneously. However, time off approval will be consistent with business necessity and will not be unreasonably denied.

For Part-time or Provisional Management employees that are less than Full-Time, Parental Leave will be paid on a prorated basis based on their weekly work schedule.

5.9 Performance Assessments while on a Leave of Absence

Annual performance assessments should be based on performance in the previous assessment year, regardless of the length of time the employee was on an approved paid leave. Merit increases will be paid retroactively upon an employee's return to work.

Other increases while on leave will be determined on a case by case basis.

In neither situation will the amount of the increase be affected by the leave.

5.10 Long Term Disability (LTD)

Employees may be eligible for benefit payments under the Long-Term Disability Plan they elected once they have been on leave for three consecutive months for their own illness or injury, and after they have exhausted all of their accrued sick time. Provisional employees are not eligible for LTD. Information is provided in the LTD booklet available from HR Services.

5.11 Workers Compensation

Employees are provided with Workers' Compensation insurance which provide medical and wage benefits to employees that are injured or become ill at work.

5.12 Bereavement Time for Death in The Family

5.12.1 NYPA provides eligible Employees three days of paid time off at the employee's base salary rate, when there is a death in an employee's Immediate Family as defined in Section 3. Bereavement days can be used consecutively or intermittently.

5.12.2 Employees should use vacation or a floating holiday when the deceased is someone other than immediate family, or if more than the three days provided for in this policy are needed.

5.13 Jury Duty

5.13.1 NYPA provides eligible Employees paid time off that is needed to fulfill jury duty service. All classifications of Temporary Management employees are entitled to a leave of absence due to jury duty as required by law.

5.13.2 Employees are paid for all days served on jury duty at their base salary in effect upon commencement of leave.

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5.14 Military

5.14.1 If an eligible Employee is a member of the National Guard or the reserve personnel of the federal uniformed services, they will be allowed a certain number of days off as outlined below, for military service. Days are defined as scheduled workdays.

a) Full base pay for 30 workdays per calendar year regardless of type of leave (training, drills, active duty, etc.)

b) "Differential pay" for an additional 60 workdays for long-term deployment (greater than 30 workdays), regardless of where deployed and regardless of "act of war" determination. Differential pay is the difference between what the employee would normally be paid at NYPA minus pay they are receiving from the military. The employee essentially receives their full NYPA base pay between NYPA and military pay.

c) Differential pay for an additional 90 workdays for long-term deployment outside the U.S., regardless of "act of war" determination

Workday 1-30	**Workday 31 – 90**	**Workday 91 - 180**
Full NYPA base pay	Differential pay between NYPA pay and military pay	Differential pay if on active duty outside U.S.

5.14.2 Documentation of appropriate military orders must be provided prior to the commencement of the leave with as much advance notice as possible. Provide a copy to your local HR Representative.

5.14.3 Upon return from leave, the Payroll Department must receive a copy of the appropriate military orders.

5.14.4 Authorized military leave is paid at an employee's base salary.

a) Employee will receive vacation Accruals while on military leave

b) If a holiday falls during the paid military leave, the employee will be paid for the holiday. The holiday will not be counted toward the 30, 60, or 90 workdays.

Additional military benefits:

a) NYPA will fully subsidize COBRA for dependents not covered under military health plans (i.e., children over 21 up to age 26) while deployed for up to the three-year COBRA eligibility period

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b) Veterans will receive one paid day off each calendar year for a mandated VA military physical, if required, while actively at work.
c) Reservists will receive two paid days per calendar year for travel to military training, drills, etc.

5.15 Unpaid Personal Leave

5.15.1 Before an Employee is placed on an unpaid personal leave, they must exhaust all accumulated vacation and floating holiday leave time. Accumulated sick leave Credits may not be used for personal leave purposes.

5.15.2 Unpaid leaves of absence, to pursue personal interests, will be considered on an individual basis as long as the absence will not adversely affect the department's work goals and needs.

5.15.3 Job security while on an unpaid personal leave will be considered by the respective department in consultation with the Heads of the Business Unit and Human Resources or its designee. Such approvals will be consistent with business necessity and will not be unreasonably denied.

5.15.4 The employee is responsible to pay the benefit contributions during an unpaid personal leave. Arrangements can be made to make up all missed contributions on a post-tax basis upon return to work.

5.15.5 Long-term disability insurance coverage will cease at the commencement of an approved unpaid leave but will resume upon the employee's return from leave. New York State Retirement System participation will continue but the employee will not earn service credit during the unpaid period of the leave. Service Credit will resume upon an employee's return from leave.

5.15.6 If an employee is on an unpaid personal leave on January 1, they will receive sick and vacation time credits on a pro-rated basis upon their return to work. If an employee receives sick and vacation Credits on January 1 and commences an unpaid leave after that date, they keep the sick and vacation time Credited on January 1.

5.15.7 When an employee is on an unpaid personal leave they will not receive holiday pay if a holiday occurs during the leave.

5.15.8 Before an employee's return from an approved unpaid personal leave, the supervisor must notify their local HR Representative, so that the necessary payroll and benefits transactions can be initiated to return the employee to active status. The employee cannot return to work at their discretion.

5.15.9 Employees can request a reasonable accommodation by contacting the Office of Civil Rights and Inclusion. Reasonable accommodations will be considered according to CP 1-11.

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5.16 Domestic Violence

NYPA will provide Employees a reasonable accommodation to victims of domestic violence per New York State Law. Employees can request reasonable time off for the following reasons:

a) Seek medical attention for injuries caused by domestic violence
b) Obtain services from a domestic violence shelter, program, or rape crisis center
c) Obtain psychological counseling related to an incident of domestic violence
d) Participate in safety planning or to take other actions to increase safety from future incidents of domestic violence
e) Obtain legal services, assist in the prosecution of the offense, or appear in court in relation to the incident of domestic violence.

For any type of reasonable accommodation, contact the Office of Civil Rights & Inclusion. Employee Relations and local HR representatives can provide support to employees who have concerns related to Domestic Violence.

5.17 Cancer Screening

5.17.1 Employees are eligible for up to four hours on a calendar year basis, to undertake a screening for cancer, per New York State law.

5.17.2 Employees are entitled to this time away from work for cancer screening scheduled during their regular work hours. If an employee undergoes cancer screenings outside their regular work hours, they do so on their own time.

5.18 Lactation Time and Location

5.18 NYPA will provides Employees a reasonable paid break time or mealtime each day to allow an employee to express milk for nursing a child for up to three years following the birth of the child. NYPA shall also make reasonable efforts to provide a room or location, near the work area, where the employee can express milk in privacy. If you need this accommodation, contact your local HR representative.

5.19 Paid Volunteer Time (PVT)

5.19.1 NYPA will provide up to two days of Paid Volunteer Time (PVT) annually to permanent full-time, active duty Employees to volunteer with approved, eligible charitable and not-for-profit entities having Federal tax-exempt or tax-deductible status.

5.19.2 The days may be used for an individual or team volunteer project.

5.19.3 Employees may request to use PVT in full-days or half-days. PVT hours must be used

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during normal business hours. PVT will be paid at an employee's normal rate of pay and is not subject to overtime rates or any other expenses that are associated with such leave. Unused PVT may not be carried over to the next calendar year.

5.19.4 Employees requesting PVT must obtain advance supervisor and Human Resources approval on the PVT Request Form. Additional approval of the Ethics and Compliance Office is required where conflicts of interest or other ethics issues may exist.

Volunteering that is part of a NYPA Team Building activity or Employee Resource Groups, will not count towards your PVT days.

NYPA cannot approve requests for certain activities/projects, including, but not limited to, those which:

a) pose a potential conflict of interest for NYPA or are not aligned with the Code of Conduct
b) pose safety or security risks to employees (e.g. clean-up work at a disaster site)
c) benefit charities or fundraisers with the sole purpose of providing support to a named individual or a named family
d) influence legislation, lobbying activities or involve appointed or elected officials, political parties or political initiatives
e) involve religious programs of churches, temples, mosques, or other sectarian organizations.

5.20 Organ/Bone Marrow Donation

5.20.1 NYPA will provide leave with pay for Employees who are either bone marrow donors or organ donors per New York State Law. Employees can take up to seven days paid leave to undergo a medical procedure to donate bone marrow and up to thirty days paid leave to serve as an organ donor.

5.20.2 The provisions of this section do not affect an employee's rights with respect to any other employee benefit otherwise provided by law.

5.21 Election Voting

5.21.1 Per New York State Law, all registered voters are eligible for up to two hours of paid time off to vote if they do not have "sufficient time to vote" (i.e. four consecutive hours to vote before or after their work schedule) , to enable them to vote in any public election. Public election includes federal, state or local elections or primaries. See New York State Voting Leave Rights for details.

https://www.elections.ny.gov/NYSBOE/elections/TimeOffToVoteFAQ.pdf

5.21.2 Employees must be registered to vote and must provide their manager at least two days advance notice of the need for the time off. Managers may designate whether this time must be taken at the beginning or end of the shift.

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6 VIOLATIONS

N/A

7 REFERENCES

7.1 Family & Medical Leave Act (EP 3.3) PowerNet → Quick Links → Policies & Procedures → Employee Policies and Procedures

7.2 Management Employee Categories and Eligibility for Benefits (EP 3.1) PowerNet → Quick Links → Policies & Procedures → Employee Policies and Procedures

7.3 Flexibility Plan Overview of Employee Handbook PowerNet → Work-Life → Benefits

7.4 New York State Law

7.5 Human Rights Law

7.6 New York State Paid Family Leave Law

7.7 CP 1.1 PowerNet → Quick Links → Policies & Procedures → Company Policies and Procedures

7.8 EP 1.9 PowerNet → Quick Links → Policies & Procedures → Employee Policies and Procedures

8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision Cycle: Every Year

9 ATTACHMENTS

N/A

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E-Signature Approval History

Role	Name	Approved Date
Final Approver	Pizzo, Kristine	11/25/2020
Executive Owner	Coyne, Kristen (Lennihan)	11/23/2020
Content Owner	Verdesi, Brenda	11/23/2020

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Title: Reasonable Accommodation Policy for Applicants and Employees with Disabilities and Pregnancy-Related Conditions

Document Type:	Company Policy
Document Number:	CP 1-11
Revision Date:	1/6/2020
President:	*Quiniones, Gil* President & CEO
Executive Owner:	Pizzo, Kristine EVP Chief HR & Administrative Officer
Content Owner:	Harvey, Nancy Dir Office of Civil Rights & Inclusion

Reasonable Accommodation Policy for Applicants and Employees with Disabilities and Pregnancy-Related Conditions

Note: Revision # should be listed in descending order starting with most recent version at the top.

Revision Date(For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
1/6/2020	2	Inserted and Pregnancy-Related Conditions Removed reference to contractors and third parties	Title of Policy, Sections 1, 5.1, Attachment 9.1 6	Nancy Harvey, Director, Civil Rights & Inclusion
6/29/2018	1	Conversion to e-Scribe Template, deletion of extraneous language and addition of Pregnancy-Related Conditions	Title of Policy, Sections 1, 5.1, Attachment 9.1	Nancy Harvey, Director, Civil Rights & Inclusion

1 PURPOSE AND SCOPE

NYPA is committed to assuring equal employment opportunity for persons with disabilities and pregnancy-related conditions. To this end, it is NYPA's policy to provide reasonable accommodation to a qualified person with a disability or pregnancy-related conditions to enable such person to perform the essential functions of the NYPA position for which he or she is applying, or in which he or she is employed. This policy is based on the New York State Human Rights Law, Sections 503/504 of the Federal Rehabilitation Act of 1973, as amended, the Americans with Disabilities Act (ADA), and all applicable Executive Orders and Memoranda.

The policy applies to all employment practices and actions. It includes, but is not limited to, recruitment, the job application process, examination and testing, hiring, training, disciplinary actions, rates of pay or other compensation, advancement, classification, transfer and reassignment, and promotions.

By providing reasonable accommodations in a consistent fashion, NYPA as the employer, benefits by:

a) avoiding exclusionary employment practices, policies and consequences;
b) providing equal opportunities for participation in education and training programs; and
c) preserving the retention and upward mobility of qualified employees with disabilities and pregnancy-related conditions.

2 APPLICABILITY

This Policy shall be adhered to by all NYPA employees and by the Director, Civil Rights & Inclusion, with the assistance of the Facility Human Resources (HR) Managers.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

NYPA or Authority – New York Power Authority

HR – Human Resources

Reasonable Accommodation - The New York State Human Rights Law, the Rehabilitation Act of 1973, and the Americans With Disabilities Act require that certain employers provide reasonable accommodation to the known physical or mental limitations of otherwise qualified applicants or employees with disabilities or pregnancy-related conditions, unless the employer can demonstrate that the accommodation would impose an undue hardship on the operation of its business. Reasonable accommodation refers to the modifications or adjustments to a job application process which enables a qualified individual with a disability or pregnancy-related condition to be considered for the position sought and to modifications or adjustments to the work environment or the manner or circumstances under which a job is performed, which permit an employee to perform their job in a reasonable manner. An accommodation is reasonable if it removes or mitigates the barriers to performance caused by the individual's impairment, and does not cause undue hardship to the employer.

Reasonable accommodation may include, but is not limited to: making facilities more readily accessible to individuals with mobility impairments; acquisition or modification of equipment; job restructuring; modified work schedules; adjustments to work schedule for treatment or recovery; reassignment to an available, vacant position for which the employee is qualified; adjustment of examinations, training materials or policies; providing readers or interpreters or providing high or low assistive technology,

such as voice recognition software. Generally, the provisions of personal items or provisions for personal care needs, such as hearing aids or wheelchairs, are not the responsibility of the employer. Personal attendants, when provided by the employee or applicant, should be permitted to accompany and assist the employee or applicant.

While pregnancy-related conditions are treated as temporary disabilities for purposes of applying existing regulations under the Human Rights Law, pregnancy-related conditions need not meet any definition of disability to trigger an employer's obligation to accommodate under the law. Any medically-advised restrictions or needs related to pregnancy will trigger the need to accommodate, including such things as the need for extra bathroom breaks, or increased water intake.

Discrimination - treating an individual differently or less favorably because of his or her protected characteristics—such as race, color, religion, gender, national origin, sexual orientation or any of the other legally protected bases is prohibited by this Policy.

4 RESPONSIBILITY

Responsibility and oversight of this policy resides with the approver unless otherwise noted here in.

5 POLICY IMPLEMENTATION

5.1 Reasonable accommodation must be considered in all employment decisions. NYPA may not deny any employment opportunity to a qualified employee or applicant with a disability or pregnancy-related conditionswith the intent to avoid the need to make a reasonable accommodation, unless the accommodation would impose an undue hardship. This protects the individual's right to equal job opportunity.

5.2 Requests for reasonable accommodation may be made orally or in writing to the employee's immediate, next level, or a higher level supervisor, the Facility HR Manager or the Director, Civil Rights & Inclusion; however, an oral request must be contained and submitted on the "Request for Reasonable Accommodation" form in Attachment 9.1. The form is available from the Director, Civil Rights & Inclusion and on the Powernet (NYPA Homepage → Work-Life → Civil Rights & Inclusion (formerly Affirmative Action Office).

5.3 NYPA prohibits and will not tolerate any act of discrimination against an employee on the basis of an individual's age, race, creed, color, national origin, sexual orientation, gender identity, military status, sex, disability, predisposing genetic characteristics, marital status, prior arrest or conviction, or domestic violence victim status. The prohibition on discrimination extends to all recruitment, hiring, promotion, compensation, training, retention, and disciplinary decisions and practices.

5.4 No intimidation, coercion, or reprisal will be permitted against any individual reporting alleged discrimination or seeking an accommodation. Federal and State laws prohibit retaliation against any individual who requests a reasonable accommodation, or who files a charge of discrimination, participates in a discrimination proceeding, or otherwise opposes an unlawful practice.

6 VIOLATIONS

Violations of this Policy and related policies and procedures by employees may result in disciplinary action up to and including termination. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state or local laws.

7 REFERENCES

New York State Human Rights Law

Sections 503/504 of the Federal Rehabilitation Act of 1973, as amended

Americans with Disabilities Act (ADA)

8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Year

9 ATTACHMENTS

If this policy does not have any attachments please note N/A

Attachment 9.1: Request a Reasonable Accommodation Form

Changes to attachments necessitate a revision to the document

ATTACHMENT 9.1

NEW YORK POWER AUTHORITY
Sections A through D

Application to Request

Reasonable Accommodation of a Disability or Pregnancy-related Condition

Application for reasonable accommodation may be made to the supervisor, the Facility HR Manager or the Director, Civil Rights & Inclusion, formerly the Affirmative Action Officer (NYPA's Designee for Reasonable Accommodation ("DRA")). If the request is made to the supervisor or the Facility HR Manager, they will forward the request to the DRA. **All confidential information received by NYPA personnel pertaining to your request shall be handled as such.** All medical information is confidential and maintained separately from personnel records.

Section A

(To be completed by employee and returned to supervisor or *DRA*)

Name	Civil Service Title	Job Title (if different)
Office/Unit	Work Location	Telephone Number(s)
E-mail address:	Preferred method of communication:	

I am requesting the following reasonable accommodation(s):
It is necessary for me to have this accommodation for the following reason(s):

Employee Signature	Date

The employee should retain a copy of this form. The original is filed by the *DRA*.

Application to Request Reasonable Accommodation of Disability or Pregnancy-related Condition

Section B

Initial Response to Request for an Accommodation
(To be completed by DRA)

Name of Employee:

We have reviewed your application for an accommodation.

☐ Your request has been approved

Comments:

☐ No decision has been made at this time. We will continue to assess your request. The DRA will contact you within the next two weeks.

Comments:

DRA's Signature Date

DRA's name:

The employee should retain a copy of this form. The original is filed by the DRA.

Application to Request Reasonable Accommodation of Disability or Pregnancy-related Condition

Section C

Notification of Need for Additional Information

(To be completed by the *DRA* and returned to the employee)

Name of Employee:

We are continuing to assess your request. To make a determination, we need the following information:

☐ **Medical Documentation**

Please inform your doctor of your application for an accommodation and have your doctor send us medical documentation, indicating the limitations that your disability would place on your job performance.

☐ A copy of the duties description for your title; or -

☐ A list of the essential functions of your position is attached for the doctor's reference.

Information should be sent by the following date: , _____.

The report should be provided to the DRA at 123 Main Street, Room 1616, White Plains, NY 10601, Attention: Nancy Harvey; (914) 681-6242.

All medical information pertaining to reasonable accommodation must be kept confidential by the Agency.

☐ Other

Explain:

☐ We require no additional information from you at this time.

NYPA's review process will include an evaluation of all relevant information. This may include an interview with you and/or your supervisor. After completion of the review, you will be informed in writing by the DRA regarding NYPA's decision.

We anticipate that the decision will be made by: , _____.
If you have any questions, please call the DRA.

3

Signature of *DRA*	Date

The employee should retain a copy of this form. The Original is filed by the DRA.

Application to Request Reasonable Accommodation of Disability or Pregnancy-related Condition

Section D

Notification of Agency Determination:

(To be completed by the DRA and returned to the employee)

Name of Employee:

Based on the information you provided, NYPA is able to provide you with a reasonable accommodation of your disability or pregnancy-related condition, as follows:

☐ The accommodation is granted as you requested in your application.

☐ The accommodation granted differs from the accommodation you requested, as follows:

Please discuss this with your supervisor. A letter from the DRA confirming this decision will be sent to you within the next week once you accept the accommodation. If you have any questions, please call the DRA. The employee should retain a copy of this form, and return the original with his or her signature to be filed by DRA.

I accept ____/ reject ___ the above reasonable accommodation.	
Employee Signature	Date

-or-

Based on the information you provided, NYPA is unable to provide you with a reasonable accommodation for

your disability or pregnancy-related condition, as you requested on, (date).

We are denying your request for the following reason(s):

Signature of *[DRA]*	Date

If you have any questions, please call the DRA. The employee should retain a copy of this form. The original will be filed by the DRA.

Remedies relating to Dissatisfaction with Agency's Reasonable Accommodation Determination

A letter from the DRA confirming the decision will be sent to you within the next week after you receive the Notification of Agency Determination. If you are dissatisfied with the determination, you now have several options:

1. You may choose to accept this decision and end the process; or

2. You may choose to file an internal discrimination complaint at this time if you feel that NYPA's determination is unlawful.

3. In addition to the options stated above, other alternatives may also be available. These include, but are not limited to:

- filing a complaint with any compliance agency designated under Sections 503/504 of the Rehabilitation Act of 1973;
- filing a complaint with the New York State Division of Human Rights;
- filing a complaint with the Equal Employment Opportunity Commission or any appropriate federal oversight agency under the American with Disabilities Act; and
- filing a private right of action to challenge the alleged discriminatory act, under the New York State Human Rights Law, or any applicable statute.

You may initiate these alternatives after the first denial by NYPA of your request for an accommodation. Although these time limitations vary, the time for filing a complaint pursuant to all the alternatives begins to run when NYPA first denies your request for an accommodation.

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However, you should consult with the appropriate anti-discrimination agency as to the time limitations for initiating such an action.

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E-Signature Approval History

Role	Name	Approved Date
President	Quiniones, Gil	1/6/2020
EVP Chief HR and Administrative Officer	Pizzo, Kristine	12/11/2019
General Counsel	Driscoll, Justin	12/11/2019
Chief Operation Officer	Kessler, Joseph	12/11/2019
Executive Owner	Pizzo, Kristine	12/11/2019
Content Owner	Harvey, Nancy	10/14/2019

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Title: Reasonable Accommodation of Religious Observances or Practices Policy for Applicants and Employees

Document Type:	Company Policy
Document Number:	CP 1-12
Revision Date:	1/6/2020
President:	*Quiniones, Gil* President & CEO
Executive Owner:	Pizzo, Kristine EVP Chief HR & Administrative Officer
Content Owner:	Harvey, Nancy Dir Office of Civil Rights & Inclusion

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Company Policy Title:
Reasonable Accommodation of Religious Observances or Practices Policy for Applicants and Employees

Company Policy Number:
CP 1-12

Page:
2 of 8

Reasonable Accommodation of Religious Observances or Practices Policy for Applicants and Employees

Note: Revision # should be listed in descending order starting with most recent version at the top.

Revision Date(For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
1/6/2020	2	Inserted definition of Religious Observance or Practice and replaced Reasonable Accommodation with Reasonable Accommodation of Religious Observance or Practice. Deleted reference to contractors and third parties.	3 6	Nancy Harvey Director, Office of Civil Rights & Inclusion
6/29/2018	1	Conversion to E-Scribe template. Removal of extraneous text from previous version.	N/A	Nancy Harvey Director, Office of Civil Rights & Inclusion

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1 PURPOSE AND SCOPE

The Authority is committed to assuring equal employment opportunity for persons who engage in religious observances or practices. To this end, it is NYPA's policy to provide reasonable accommodation for religious observances or practices. This policy is based on the New York State Human Rights Law, the federal Civil Rights Act of 1964, Title VII, and all applicable Executive Orders and Memoranda. The policy applies to all employment practices and actions. It includes, but is not limited to, recruitment, the job application process, examination and testing, hiring, training, disciplinary actions, rates of pay or other compensation, advancement, classification, transfer and reassignment, promotions, and other terms, conditions or privileges of employment.

By providing reasonable accommodations of religious observances or practices,

the Authority, as the employer, can:

a) avoid requiring its employees to forego the observance of Sabbath or holy days, in accordance with the requirements of their religious beliefs;

b) avoid requiring its employees to unnecessarily compromise their observance of particular manners of dress, hairstyle, beard, or other religious practices, in accordance with the requirements of their religious beliefs; and

c) enhance the retention and upward mobility of qualified employees without regard for their religious observances or practices.

2 APPLICABILITY

This Policy shall be adhered to by all employees.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

NYPA or Authority – New York Power Authority

DRA – Designee for Reasonable Accommodation

Religious Observance or Practice – includes Sabbath or holy day observance, and the observance of a particular manner of garb, attire, hairstyle, facial hair, or other religious practice, which is a sincerely held practice of the individual's religion. An employee who, in accordance with his or her religious beliefs, observes a particular manner of garb, attire, hairstyle, facial hair, or other religious practice, should not be unreasonably required to compromise his or her practice in the workplace. NYPA is required by law to make a bona fide effort to accommodate an employee's or prospective employee's sincerely held religious observance or practice.

Reasonable Accommodation of Religious Observance or Practice – means refraining from imposing upon a person as a condition of obtaining or retaining employment, including opportunities for promotion, advancement or transfers, any terms or conditions that would require such person to violate or forego a sincerely held practice of his or her religion, unless,

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after engaging in a bona fide effort, the employer demonstrates that it is unable to reasonably accommodate the employee's or prospective employee's sincerely held religious observance or practice without undue hardship on the conduct of the employer's business.

Discrimination - treating an individual differently or less favorably because of his or her protected characteristics—such as race, color, religion, gender, national origin, sexual orientation or any of the other legally protected bases prohibited by this Policy.

CRIO – Director, Civil Rights & Inclusion who also serves as NYPA's Affirmative Action Officer and NYPA's DRA

4 RESPONSIBILITY

Responsibility and oversight of this policy resides with the approver unless otherwise noted here in.

5 POLICY IMPLEMENTATION

5.1. Reasonable accommodation must be considered in all employment decisions. NYPA may not deny any employment opportunity to a qualified employee or applicant who is religiously observant, thus attempting to avoid the need to make a reasonable accommodation, unless the accommodation would impose an undue hardship. This protects the individual's right to equal job opportunity regardless of creed.

5.2. Written requests for accommodation should be made using the "Request for Reasonable Accommodation of Religious Observance or Practice" form in Section 9.1. This form is available on the PowerNet and from the Director, Civil Rights & Inclusion (CRIO). Requests for reasonable accommodations should be made to the CRIO, the employee's immediate, next level, or a higher level supervisor or the Facility HR Manager.

5.3. NYPA prohibits and will not tolerate any act of discrimination against an employee on the basis of an individual's age, race, creed, color, national origin, sexual orientation, gender identity, military status, sex, disability, predisposing genetic characteristics, marital status, prior arrest or conviction, or domestic violence victim status. The prohibition on discrimination extends to all recruitment, hiring, promotion, compensation, training, retention, and disciplinary decisions and practices.

5.4. No intimidation, coercion, reprisal or retaliation will be permitted against any individual reporting alleged discrimination or seeking an accommodation. Federal and State laws prohibit retaliation against any individual who requests a reasonable accommodation, or who files a charge of discrimination, participates in a discrimination proceeding, or otherwise opposes an unlawful practice.

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6 VIOLATIONS

Violations of this Policy and related policies and procedures by employees may result in disciplinary action up to and including termination. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state or local laws.

7 REFERENCES

New York State Human Rights Law

Civil Rights Act of 1964, Title VII

8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Year

9 ATTACHMENTS

Attachment 9.1: Section A - Request for Reasonable Accommodation of Religious Observance or Practice

Changes to attachments necessitate a revision to the document

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NEW YORK POWER AUTHORITY
Sections A Through D
Application to Request
Reasonable Accommodation of Religious Observance or Practice

Application for reasonable accommodation may be made to the supervisor, the HR Facility Manager, the ER Manager or the Director, Civil Rights & Inclusion, formerly the Affirmative Action Officer (NYPA's Designee for Reasonable Accommodation ("DRA")). If the request is made to the supervisor, the HR Facility Manager or the ER Manager, they will forward the request to the DRA.

Section A

(To be completed by employee and returned to supervisor or *DRA*)

Name	Civil Service Title	Job Title (if different)
Office/Unit	Work Location	Telephone Number(s)
E-mail address:	Preferred method of communication:	

I am requesting the following reasonable accommodation(s) of my religious observance or practice:
It is necessary for me to have this accommodation for the following reason(s):

Employee Signature	Date

The employee should retain a copy of this form. The original is filed by the *DRA*.

1

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E-Signature Approval History

Role	Name	Approved Date
President	Quiniones, Gil	1/6/2020
EVP Chief HR and Administrative Officer	Pizzo, Kristine	12/11/2019
General Counsel	Driscoll, Justin	10/21/2019
Chief Operation Officer	Kessler, Joseph	10/18/2019
Executive Owner	Pizzo, Kristine	10/16/2019
Content Owner	Harvey, Nancy	10/14/2019

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Title: Equal Employment Opportunity, Anti-Harassment and Anti-Discrimination Policy

Document Type:	Company Policy
Document Number:	CP 1-14
Revision Date:	2/26/2020
President:	*Quiniones, Gil* President & CEO
Executive Owner:	Pizzo, Kristine EVP Chief HR & Administrative Officer
Content Owner:	Harvey, Nancy Dir Office of Civil Rights & Inclusion

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For the latest revision of this document, refer to the Policy and Procedure PowerNet Site.
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Equal Employment Opportunity, Anti-Harassment and Anti-Discrimination Policy

Note: Revision # should be listed in descending order starting with most recent version at the top.

Revision Date(For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
2/26/2020	3	Inserted “and business partner”	1.2.1	Nancy S. Harvey, Director Office of Civil Rights & Inclusion
		Inserted “and pregnancy-related conditions”	1.3	
		Inserted NYS Policy against discrimination	1.4	
		Deleted extraneous language	2	
		Deleted definitions covered in NYS Policy and inserted new definitions	3	
		Deleted Sections 4.1, 4.2 and 4.3 and identified responsible person	4	
		Inserted old Section 4.1	5.1	
		Inserted old Section 4.2	5.2	
		Replaced Section 5.3 with old Section 5.1	5.3	
		Replaced Section 5.4 with old Section 5.2	5.4	
		Replaced Section 5.5 with old Section 5.4 and inserted reference to EO 187 and GOER	5.5	
		Changed Section # from 5.5 to 5.6	5.6	

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		Changed Section # from 5.6 to 5.7 and inserted language referring to ADID and removed language to Section 5.8 Moved language from Section 5.7 to Section 5.8 Changed Section # from 5.7 to 5.9 and updated language Changed Section # from 5.8 to 5.10 Changed Section # from 5.9 to 5.11 and inserted language regarding business partners Changed Section # from 5.10 to 5.12 Changed Section # from 5.11 to 5.13 Updated references for Handbook for Employees of New York State Agencies Inserted new reference for Reasonable Accommodation Policies Inserted new Section referring to EO 187 Inserted new complaint form from GOER Replaced old complaint form with new complaint form	5.7 5.8 5.9 5.10 5.11 5.12 5.13 7.2 7.3 7.4 9.1	
6/29/2018	2	Converting to e-Scribe format Inserted definition of Director Civil Rights & Inclusion	N/A 3	Nancy S. Harvey, Director Office of Civil

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		Deleted reference to 10 Step Process References to Affirmative Action Officer replaced with Director, Civil Rights & Inclusion Updated the name of the Complaint Form	7.3 & 5.4 5.4, 5.6 & 5.8 9	Rights & Inclusion
	1	Reformatted references Modified the definition of "Retaliation" Included "Chief Ethics & Compliance Officer" as an Authority Official Deletion of extraneous text from prior version	3 & 7.2 3 5.6 6	Nancy S. Harvey, Affirmative Action Officer II
	0	Converting to new format, combining the Equal Employment Opportunity employee policy and the Anti-Harassment and Anti-Discrimination employee policy and changing them from Employee Policies to one new Company Policy	N/A	Nancy S. Harvey, Affirmative Action Officer II

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1 PURPOSE AND SCOPE

1.1 Equal Employment Opportunity

1.1.1 The Equal Employment Opportunity (EEO) Act of 1972 established the Equal Employment Opportunity program, which was designed to guarantee fair treatment to all parts of American society without regard to race, religion, age, color, national origin, or sex. The act was aimed at removing all discrimination when it applied to employment.

1.1.2 The Authority is dedicated to diversity in the workforce, which includes equal opportunity and treatment, maximizing outreach to and recruitment from diverse communities, broadening the pool of candidates considered for job openings and promotional opportunities, examining diversity recruitment and retention issues, and encouraging diversity in all activities of the Authority.

1.1.3 The Authority further recognizes that a person's opportunity to obtain, maintain, or achieve advancement in employment with the Authority bears no relation to a person's actual or perceived protected status.

1.2 Anti-Harassment and Anti-Discrimination

1.2.1 Unlawful employee harassment or discrimination is strictly prohibited and illegal under federal, state and local laws. It is the Authority's policy that all employees and business partners are responsible for assuring that the workplace is free from unlawful harassment and discrimination. The Authority is committed to providing each employee and business partner with a professional atmosphere that promotes equal opportunity and access and is free of discrimination and harassment in accordance with all applicable federal, state and local laws in every location in which the Authority has offices or facilities.

1.2.2 NYPA is committed to preventing discrimination based on a protected status and to taking appropriate action with respect to any and all employees and business partners who engage in discriminatory conduct, as well as executive, supervisory, and managerial personnel who knowingly allow such conduct to continue.

1.2.3 This Policy shall reaffirm that no person employed by the Authority shall discriminate against or harass another person in any matter affecting the hiring, promotion, or termination of employment, potential employment, or the terms or conditions of employment, because of their actual or perceived protected status on the basis of such status.

1.2.4 This Policy also prohibits retaliation for reporting or opposing discrimination, or cooperating with an investigation of a discrimination complaint.

1.3 It is also NYPA's Policy to provide reasonable accommodations when appropriate to individuals with disabilities and pregnancy-related conditions and individuals observing

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religious practices. **The Reasonable Accommodation Policies can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 1-11 or 1-12**

1.4 Accordingly, NYPA adheres to New York State's policy against discrimination set forth in its Equal Employment Opportunity In New York State Rights and Responsibilities, A Handbook for Employees of New York State Agencies. **The handbook can be found at https://goer.ny.gov/**.

2 APPLICABILITY

This Policy applies to all applicants, employees and Business Partners.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

Business partners - any and all volunteers, vendors, customers, contractors, consultants or other business or person providing goods or services to NYPA.

ADID - GOER, Anti-Discrimination Investigations Department

Director, Civil Rights & Inclusion - also serves as the Affirmative Action Officer.

EEO – Equal Employment Opportunity Act/Program

GOER - NYS Governor's Office of Employee Relations

NYPA or Authority - the New York Power Authority.

4 RESPONSIBILITY

4.1 Responsibility and oversight of this policy resides with the approver unless otherwise noted herein.

5 POLICY IMPLEMENTATION

5.1 All executives, managers and supervisors have ultimate responsibility for overseeing compliance with this Policy in their respective business units, departments and groups and shall act to ensure that access to services and employment opportunities within the Authority are made available to applicants and employees without regard to actual or perceived protected status.

5.2 All executives, managers and supervisors shall provide an atmosphere free of harassment and discrimination and must act promptly to eliminate any discrimination or harassment which exists in their area of responsibilities or of which they become aware in accordance with this Policy.

5.3 NYPA shall conduct mandatory annual training and other programs to inform, educate and train employees about inappropriate workplace behavior and how to avoid such

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conduct.

5.4 This Policy shall be circulated and made available to all job applicants and employees on the Powernet, by hand, via email and by posting in common areas, as applicable.

5.5 Pursuant to Executive Order 187, all complaints filed by employees, contractors, interns or other persons engaged in employment in NYS agencies must be submitted to GOER. NYPA is committed to addressing discrimination and sexual harassment complaints promptly, consistently and fairly. All complaints will be investigated by the Director, Civil Rights & Inclusion promptly and thoroughly. Confidentiality will be maintained to the extent possible.

5.6 The Authority shall take appropriate corrective action, including disciplinary measures to remedy violations of this Policy. Responsive action may include, for example, training, referral to counseling and/or disciplinary action, such as warnings, reprimands, withholding of a promotion or merit increase, reassignment, temporary suspension without pay, demotion, fines and/or termination.

5.7 Anyone who perceives protected class employment-related discrimination or retaliation at NYPA should, as soon as possible, complete and return the New York State Employee Discrimination Complaint Form (attached below) to ADID at antidiscrimination@goer.ny.gov. The Authority encourages applicants, employees and business partners to report all perceived incidents of protected class employment-related discrimination, regardless of who the offender may be.

5.8 Incidents of perceived protected class employment-related discrimination may also be reported to the Director, Civil Rights & Inclusion or any other Authority official, e.g., a supervisor, Business Group Head, Business Unit/Department Head, VP and Chief Ethics & Compliance Officer, Regional/Plant Manager, Facility Labor Relations Manager or Manager-Human Resources and/or a representative of the Employee Relations Unit in the White Plains Office.

5.9 Incidents of perceived protected class discrimination may be reported by calling the Authority's centralized, outsourced, toll free confidential Hotline at **1-877-TEL-NYPA.** Callers may remain anonymous if they choose to do so. This centralized NYPA Employee Concerns Hotline is accessible twenty-four (24) hours a day, seven (7) days a week.

5.10 If supervisors or managers receive a complaint of, or observe conduct that may constitute a violation of this Policy (i.e. harassment or discrimination), they shall promptly report such complaint or observation to the Director, Civil Rights & Inclusion.

5.11 All employees and business partners are required to cooperate fully with any investigation of alleged violations of this Policy. Any employee who fails to cooperate with an investigation, obstructs an investigation, or obstructs the administration of any remedial or disciplinary action taken as a result of such investigation, shall be subject to

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discipline, up to and including termination. Any business partner who fails to cooperate with an investigation, obstructs an investigation, or obstructs the administration of any remedial action taken as a result of such investigation, shall be subject to termination or severance of the business relationship or contract.

5.12 No person employed by NYPA shall be discharged, disciplined, discriminated against or otherwise subjected to an adverse employment action on the grounds that such person filed a complaint in good faith, testified, provided information, or otherwise assisted any investigation of alleged violations of this Policy.

5.13 Conduct prohibited by this Policy is unacceptable in the workplace and in any work-related setting outside the workplace, such as during business trips, business meetings and business-related social events.

6 VIOLATIONS

6.1 Employees found to be in violation of this Policy shall be subject to disciplinary action, up to and including termination. Business partners found to be in violation of this Policy shall be subject to appropriate action at the sole discretion of the Authority, up to and including termination of any business relationship.

6.2 Any employee who is found to have knowingly made a false accusation of harassment, discrimination, or retaliation, or knowingly provided false information may be subject to appropriate disciplinary action up to and including termination.

6.3 Retaliation against any complainant, witness or cooperating individual is both illegal and a violation of this Policy, as well as the Authority's Anti-Retaliation Policy (see CP 1-7). Any person employed by the Authority who engages in such conduct is subject to disciplinary action, up to and including termination, and any other consequences that the law may provide.

7 REFERENCES

7.1 Authority's Anti-Retaliation Policy (see CP 1-7). **This Policy can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 1-7**

7.2 Equal Employment Opportunity In New York State Rights and Responsibilities, A Handbook for Employees of New York State Agencies. **The handbook can be found on the NYS Governor's Office of Employee Relations Website at https://goer.ny.gov/**

7.3 Authority's Reasonable Accommodation Policies (See CP 1-11 and 1-12). **Reasonable Accommodation Policies can be found on the Powernet → Quick Links → Policies & Procedures → Company Policies → 1-11 or 1-12**

7.4 **Executive Order 187. Executive Order 187 can be found on the NYS Governor's Office of Employee Relations Website at https://goer.ny.gov/**

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8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Year

9 ATTACHMENTS

Attachment 9.1: New York State Employee Discrimination Complaint Form.

Changes to attachments necessitate a revision to the document

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For the latest revision of this document, refer to the Policy and Procedure PowerNet Site.
Records will be retained in accordance with NYPA's approved records retention schedules and/or in compliance with all applicable legal requirements pertaining to NYPA.

NEW YORK STATE OF OPPORTUNITY.

New York State Employee Discrimination Complaint Form

Governor's Office of Employee Relations
Anti Discrimination Investigations Division
Empire State Plaza
Agency Building 2
Albany, New York 12223
antidiscrimination@goer.ny.gov

Instructions: Use this form to file a claim of discrimination based on race, color, national origin, creed/religion, age, disability, military status, arrest/criminal conviction record, marital/familial status, predisposing genetic characteristics, pregnancy and related conditions, domestic violence victim status, gender/sex, sexual harassment, sexual orientation, gender identity, and/or retaliation.

Complete and return this form to the **Governor's Office of Employee Relations, Anti Discrimination Investigations Division**.

Section 1: Complainant Information

Full Name

Preferred Email Address (for complaint related communications)

Agency/Employer | **Title/Business Unit/Facility** | **Work Schedule (days/hours)**

Work Location/Address | **Work Phone #**

Home Address | **Personal Phone #**

Section 2: Supervisory Information

Immediate Supervisor Name | **Title**

Work Location/Address | **Work Phone #**

2nd Level Supervisor Name | **Title**

Work Location/Address | **Work Phone #**

Section 3: Details of Claim

1. Your claim of discrimination is based upon (check all that apply):

- ☐ Race
- ☐ Color
- ☐ National Origin
- ☐ Creed/Religion
- ☐ Age
- ☐ Disability
- ☐ Military Status
- ☐ Arrest/Criminal Conviction Record
- ☐ Marital/Familial Status
- ☐ Predisposing Genetic Characteristics
- ☐ Pregnancy and Related Conditions
- ☐ Domestic Violence Victim Status
- ☐ Gender/Sex
- ☐ Sexual Harassment
- ☐ Sexual Orientation
- ☐ Gender Identity
- ☐ Retaliation (for having engaged in a protected activity)

2. Your claim of discrimination is made against:

Name 1 | **Title**

Agency | **Facility/Work Location** | **Work Phone**

Relationship to you: ☐ Supervisor ☐ Co-worker ☐ Subordinate ☐ Other → Please Specify:

Name 2 | **Title**

Agency | **Facility/Work Location** | **Work Phone**

Relationship to you: ☐ Supervisor ☐ Co-worker ☐ Subordinate ☐ Other → Please Specify:

Continued --->

Records will be retained in accordance with NYPA's approved records retention schedules and/or in compliance with all applicable legal requirements pertaining to NYPA.

NEW YORK STATE OF OPPORTUNITY.

New York State Employee Discrimination Complaint Form

Page 2

3. Date(s) discrimination occurred:

Is the discrimination continuing?
☐ Yes ☐ No

4. Please describe the alleged discriminatory conduct and the reasons the conduct is discriminatory. Please include the names of witnesses, if any, and attach supporting documentation, if available. Attach additional pages, if necessary.

5. Have you filed a claim regarding this complaint with a federal, state, or local government agency? ☐ Yes ☐ No

6. Have you instituted a legal suit or court action regarding this complaint? ☐ Yes ☐ No

7. Have you hired an attorney with respect to the allegations in the complaint? ☐ Yes ☐ No

8. This complaint form was completed by:
☐ Complainant
☐ Supervisor/Manager
☐ Affirmative Action Administrator

Signature _____ Date _____

Return the completed form (by email or mail) to the Governor's Office of Employee Relations, Anti Discrimination Investigations Division:

Empire State Plaza
Agency Building 2
Albany, New York 12223
antidiscrimination@goer.ny.gov

12/2018

Records will be retained in accordance with NYPA's approved records retention schedules and/or in compliance with all applicable legal requirements pertaining to NYPA.

E-Signature Approval History

Role	Name	Approved Date
President	Quiniones, Gil	2/26/2020
EVP Chief HR and Administrative Officer	Pizzo, Kristine	2/6/2020
General Counsel	Driscoll, Justin	1/27/2020
Chief Operation Officer	Kessler, Joseph	1/21/2020
Executive Owner	Pizzo, Kristine	1/21/2020
Content Owner	Harvey, Nancy	12/9/2019

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Title: Travel Policy

Document Type:	Company Policy
Document Number:	CP 2-1
Revision Date:	7/6/2020
President:	*Quiniones, Gil* President & CEO
Executive Owner:	Colon, Ruth VP Enterprise Shared Services
Content Owner:	Powell, Yubetzy Manager Travel

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Records will be retained in accordance with NYPA's approved records retention schedules and/or in compliance with all applicable legal requirements pertaining to NYPA.

Travel Policy

Note: Revision # should be listed in descending order starting with most recent version at the top.

Revision Date(For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
7/6/2020	7	Yearly review. No changes	All 5.1.8 5.2.2	Yubetzy Powell Travel Manager
1/30/2019	6	Converting to the new format; there were 5 prior revisions to this policy. Procedures have been removed from this policy and reside in a separate Travel Procedure document. Added Post Event Report Change Centralized Credit Card to individual employee credit card.	All 5.1.8 5.2.2	Yubetzy Powell Travel Manager

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1 PURPOSE AND SCOPE

This policy establishes guidelines for business travel arrangements and travel expense reimbursements.

2 APPLICABILITY

This policy shall be adhered to by all NYPA employees and members of the Board of Trustees, as well as cost-reimbursable contractors/consultants doing business on behalf of the New York Power Authority.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

CRC – Cost Reimbursable Contractor/Consultant

GSA – U.S. General Services Administration

OGS – New York State Office of General Services

4 RESPONSIBILITY

4.1 The VP of Corporate Support Services has final responsibility for implementation and interpretation of this policy and determines appropriate revisions.

4.2 The Travel Manager is responsible for the maintenance and application of this Policy.

4.3 The Manager authorized to approve an employee's or CRC expense statement is responsible for ensuring that the traveler has complied with the provisions of this policy.

4.4 Travelers are responsible for compliance with this Corporate Policy and also for verification that all travel arrangements are correct.

5 POLICY IMPLEMENTATION

5.1 Travel Management

5.1.1 Employees and CRCs doing business on behalf of the Authority must use the Travel Desk (Power Business Travel) for air, train, hotel and car arrangements in order to be reimbursed for business travel expenses.

5.1.2 Travelers requesting arrangements from the Travel Desk will be forwarded the Travel Profile form by email if a completed profile is not on file. Notification is sent out yearly by email to remind employees to notify the Travel Desk of any updates/changes to their travel information. The Travel Desk will maintain this profile which can be changed at any time by the traveler.

5.1.3 OGS or Authority negotiated discount fares will be considered first for pricing air, train, hotel and car travel requests. Every effort will be made to secure cost-effective arrangements that meet both the traveler's preferences and this policy.

5.1.4 The federal reimbursement rate as referenced in the U.S. General Service Administration (GSA) Domestic Per Diem Rates will be used as a guideline for hotel

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accommodations. The Travel Desk will always attempt to secure the lowest available hotel rates.

5.1.5 The Travel Desk will secure car reservations using the Authority's contracted vendors.

5.1.6 Authority events such as meetings, seminars and training sessions that are held out of the office must be reviewed by the Travel Desk for appropriateness and compliance with NYPA contract terms and conditions regarding rates (cost per person and the total cost of the event as compared to other venues), cancellation policy and standard NYPA requirements.

5.1.7 For out-of-state travel, all NYPA employees shall follow the requirements of NYPA's Out of State Travel Policy (CP 1-13).

5.1.8 Every employee traveling in or out of state for educational purposes (conference, workshop, etc.) is required to develop and submit a detailed post event report and compilation of the following within two weeks of the travel end date and be reviewed and signed by supervisor.

1. Meeting and /or training materials provided at the event
2. Summary of the event
3. Actionable insights/learning to share with other individuals at NYPA
4. Recommended action items and next steps (specifying who will do what by when)

5.1.9 Exceptions or changes to Travel Desk recommended arrangements must be approved by the traveler's Business Unit/Department Head, and submitted to the Travel Desk via email.

5.2 Reimbursement

5.2.1 Policy and procedures for reimbursement of travel expenses are established and implemented by the Accounts Payable Department.

5.2.2 Business air and train travel will be charged by the Travel Desk to the employee's Citibank VISA account. Air/train/car/hotel travel for NYPA business will be expensed by the individual traveler.

5.2.3 The Travel Desk will email an invoice to travelers which will summarize all confirmed travel arrangements and related costs. The invoice must be submitted with expense statements for reimbursement.

5.2.4 Tax exempt forms are to be used to prevent state and local taxes from being added to hotel or car rental bills whenever employees are traveling for Authority business in New York State. New York State taxes will not be reimbursed.

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5.2.5 Expenses incurred for meals will be reimbursed according to the Corporate Accounting Policy (CAP) 1.5, Reimbursement of Employee Meal Costs.

5.2.6 Travelers will not be reimbursed for any travel expenses not in compliance with this policy.

5.3 Corporate Airplane

5.3.1 Use of the corporate airplane is limited to business travel on behalf of NYPA.

5.3.2 The corporate airplane cannot be used solely to transport members of the Board of Trustees.

5.3.3 CRCs performing Authority related work, may utilize the corporate airplane provided that this trip results in no additional cost to the Authority.

5.3.4 The Chairman of the Board of Trustees or the President and Chief Executive Officer may authorize:

1. Non-Authority employees to accompany an Authority employee on the corporate plane for governmental purposes; or
2. Federal, State or Local Government officials to utilize the corporate airplane for government purposes.

5.3.5 All non-NYS employees will be required to sign a written waiver of any claim or liability against the Authority arising out of such use.

5.3.6 The cost of the corporate airplane is not charged back to the employees' budgets, but is budgeted as a corporate resource for all Business Units of the Authority.

5.4 Contractor Travel

5.4.1 CRC/Consultants must make all travel arrangements through the Travel Desk. Travel arrangements made through other travel sources are only reimbursable up to the amount of current Authority negotiated or government rates. Current NYPA contract language requires all CRCs to confirm travel through the Travel Desk. Government contract fares are published on the NYS OGS website and are accessible through the booking tool (Global Distribution System) used by the Travel Desk to confirm air service. NYPA will only reimburse up to the contract fare.

5.4.2 A completed Contractor Travel profile form for each CRC must be on file with the Travel Desk prior to requesting travel services. Travelers requesting arrangements from the Travel Desk will be forwarded the Travel Profile form by email if no completed profile is on file, with a cc to the Project Manager.

5.4.3 The Travel Desk obtains approval by email from the NYPA project manager prior to authorizing air and rail expenses to NYPA. All contract travel expenses must have the

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approval of the CRC's Authority project manager prior to submitting the expense statement to the expense reconciliation process.

5.4.4 Meal reimbursement for overnight travel will be based on the meal allowances outlined in the applicable contract. Meal receipts are not required.

5.5 Policy Exceptions

Any exceptions to this policy must be approved in advance by the President and CEO, or his designee

6 VIOLATIONS

Violations of this Policy and related policies and procedures by employees may result in disciplinary action up to and including termination. Violations of this Policy by CRCs and other authorized third parties may result in the revocation of such party's access to NYPA's premises and/or electronic access to its systems, and the termination of such party's contract for services. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state or local laws.

7 REFERENCES

7.1 **CAP 1-5, Reimbursement for Employee Meal Costs** ⟶ PowerNet ⟶ Resources ⟶ Content Server ⟶ Business Services – Controller ⟶ Controller – General Accounting & Financial Practices ⟶ Accounting Policies and Procedrues ⟶ Current Accounting P olices and Procedures in PDF

7.2 **New York State Hotel Tax Exempt Form** Powernet ⟶ Quick Links ⟶ Travel Desk ⟶ Travel Forms

7.3 **Contractor Travel Profile** Powernet ⟶ Quick Links ⟶ Travel Desk ⟶ Travel Forms

7.4 **State of New York Tax Exempt AC-945 (car rental)** Powernet ⟶ Quick Links ⟶ Travel Desk ⟶ Travel Forms

7.5 **Citibank Travel Card Application** Powernet ⟶ Department Sites ⟶ Customer Support Services ⟶ Support Services ⟶ Support Services Forms

7.6 **U.S. General Services Administration Per Diem Rates** www.gsa.gov ⟶ Per Diem Rates

7.7 **CP 1-13 Company Policy for Out-of-State Travel** PowerNet ⟶ Quick Links ⟶ Polices & Procedures ⟶ Company Polices

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7.8 **CP 1-1 Company Policy Program Administration** PowerNet ⟶ Quick Links ⟶ Polices & Procedures ⟶ Company Polices

7.9 **Post Event Report**

8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Year

9 ATTACHMENTS

N/A

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For the latest revision of this document, refer to the Policy and Procedure PowerNet Site.
Records will be retained in accordance with NYPA's approved records retention schedules and/or in compliance with all applicable legal requirements pertaining to NYPA.

E-Signature Approval History

Role	Name	Approved Date
President	Quiniones, Gil	7/6/2020
EVP Chief HR and Administrative Officer	Pizzo, Kristine	6/30/2020
General Counsel	Driscoll, Justin	6/23/2020
Chief Operation Officer	Kessler, Joseph	6/22/2020
Executive Owner	Colon, Ruth	6/22/2020
Content Owner	Powell, Yubetzy	6/17/2020

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Final Approver:	*Colon, Ruth* VP Enterprise Shared Services
Content Owner:	Powell, Yubetzy Manager Travel

Travel Procedure

Note: Revision # should be listed in descending order starting with most recent version at the top

Revision Date(For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
4/25/2020	1	Yearly review. No changes.	N/A	Yubetzy Powell Travel Manager
7/26/2018	0	This is an original issue of this procedure. Much of the content was taken from CP 2-1 Rev.5	N/A	Yubetzy Powell Travel Manager

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1 PURPOSE AND SCOPE

The purpose of this document is to establish travel processes for NYPA employees, cost-reimbursable contractors and consultants. This Procedure is designed to implement the NYPA Travel Policy (CP 2-1).

2 APPLICABILITY

This procedure applies to all NYPA employees, members of the Board of Trustees, cost-reimbursable contractors and consultants required to travel on behalf of NYPA.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

CRC – Cost Reimbursable Contractor
GSA – U. S. General Services Administration
OGS – New York State Office of General Services
CEO - Chief Executive Officer
EVP - Executive Vice President
SVP - Senior Vice President
SSM - Strategic Supply Management

4 RESPONSIBILITY

The Director of Corporate Support Services is responsible for the implementation of this procedure and determines appropriate revisions.

5 PROCEDURE IMPLEMENTATION

5.1 MANAGEMENT CONTROLS

5.1.1 Employees, Cost Reimbursable Contractors (CRCs) and consultants doing business on behalf of NYPA must use the Travel Desk (Power Business Travel) for air, hotel and car rental arrangements in order to be reimbursed for travel expenses.

5.1.2 The Travel Desk will make the most cost-effective arrangements that meet the traveler's needs. Exceptions to Travel Desk recommended arrangements must be approved by the traveler's immediate supervisor or above. The approval email must be received by the Travel Desk before tickets are issued. All approved exceptions will be maintained in Travel Desk files.

5.1.3 Every effort will be made to meet the traveler's needs while taking advantage of New York State contracted or economy/advance purchase airfares, NYS government or corporate/seminar lodging rates and negotiated or discount rates for vehicle rental.

5.1.4 Tax exempt forms for hotels and for car rentals must be provided to the vendor to prevent state and local taxes from being charged when employees are traveling for NYPA business in New York State, as New York taxes will not be reimbursed. These forms can be found at: Powernet ⟶ Quick Links ⟶ Travel Desk ⟶ Travel Forms

CRCs and consultants are not eligible for tax-exempt status

5.1.5 The Travel Desk will make the most cost-effective arrangements for out-of-office meetings, seminars and training sessions, and must be used to book the rooms and facilities required for these types of events.

5.1.6 The Travel Desk will optimize cost savings and minimize trip times by considering use of the company airplane as appropriate.

5.1.7 NYPA allows travelers to participate in and keep the benefits of "frequent flyer" and other mileage/usage related programs. However, required business travel will not be arranged to meet any particular program requirements, unless program pricing is equal to or less than competing alternatives.

5.2 RESPONSIBILITIES

5.2.1 Travelers are responsible for verification that all travel arrangements are correct and comply with the Corporate Travel Policy.

5.2.2. The manager authorized to approve an employee's or CRC/consultant's Expense Statement must ensure that the traveler has complied with the provisions of these procedures.

5.3 REIMBURSEMENT

5.3.1 Policy and procedures for reimbursement of travel expenses are established and implemented by the Accounts Payable Department and can be found at:
Powernet ⟶ Department Sites ⟶ Controller ⟶ Accounts Payable

5.3.2 Business air or train travel will be charged by the Travel Desk to employee's Citibank VISA account. Therefore, air and/or train travel for NYPA business will be expensed to the individual traveler's department via the traveler's cost center.

5.3.3 Travelers will not be reimbursed for travel expenses not in compliance with these procedures unless pre-approved by immediate supervisor or above.

5.4 EXECUTIVE TRAVEL GUIDELINES

5.4.1 The following guidelines address the limitations for Executive Staff traveling together due to the remote potential of a serious accident occurring during travel and the related impact on NYPA leadership.

Exceptions to the following guidelines must be at the discretion of the President/CEO or his/her designee:

a) No more than three (3) members of the Board of Trustees
b) The Chairman and the CEO may not travel together
c) No more than one (1) EVP may travel with the CEO
d) The CEO and no more than 50% of the SVP level

Exceptions to the following guidelines require written notification by the Business Unit Head to the Executive Office:

e) No more than 50% of a Business Unit Head's direct reports
f) No more than 50% from a functional group or department

5.5 TRAVEL ARRANGEMENTS

5.5.1 All employees must fill out the Travel Request Forms when requesting travel arrangements. CRCs and consultants may contact the Travel Desk by email or phone.

a) Email: Travel.Desk@nypa.gov

b) Phone: 914-287-3191

The Travel Desk is staffed Monday through Friday, from 8am to 5pm, except NYPA holidays. Requests received after hours will be handled when the office re-opens. For emergency assistance when the office is closed, travelers may contact the after-hour's service, Agent24, at 1-800-390-6474.

5.5.2 Booking reservations as soon as plans are firm can result in considerable savings to NYPA. Employees, CRCs and consultants should make travel requests as far in advance as possible so that the Travel Desk may obtain the lowest airfares and hotel rates. The travel request should include preferred time and departure airport, location and dates of meetings/accommodations, etc.

5.5.3 Every effort will be made to secure arrangements that meet both the traveler's preferences and the Corporate travel policy. The Travel Desk will notify the traveler if preferred routings, departure times, or hotel accommodations are not available or not the most reasonable alternatives. OGS or NYPA negotiated discount fares will always take precedence.

5.6 AIR TRANSPORTATION

5.6.1 All commercial air travel must be booked on a multi-engine turbine aircraft with a two (2) pilot crew.

5.6.2 The Travel Desk will seek to secure economical airfares. If an OGS negotiated fare is available, that fare will be used as long as it fits the traveler's requirements. Non-refundable fares provide substantial fare savings but may carry up to a 100% charge for changes or cancellations. If a non-refundable fare is also available for the same city-pair,

that roundtrip fare may be used if the savings is more than $200 over the OGS roundtrip fare. Any other exception must be pre-approved by the traveler's supervisor and approval will be stored as historical data in the passenger reservation.

5.6.3 Employees may use a transportation differential of up to $200.00 (roundtrip) to choose between trips originating from the New York City airports, i.e., LaGuardia, JFK and Newark, and from Westchester County Airport or Newburgh/Stewart Airport. For example, if a roundtrip originating from Newburgh/Stewart costs over $200.00 more than the same trip from Newark, then the employee's trip will be booked from Newark unless an approval of the exception is sent by the employee's supervisor.

5.6.4 If a traveler has non-stop flights that exceed seven hours, business class may be booked instead of coach upon the approval of the traveler's Business Unit Head.

5.6.5 Flight arrangements for out of state travel will be confirmed upon completion of the out of state approval process.

5.6.6 Requests for travel on the company airplane are to be submitted by the designated scheduler in the respective Business Unit. A list of designated schedulers can be found on the Powernet at Quick Links ⟶ Travel Desk ⟶ Company Airplane.

5.7 HOTEL RESERVATIONS

5.7.1 The Travel Desk will always attempt to secure the lowest available rates for hotel accommodations. The GSA maximum lodging rate will be used as a guideline. www.gsa.gov ⟶ Travel ⟶ Per Diem Rates

5.7.2 It is the policy of the Travel Desk to book hotels that provide a NYS government rate, unless no such suitable accommodation is available. The Travel Desk will provide the traveler with alternatives within reasonable proximity to the employee's business location. For conferences, reservations will be made in the hotel where the conference is being held, provided that those accommodations are in accordance with this policy. If an employee prefers to stay at a hotel with no government rate when a government rate is available at a nearby hotel, the reimbursement will cover only the amount of the GSA per diem rate. All exceptions will be reported to Accounts Payable by the Travel Desk.

5.7.3. Unless otherwise requested, hotel accommodations for late arrivals will be guaranteed to the traveler's credit card.

5.7.4 When canceling a hotel reservation, the Travel Desk will give the traveler a cancellation code which should be retained in the traveler's files. If the travel cancels directly with the hotel, the caller is to notify the Travel Desk of the cancellation number, the name of the individual who accepted the cancellation, and the date and time of the cancellation. This information is necessary if the hotel mistakenly charges the traveler a no-show expense (usually the cost of one night's lodging).

5.8 CAR RENTALS

5.8.1 The Travel Desk will secure car reservations using NYPA's contract vendors.

5.8.2 The Travel Desk will request the lowest (most fuel-efficient) car class size suitable for the business purposes. When fewer than three employees are traveling together, an

intermediate-sized car or smaller will be booked unless there are compelling business-related reasons that call for a larger vehicle.

5.8.3 Employees travelling for business should use their Corporate Credit Cards for car rental transactions since the credit card is providing collision damage coverage through a separate agreement with NYPA.

5.8.4 Most car rentals booked by the Travel Desk include optional insurance and will be noted on the car contract. Any additional insurance purchased by the traveler will not be reimbursed.

5.8.5 Whenever possible, employees should use fleet vehicles. To request a fleet car, the traveler should follow the instructions on NYPA's intranet page. Information on the use of the fleet vehicles can be found in 'Use of Fleet Motor Pool Vehicles' CP 2.14.

5.8.6 All rental vehicle accidents must be reported as soon as possible to the office of NYPA's Director of Risk Management.

5.9 MEETING/SEMINARS/TRAINING SESSIONS

5.9.1 NYPA procurement guidelines are to be followed in obtaining arrangements for meetings, seminars and/or training sessions. The Business Unit must maintain documentation to support both the vendor selection and the price. Go to Powernet ⟶ Departmental Sites ⟶ Strategic Supply Management.

5.9.2. NYPA events such as meetings, seminars, and training sessions that are held out of the office must be reviewed by the Travel Desk. All hotel accommodations must be booked for these events through the Travel Desk to ensure rate policy compliance. Employees should send written proposals to the Travel Desk in a timely fashion for review and scheduling. Hotel rooms and meeting facilities will be reviewed and booked by Travel Desk personnel. Catering, meeting set-up, etc. are the responsibility of the respective Business Unit.

5.9.3 Upon completion of a cost-comparison of all venues which provide the minimum requirements for the function, a NYPA SSM representative will sign the contract from the vendor. After the event, the requesting business group representative is responsible for all reconciliations.

5.9.4 Outside meeting arrangements generally include cancellation clauses. Please note that any arrangement must include the requesting business group representative's agreement to pay any applicable cancellation fees.

5.10 CANCELLATIONS/CHANGES

The Travel Desk should be advised immediately of any air, hotel or car cancellations or changes. Failure to do so could result in penalties on airfares and no-show charges for hotels and cars. Please note that any avoidable charges incurred will be billed to the business group's appropriate responsibility code/cost element if not properly cancelled.

5.11 CONTRACTOR/CONSULTANT TRAVEL

5.11.1 A complete Contractor Travel Profile form must be on file for each CRC/Consultant prior to requesting travel services from the Travel Desk. The NYPA manager must

provide the purchase order number associated with the CRC/Consultant who will be traveling. The number is then added to the Contractor Travel Profile before it is forwarded to the Travel Desk.

5.11.2 CRC/Consultants must make all travel arrangements through the Travel Desk.

5.11.3 All contractor travel requests must have the contractor's NYPA manager's approval prior to submission to the Travel Desk.

5.11.4 The Travel Desk will send itineraries for travel arrangements via email to the contractor and the appropriate NYPA manager. A copy of a contractor's NYPA travel itinerary must be attached to vendor's invoice.

5.11.5 CRC/consultants will use their personal credit cards for car rental transactions.

5.11.6 NYPA managers will review all contractor travel expense invoices to ensure compliance with this procedure.

6 VIOLATIONS

Violations of this Procedure and related policies and procedures by employees may result in disciplinary action up to and including termination. Violations of this Procedure by applicable CRCs and consultants may result in the revocation of such party's access to NYPA's premises and/or electronic access to its systems, and the termination of such party's contract for services. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state or local laws.

7 REFERENCES

7.1 New York State Tax Exempt Forms
7.2 Accounts Payable policies and procedures
7.3 U. S. General Services Administration per diem rates
7.4 NYPA Procurement Guidelines
7.5 Use of Fleet Motor Pool Vehicles, CP 2-14
7.6 NYPA Contractor Travel Checklist

8 PROCEDUREREVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Year

9 ATTACHMENTS

N/A

E-Signature Approval History

Role	Name	Approved Date
Final Approver	Colon, Ruth	4/25/2020
Content Owner	Powell, Yubetzy	4/20/2020

Title: Company Airplane Procedures

Document Type:	Procedure
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Revision Date:	5/15/2020
Final Approver:	*Colon, Ruth* VP Enterprise Shared Services
Content Owner:	Scriven, Scott Chief Pilot

Company Airplane Procedures

Note: Revision # should be listed in descending order starting with most recent version at the top

Revision Date(For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
5/15/2020	0	Original Issue	N/A	Scott Scriven Chief Pilot

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1 PURPOSE AND SCOPE

The purpose of this document is to establish guidelines for NYPA employees to obtain travel arrangements utilizing the company airplane.

2 APPLICABILITY

This procedure applies to all NYPA employees, contractors, consultants, and other guesttraveling on behalf of the New York Power Authority.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

ESS – Enterprise Shared Services
EVP - Executive Vice President
NYPA - New York Power Authority
SVP - Senior Vice President

4 RESPONSIBILITY

4.1 The VP of ESS has the final responsibility for interpretation of this procedure and determines appropriate revisions.

4.2 The Chief Pilot is responsible for the maintenance and implementation of these Procedures.

4.3 Travelers are responsible for compliance with these Procedures and for verification that all travel arrangements are correct.

5 PROCEDURE IMPLEMENTATION

5.1 Guidelines

5.1.1 NYPA Flight Operations will reserve the company airplane on a first-come, first-serve basis by personnel traveling on Authority related business.

5.1.2 A cost justification program, developed for NYPA by an aviation consulting group, will be utilized to determine the cost effectiveness of a given trip utilizing the company aircraft. This program compares the employee time savings versus the hourly operational cost of the company aircraft and is maintained by NYPA Flight Operations. A flight will only be conducted after Flight Operations has determined it to be cost-effective.

5.1.2.1 A record of each completed trip evaluation will be kept on file with the NYPA Flight Department.

5.1.2.2 For scheduling and planning purposes only, it is safe to assume a minimum number of four (4) roundtrip passengers will cost justify a given trip.

5.1.3 Requests to travel on the company airplane to destinations outside New York State must be initiated by submitting an out-of-state travel request as outlined in Company Policy 1-13, Out of State Travel.

5.1.3.1 This out-of-state request must include “travel by company plane preferred” and include a description of the business purpose.

5.1.3.2 Once out-of-state approval has been obtained, then a company plane request must be submitted as outlined in 5.2 below.

5.2 Scheduling Process

5.2.1 Requests for use of the company airplane are made through the internet-based NYPA Aircraft Reservation System which is hosted by Professional Flight Management. Select individuals within each Business Unit are granted access to perform and act as Company Plane schedulers on behalf of their Business Unit head. (EVP/SVP).

5.2.2 NYPA employees may view the existing 90-day NYPA plane schedule on the Powernet:

Powernet→Quick Links→Travel Desk→Company Airplane→Aircraft Schedule

5.2.3 Once an employee or group is ready to submit a request, they may ask a designated scheduler within their business group to do so. A list of designated schedulers may be found at:

Powernet→Quick Links→Travel Desk→Company Airplane→Approvers and Schedulers.

5.2.4 Once a request is submitted and received by the Flight Department, it will then be processed on a first come, first serve basis.

5.2.5 An automated email notice will subsequently be sent to the lead passenger and to the relevant scheduler regarding the request status of the given trip.

5.2.6 All changes (passenger names, times, destinations) to the original request are made through the same process.

5.2.7 Trip revisions within 48 business hours of a given trip should be made by contacting plane.travel@nypa.gov and stating the change request. One of the Flight Operations pilots will respond via email, as appropriate.

5.3 Company Plane Schedulers

5.3.1 All designated schedulers for a given business unit require the approval of the respective Business Unit Head, EVP/SVP.

5.3.1.1 Once EVP/SVP written approval is provided to the Chief Pilot on behalf of the applicant, a member of the Flight Department will grant login permissions and provide instructions for accessing the Company Plane Scheduling System.

5.3.2 Company Plane Schedulers submit trip requests from employees within their designated business unit. It is incumbent upon the schedulers to ensure that each request they submit has a legitimate NYPA business purpose and has the approval of their respective EVP/SVP.

5.3.3 A copy of the "Aircraft Schedulers Handbook" can be found as a support document and is available to each scheduler for reference.

5.4 Executive Travel Guidelines

5.4.1 The following guidelines address the limitations for Executive Staff traveling together due to the remote potential of a serious accident occurring during travel and the related impact on NYPA leadership.

5.4.1.1 Exceptions to the following guidelines will be at the discretion of the President/CEO or his/her designee:

a) No more than three (3) members of the Board of Trustees
b) The Chairman and the CEO may not travel together
c) No more than one (1) EVP may travel with the CEO
d) The CEO and no more than 50% of the SVP level

Exceptions to the following guidelines require written notification by the Business Unit Head to the Executive Office:

e) No more than 50% of a Business Unit Head's direct reports
f) No more than 50% from a functional group or department

5.4.2 The company airplane cannot be used solely to transport members of the Board of Trustees. Trustees performing Authority related work, or for government purposes, may travel on the company airplane only on trips which have already been scheduled for other Authority employees and which result in no additional cost to NYPA.

5.5 Non-New York State Employees

5.5.1 All non-NYS employees will be required to sign a written waiver of any claim or liability against NYPA arising out of such use. Completed waiver forms will be kept on file within the Flight Department.

5.6 **Operational Cost**

5.6.1 The operational cost of the company airplane is not charged back to the employees' budgets, but is budgeted as a company resource for all NYPA Business Units.

5.7 **Cancellations**

5.7.1 For purposes of safety, the NYPA pilots will retain the final authority for cancellation decisions for reasons such as mechanical or weather-related concerns. It is incumbent upon each pilot to weigh in favor of safety while also making every attempt to meet the ambitions and needs of NYPA's business travelers.

5.7.2 If the company airplane is unexpectedly unable to fly a scheduled trip, other means of travel may be arranged by the NYPA Travel Desk. If the other means of travel, due to special conditions, is a charter aircraft, then the cost of the charter will, in most cases, be charged back to the appropriate departmental budget(s).

6 VIOLATIONS

Violations of this Procedure and related policies and procedures by employees may result in disciplinary action up to and including termination. Violations of this Procedure by contractors and other authorized third parties may result in the revocation of such party's access to NYPA's premises and/or electronic access to its systems, and the termination of such party's contract for services. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state or local laws.

7 REFERENCES

Company Policy 1-13, Out-of-State Travel

Powernet→Quick Links→Travel Desk→Company Policy

8 PROCEDURE REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Year

9 ATTACHMENTS

N/A

E-Signature Approval History

Role	Name	Approved Date
Final Approver	Colon, Ruth	5/15/2020
Content Owner	Scriven, Scott	5/15/2020

NEW YORK STATE OF OPPORTUNITY | Canal Corporation

Company Policy Title:
Whistleblower

Company Policy Number:
CGP-2018-011

Whistleblower

Note: Revision # should be listed in descending order starting with the most recent version at the top.

Revision Date (For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
2/27/2018	0	Removed references to Thruway Authority and inserted correct titles and contact information	N/A	Lisa Wright Manager, Administrative Services

GENERAL POLICY	NUMBER: CGP-2018-011 SECTION TITLE: POLICY - PERSONNEL
Manager, Administrative Services — DATE: 3-6-18	SUBJECT: WHISTLEBLOWER

This bulletin supersedes NYS Thruway/Canal Corporation General Policy 25-2-26

I. INTRODUCTION

It is the policy of the Canal Corporation (Corporation) to afford certain protections to individuals who in good faith report violations of the Corporation's CODE OF ETHICS (ASB -2018-015) or other instances of potential wrongdoing within the Corporation. This Policy is intended to encourage and enable Corporation employees to raise concerns of potential wrongdoing in good faith within the Corporation and without fear of retaliation.

This policy establishes the protection for whistleblowers and the procedures for reporting potential wrongdoing within the Corporation.

II. DEFINITIONS

For the purposes of this Policy, the following definitions shall apply:

A. "Employee" – all Board Members, Officers and Staff employed at the Corporation whether full-time, part-time, employed pursuant to contract, employees on probation and/or temporary employees.

B. "Good Faith" – Information concerning potential wrongdoing is disclosed in "good faith" when the individual making the disclosure reasonably believes such information to be true and reasonably believes that it constitutes potential wrongdoing.

C. "Personnel action" – Any action affecting compensation, appointment, promotion, transfer, assignment, reassignment, reinstatement or evaluation of performance.

D. "Whistleblower" – Any employee who in good faith discloses information concerning the business of the Corporation itself.

E. "Wrongdoing" – Any alleged corruption, fraud, criminal or unethical activity, misconduct, waste, conflict of interest, intentional reporting of false or misleading information, or abuse of authority engaged in by an employee that relates to the Corporation.

III. REPORTING WRONGDOING

All employees who discover or have knowledge of potential wrongdoing concerning employees of the Corporation; a person having business dealings with the Corporation; or the Corporation itself, shall report such activity in accordance with the following procedures.

A. All employees who discover or have knowledge of wrongdoing shall promptly disclose information concerning such wrongdoing in a written or oral report to his or her immediate supervisor, Section Superintendent, Division Engineer, Director, Deputy Director, Office of Employee Relations, or as outlined below, the Office of Civil Rights and Inclusion or the Office of Ethics and Compliance.

- Office of Civil Rights and Inclusion at accessibility@nypa.gov for wrongdoing involving discrimination based on protected class status.
- Office of Ethics and Compliance at ethics@nypa.gov for wrongdoing involving ethics, waste, fraud or abuse.

Written disclosures are preferred where appropriate.

B. The identity of the whistleblower and the substance of his or her allegations will be kept confidential to the best extent possible.

C. The individual(s) to whom the potential wrongdoing is reported shall investigate and handle the claim in a timely and reasonable manner, which may include, but not be limited to, referring such information to the appropriate Corporation office, New York State Office of the Inspector General, Joint Commission on Public Ethics, or other appropriate law enforcement agency.

D. Should an employee believe in good faith that disclosing information within the Corporation pursuant to Section III. A. would likely subject him or her to adverse personnel action or be wholly ineffective, the employee may instead disclose the information to the New York State Office of the Inspector General, New York State Division of Human Rights, U.S. Equal Employment Opportunity Commission, Joint Commission on Public Ethics, or an appropriate law enforcement agency, if applicable.

IV. NO RETALIATION OR INTERFERENCE

No employee shall retaliate against any whistleblower for the good faith disclosure of potential wrongdoing, whether through adverse personnel action, harassment, threats, coercion, or abuse of authority; and, no employee shall interfere with the right of any other employee by any improper means aimed at deterring disclosure of potential wrongdoing. Any attempts at retaliation or interference are strictly prohibited. All allegations of retaliation against a whistleblower or interference with an individual seeking to disclose potential wrongdoing will be thoroughly investigated by the Corporation. Any employee who retaliates against or has attempted to interfere with any individual for having in good faith disclosed potential wrongdoing may be subject to discipline or other administrative action, which may include termination of employment. Any allegation of retaliation or interference will be treated as a separate matter and treated seriously irrespective of the outcome of the initial complaint.

V. OTHER LEGAL RIGHTS NOT IMPAIRED

Nothing in this Policy shall be deemed to diminish or impair the rights of an employee or the Corporation under any law, rule, regulation or collectively negotiated agreement or to prohibit any personnel action which otherwise would have been taken regardless of any disclosure of information.

Specifically, this Policy is not intended to limit any rights or remedies than an individual may have under the laws of the United States and the State of New York, including but not limited to the following provisions: Civil Service Law § 75-b, Labor Law § 740. State Finance Law §191 (commonly known as the "False Claims Act"), and Executive Law § 55(1).

With respect to any rights or remedies that an individual may have pursuant to Civil Rights Law §75-b or Labor Law §740, any employee who wishes to preserve such rights shall prior to disclosing information to a government body, have made a good faith effort to provide the appointing authority or his or her designee the information to be disclosed and shall provide the appointing authority or designee a reasonable time to take appropriate action unless there is imminent and serious danger to public health or safety. (See Civil Service Law §75-b [2] [b]; Labor Law §740 [3]).

Exhibit T
March 30, 2021

NEW YORK STATE OF OPPORTUNITY. | NY Power Authority

Think Twice Act Once

NYPA'S CODE OF CONDUCT in the workplace

NYPA's Ethics & Compliance Office

The Ethics & Compliance Office provides guidance to NYPA's Trustees and employees to enable sound business decisions grounded in current ethics and compliance, legal, regulatory and policy standards. We achieve this by serving as a resource to and educating the Trustees, executive management and employees on the applicable standards and their impacts on them individually and NYPA as a public authority.

Joseph W. Gryzlo
Vice President and Chief Ethics & Compliance Officer
WPO ext. 6939 (914) 681-6939

Louise Nestler,
Lead Ethics Officer, WPO ext. 3724 (914) 287-3724

Alicia Baly-Hughes,
Compliance Officer, WPO ext. 3495 (914) 287-3495

NYPA EMPLOYEE CONCERNS LINE
1-877-TEL-NYPA

New York Power Authority
123 Main Street
White Plains, NY 10601
Ethics@nypa.gov

Think Twice Act Once

I. STANDARDS OF CONDUCT

New York Power Authority employees, officers and trustees shall perform their duties with integrity and:

1. Refrain from engaging in outside activities, including other employment and financial interests, which could impair their independence of judgment or prevent the proper exercise of their official NYPA duties. All outside employment and publicly elected or appointed positions held or being sought must be reported to your supervisor, department or business unit head and the Office of Ethics and Compliance for evaluation to ensure the absence of conflicts of interest. Individuals serving in "policy-making" positions must also obtain the approval of the NYS Joint Commission on Public Ethics.

2. Conduct themselves at all times in a manner that avoids any appearance of or situation where they could be either improperly influenced, give or be given preferential treatment to or by any person or entity or act in violation of the public trust. This includes the requirement to (i) disclose any and all possible professional and personal conflicts of interest to your supervisor, department or business unit head and the Office of Ethics and Compliance, and your subsequent recusal from engaging in any NYPA business activity where the conflict appears or exists; and (ii) refrain from seeking or accepting a monetary loan from any employee under one's direct or indirect supervisory authority, or providing a monetary loan to your immediate supervisor and anyone to whom that individual reports, up to and including the Board of Trustees.

3. Not use or attempt to use their official position to secure unwarranted privileges for themselves, their relatives or any other party, including contracts and employment with NYPA.

4. Not participate in any decision or process to hire, promote, discharge, discipline or supervise a relative. (See Employee Policy 1.2 "Recruitment and Job Posting")

5. Not endorse the products or services of other entities or individuals as a representative of NYPA, including appearing in publications advertising, endorsing or selling products or services of third parties.

6. Not engage in any NYPA transaction or work assignment (including contract development, solicitation, evaluations, awards) involving another business in which they or a relative have a direct or indirect financial interest. This provision does not apply to ownership of shares of stock commonly owned in a mutual fund. It does include personally owned and directed stock of any corporation traded on a recognized stock exchange, where there is an ownership interest greater than or equal to 10% in the corporation.

7. Not supply NYPA with any goods and/or services (individually or through another business entity) except in the performance of their official position. Relatives of NYPA employees are also subject to this prohibition in accordance with NYPA's applicable Procurement Guidelines.

8. Not use NYPA property, including but not limited to, equipment, vehicles, staff and other assets or resources in a manner inconsistent with applicable laws, NYPA's policies and mission.

9. Not accept, receive or solicit any gift or gratuities of more than nominal value where the circumstances would infer that (a) the gift is intended to influence the individual in the performance of official business or (b) the gift represents a tip, reward or sign of appreciation for any official act. Gifts include any form of financial discounts and payments, services, loans, travel reimbursements, lodging, meals, entertainment or promise from any entity doing business with or seeking to do business with NYPA. Gifts from disqualified sources (consultants, contractors, vendors, customers) are prohibited.

10. Not directly or indirectly advise or assist any person in making a financial investment or other decision utilizing confidential information acquired at NYPA, nor disclose any confidential information as a result of information obtained through NYPA employment. (See Company Policy 6-1 "Securities Trading and Use of Confidential Information")

11. Refrain from acquiring and trading in the securities of electric and gas utility corporations doing business within New York State (other than shares owned in a mutual fund). (See Company Policy 6-1 "Securities Trading and Use of Confidential Information)

12. Prohibit the appearance of elected government officials and candidates in advertisements or promotions paid with public funds.

13. Not use one's official position to compel or induce any other state officer or employee to make or promise to make any political contribution, nor

inquire about a prospective or current employee's political party affiliation, contributions or voting record. (See Employee Policy 1.2 "Recruitment and Job Posting")

14. Not appear or practice before or receive compensation from NYPA or other entities where the former employee will be involved in providing goods or services to NYPA for two (2) years following one's NYPA employment. This does not preclude "re-employment" by NYPA subject to any applicable statutory cap on earnings. The Office of Ethics and Compliance must be consulted prior to the re-employment in any manner of any former NYPA employee for evaluation to ensure consistency with the post-employment restrictions contained in the Public Officers Law.

15. Not appear or practice before or receive compensation from NYPA or other entities where the former employee will be involved in providing goods or services to NYPA at any time following one's NYPA employment relating to matters on which one personally worked for NYPA. This does not preclude "re-employment" by NYPA subject to any applicable statutory cap on earnings. The Office of Ethics and Compliance must be consulted prior to the re-employment in any manner of any former NYPA employee for evaluation to ensure consistency with the post-employment restrictions contained in the Public Officers Law.

The term "Relative" as used in this Code of Conduct means any person living in the same household as the NYPA employee, officer or trustee and any person who is a direct descendant of that individual's grandparents or the spouse of such descendant.

These Standards of Conduct do not replace and are in addition to the requirements of all applicable laws and regulations, including but not limited to, NYS Public Officers Law Sections 73, 73-a, 73-b and 74 and Title 19 NYCRR Parts 930, 932.

II. CERTIFICATION AND IMPLEMENTATION OF THE CODE OF CONDUCT

This Code of Conduct shall be provided to all employees, officers and trustees upon commencement of employment or appointment.

Employees, officers and trustees will be requested to certify annually that they have read the Code of Conduct and that they comply with its standards.

The Chief Ethics and Compliance Officer will provide periodic reports to NYPA's Governance Committee of the Board of Trustees about the status and disposition of concerns and issues raised under the Code of Conduct.

III. REMEDIES FOR BREACHES OF THE CODE OF CONDUCT

In addition to any penalty contained in any other provision of law, a NYPA employee, officer or trustee who violates the Code of Conduct may be disciplined upon findings and recommendations prepared by the Chief Ethics and Compliance Officer in consultation with the Executive Vice President and General Counsel. Remedies and disciplinary action may include one or more of the following actions:

- Issuance of job performance counseling and written warnings
- Direction of written corrective action to eliminate a conflict of interest
- Restitution
- Adverse salaried employee performance assessments
- Changes in assigned job duties
- Suspension or termination of employment

Any disciplinary action arising out of violations of this Code of Conduct affecting NYPA's bargaining unit employees will be administered in accordance with the applicable collective bargaining agreement.

The concurrence of the President and CEO and Chief Operating Officer is required for any suspension or termination of employment solely arising out of violations of the Code of Conduct.

Former NYPA employees, officers and trustees who are later found to have violated the Code of Conduct during their NYPA employment may also be precluded from doing business with NYPA.

IV. REPORTING UNETHICAL BEHAVIOR

Trustees, officers and employees are required to report any unethical behavior or any information concerning corruption, fraud, criminal activity, conflicts of interest or abuse to the Office of Ethics and Compliance, your NYPA business unit or department, Human Resources-Employee Relations or Facility Human Resources Managers. You are also encouraged to utilize NYPA's toll-free Employee Concerns Line (1-877-TEL-NYPA). It is accessible 24 hours a day, 7 days a week. Calls may be made anonymously.

Anyone reporting an ethical concern in good faith or participating in the investigation of a reported concern is protected from retaliation by NYPA's policies and the law. (See Company Policy 1-7 "Anti-Retaliation Policy")

CODE OF CONDUCT HISTORY

Adopted	January 28, 1988
Amended	June 28, 1994
Amended	June 30, 1998
Amended	September 29, 2009
Amended	March 21, 2013

NY Power Authority

Printed on recycled paper 10/19

Title: Company Policy Program Administration

Document Type:	Company Policy
Document Number:	CP 1-1
Revision Date:	1/6/2021
President:	*Quiniones, Gil* President & CEO
Executive Owner:	Driscoll, Justin EVP & General Counsel
Content Owner:	Reynolds, James Senior Manager Internal Business Control

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Company Policy Program Administration

Note: Revision # should be listed in descending order starting with most recent version at the top.

Revision Date(For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
1/6/2021	5	Updated department name to Internal Business Controls Added Retaining & Rescinding Company, Business Unit & Department Policies & Implementing Procedures Deleted definition of Procedure Added Acronym for CPP Added definition for Implementing Procedure Added Company Policy Program Added Business Units & Department Policies Added Implementing Procedures Added section Rescission of Documents	Through out 1 2 5.2 5.4 5.5 5.7	James Reynolds Senior Manager Internal Business Control
1/11/2018	4	Updated to be consistent with the Company Policy Review Team Charter	5.2 & 5.3	Carol Garcia, Director Business Controls & Joseph Gryzlo VP Ethics and Compliance
7/22/2016	3	Updated the meeting schedule of the Company Policy Review team	5	Carol Garcia, Director Business

				Controls & Joseph Gryzlo VP Ethics and Compliance
10/29/2015	2	Converting to the new template. There was one prior revision to this policy Change “Corporate Policy” to “Company Policy” Modified Company Policy definition Explain role of Company Policy Review Committee Added criteria for determination of Company Policies	N/A All 3 5.1 5.2	Carol Garcia, Director Business Controls & Joseph Gryzlo VP Ethics and Compliance

1 PURPOSE AND SCOPE

The Authority's Company Policy Program (CPP) describes standards and expectations for developing and obtaining approval of Company Policies and implementing Procedures which support the Authority's mission. The CPP consists of the Company Policies supported by various Business Unit and Department Policies and by the Procedures developed to implement the Company, Business Unit, and Department Policies.

This Policy addresses the administration of the CPP, including criteria for developing, reviewing, revising, approving, issuing, controlling, retaining, and rescinding Company, Business Unit and Department Policies and their implementing Procedures.

2 APPLICABILITY

This Policy shall be adhered to by all Authority personnel. Implementing guidelines and procedures may be adopted to ensure management control over the Policy.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

Business Unit/Department Policy: A directive from the Business Unit or Department Heads which establishes guidelines and communicates requirements for the achievement of Company Policies and the Business Unit or Department's mission and objectives.

CPP – Company Policy Program

Implementing Procedure: A written process providing step by step actions to accomplish an objective in a manner that provides for internal controls and documentation for implementing a Company, Business Unit or Department Policy.

4 RESPONSIBILITY

Responsibility and oversight of this policy resides with the approver unless noted herein.

5 POLICY IMPLEMENTATION

5.1 Company Policy Review Team

A cross-disciplinary Company Policy Review Team, its purpose and membership described in the Company Policy Review Team Charter (Reference 7.1), will be co-chaired by Internal Business Controls and the Law Department and will meet at least annually, and as otherwise necessary to review Company Policies as they are proposed or revised or rescinded to ensure that they meet the definition, as set forth above in §3 and the criteria set forth below in §5.3.1.

5.2 Company Policy Program

5.2.1 The Executive Vice President and General Counsel oversees the CPP.

5.2.2 Internal Business Controls acts as the CPP Administrator, which includes the following functions:

a. Ensures Company, Business Unit, and Department Policies are prepared in a consistent format;

b. Advises the Executive Vice President and General Counsel regarding the administration of the CPP; and

c. Ensures that a record copy of each policy revision is maintained in accordance with the Authority's Records Retention Program .

5.2.3 All Authority Business Units and Department Heads shall support and provide assistance to implement this Policy and the CPP.

5.3 Company Policies

5.3.1 The creation of a Company Policy requires that three or more of the following criteria be satisfied:

a. Is driven by legal/regulatory requirements, such as laws, rules, regulations, and Executive Orders.

b. Has broad application to or use by most of the Authority.

c. Mitigates a risk or risks to the achievement of the Authority's mission, long-term goals and strategic vision.

d. Is of such a nature that it should be communicated consistently and universally throughout the Authority.

e. Is at the request of the Governor, President & CEO, or Board of Trustees.

f. Encourages consistent behavior of Business Units and Departments in establishing policies or actions that risk conflicting with each other or with existing Company Policies.

g. Establishes or grants authority for a program applicable to the Authority's operations or employees.

5.3.2 If a Company Policy does not meet three of the criteria, it may still become a Company Policy at the request of the President & CEO**.**

5.3.3 The President & CEO issues and approves all new and revised Company Policies and the rescission of obsolete Company Policies.

5.3.4 The responsibilities of Business Units and Departments include:

a. Review Company Policies during the review cycle to determine their responsibilities in the implementation of the policies.

b. Provide for applicable Business Unit/Department policies and implementing procedures as necessary to conduct their operations and meet the requirements of the Company Policies.

c. Develop, revise or comment on specific Company Policies as directed by the President & CEO.

d. Submit comments on new or revised Company Policies to the Company Policy Review team.

e. Resolve and finalize all comments and proposed revisions within e-Scribe with respect to policies originated by their organizations.

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pertaining to NYPA.

5.3.5 Employees may submit requests for new, revision, or recission of obsolete Company Policies in writing to their Business Unit Head or Department Head.

5.4 Business Unit and Department Policies

5.4.1 A Business Unit or Department Policy may be created to support the implementation of a Company Policy pursuant to any of the following:

a. It provides clarity for Business Unit-specific or Department-specific actions to ensure that the requirements of a Company Policy are implemented.

b. Has application to the Business Unit or Department that owns the policy.

c. Has application to Business Units or Departments outside of the Business Unit or Department that owns the policy, but not across the entire Authority (e.g. for regulatory matters that span multiple Business Units and/or Departments).

d. Encourages consistent behavior of applicable Business Units and Departments.

5.4.2 The applicable Business Unit head issues and approves all new and revised Business Unit and Department Policies and the rescission of any obsolete Business Unit and Department Policies.

5.5 Implementing Procedures

5.5.1 An Implementing Procedure may be created to support the implementation of a Company, Business Unit, or Department Policy pursuant to any of the following:

a. It prescribes a step by step process to accomplish an objective in a manner that provides for internal controls and documentation for implementing a Company, Business Unit, or Department Policy.

b. Is used to define the internal controls required to ensure compliance with the policy it is intended to support.

c. Provides a mechanism to capture knowledge required to ensure that the process can be applied by personnel that are responsible for implementing the procedure.

5.5.2 The applicable Department head issues and approves all new and revised implementing Procedures and the rescission of any obsolete implementing Procedures.

5.6 Savings Provision

In the event the Authority's Table of Organization changes, resulting in one or more of the position titles referenced in any Company Policy, Business Unit/Department Policy, or Procedure are no longer applicable, then it is the intent of this Policy that they continue in force and be administered by the then equivalent positions until such time as those policies and procedures are amended or rescinded.

5.7 Rescission of Documents

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Under certain circumstances, existing Company, Business Unit, and Department policies, or their implementing procedures, will need to be rescinded. Policies and procedures may be rescinded due to such circumstances as:

a. Organization realignment that eliminates a business function.

b. Change to business environment negates the need for the process or procedural controls, or fully eliminates applicability of the policy or procedure to the current business environment; or

c. Statutory or regulatory changes eliminate or require a restructuring of the governance for a business function beyond changes that could reasonably be addressed through revisions to the existing governance documents.

Requests to rescind a policy or a procedure are processed according to the Internal Business Controls procedure BCG-PRO-002 (Reference 7.2).

6 VIOLATIONS

Violations of this Policy and related policies and procedures by employees may result in disciplinary action up to and including termination.

7 REFERENCES

7.1 Company Policy Review Team Charter (PowerNet → Records Management System/Content Server → Business Services – Finance – Budgets & Business Controls → Business Controls Policies and procedures → Current Business Controls Policies and Procedures → Company Policy Review Team CHAR-0080)

7.2 Rescinding Of Documents (PowerNet → Resources → Content Server → Business Services → Internal Controls Program Policies & Procedures → Current Internal Controls Program Polices & Procedures (BCG-PRO-002)

8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Other Year

9 ATTACHMENTS

N/A

E-Signature Approval History

Role	Name	Approved Date
President	Quiniones, Gil	12/3/2020
EVP Chief HR and Administrative Officer	Pizzo, Kristine	11/25/2020
General Counsel	Driscoll, Justin	11/12/2020
Chief Operation Officer	Kessler, Joseph	11/12/2020
Executive Owner	Driscoll, Justin	11/12/2020
Content Owner	Reynolds, James	11/12/2020

Amended Approval History

Requestor Name: Memon, Dawn

Comments: Updated sections 5.7 & 7.2 to reflect new document number for Recission of Documents Procdure.

Name	Approved Date
Reynolds, James	1/6/2021

Title: Personal Identifying and Protected Health Information Privacy Policy

Document Type:	Company Policy
Document Number:	CP 1-9
Revision Date:	9/23/2020
President:	*Quiniones, Gil* President & CEO
Executive Owner:	Barsky, Adam EVP & Chief Financial Officer
Content Owner:	Thakur, Sundeep Controller

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Personal Identifying and Protected Health Information Privacy Policy

Note: Revision # should be listed in descending order starting with most recent version at the top.

Revision Date (For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
9/23/2020	1	Update policy transfer to e-Scribe template and to include Protected Health Information and responsibilities of Internal Control Officer, Business Controls and Data Governance roles.	Various	Sundeep Thakur Controller

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Records will be retained in accordance with NYPA's approved records retention schedules and/or in compliance with all applicable legal requirements pertaining to NYPA.

1 PURPOSE AND SCOPE

This policy addresses the collection, use, storage, disclosure, and disposal of records containing Personal Identifying Information (PII) and Protected Health Information (PHI) collected by the Authority.

2 APPLICABILITY

This policy shall be adhered to by all staff, employees and entities working on behalf of the Authority.

This policy supplements other Authority policies, procedures, and technologies to the extent that it provides additional safeguards to protect the confidentiality of PII and PHI. Where, however, any existing policies, procedures, or technologies are more restrictive than the standard set forth herein, the more restrictive standard shall apply (e.g., confidentiality procedures under the Health Insurance Portability and Accountability Act, notice requirements under the Personal Privacy Protection Law, and disclosure and authorization required under the Fair Credit Reporting Act, Code of Conduct).

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

HIPAA – Health Insurance Portability and Accountability Act

Internal Control Officer – The Controller position holds this title.

Natural Person - a living human being as distinguished from a person (as a corporation) created by operation of law

PII – Personal Identifying Information; full definition in section 5.1.1

PHI – Protected Health Information; full definition in section 5.1.3

Record(s) – Recorded information, regardless of form or characteristics, made or received by the Authority arising out of the transaction of its business and managed as evidence of the organization, functions, policies, decisions, procedures, operations, processes or other activities of the Authority, or because of its informational value.

SSN – Social Security Number

4 RESPONSIBILITY

It is the responsibility of the Internal Control Officer to implement and review various internal control responsibilities, including the identification of internal control weaknesses, actions to correct those weaknesses, monitor corrective actions and periodically assess the adequacy of internal controls. The Internal Control Officer will implement education and training to ensure

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officers and employees achieve adequate awareness and understanding of internal control standards and applicable evaluation methods.

5 POLICY IMPLEMENTATION

The Authority is committed to the responsible collection, use, storage, disclosure, and disposal of records containing PII and PHI collected by the Authority and will only collect, use, store, and disclose PII and PHI to pursue its business operations and in compliance with federal, state, and local reporting and disclosure requirements. This policy applies to information collected by any means, whether electronically, by telephone or on paper.

5.1 Definitions

5.1.1 Personal Identifying Information (PII) is any of the following elements alone or in combination with Personal Information when either the information or the element is not encrypted or is encrypted with an encryption key that is included in the same record as the encrypted information or element:

a) Social Security number (SSN)
b) Driver's License number or Non-driver Identification number
c) Parent's surname prior to marriage
d) Financial services account number or code
e) Savings account, checking account, debit card, credit card or automated teller machine numbers or codes
f) Electronic serial number
g) Employee's home address or telephone number
h) Personal email address
i) Internet Identification name or password
j) Personal identification number (any number or code that can be used alone or in conjunction with any other information to assume the identity of another person or access financial resources or credit of another person)

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5.1.2 Personal Information is any information concerning a natural person which, because of name, number, symbol, mark or other identifier, can be used to identify the person, including and not limited to (1) name, address, email address, phone number, (2) race, nationality, ethnicity, origin, color, religious or political beliefs or associations, (3) age, sex, sexual orientation, marital status, family status, (4) identifying number, code, symbol, (5) finger prints, blood type, inherited characteristics, (6) health care history including information on physical/mental disability, and (7) educational, financial, criminal, employment history.

5.1.3 Protected Health Information (PHI) relates to the past, present, or future physical or mental health or condition of a natural person; the provision of health care to an individual; or the past, present or future payment for the provision of health care to an individual. There are certain identifiers that can be used to identify, contact or locate a person. If health information is used with any of these identifiers it's considered identifiable. Such information includes name, phone numbers, biometric identifiers, medical record numbers, and the full definition is maintained in the HIPAA Privacy Rule.

The Privacy Rule excludes from protected health information employment records that a covered entity maintains in its capacity as an employer and education and certain other records subject to, or defined in, the Family Educational Rights and Privacy Act, 20 U.S.C. §1232g.

5.1.4 Records with Personal Identifying Information, for purposes of this policy, are any item, collection or grouping of personal information about a natural person which is maintained and is retrievable by use of the name or other identifier of the person irrespective of the physical form or technology used to maintain such personal information including, and not limited to, reports, statements, examinations, memoranda, opinions, folders, files, books, manuals, pamphlets, forms, papers, designs, drawings, maps, photos, video, letters, films, sound recordings or computer tapes, disks, or files.

5.2 Responsibilities

5.2.1 The **Internal Control Officer** is responsible to implement and review this policy, identify and correct internal control weaknesses, monitor corrective actions, periodically assess the adequacy of internal controls and to educate and train officers and employees on internal control standards.

The Internal Control Officer, or designee, is responsible for keeping the contents of the policy updated to ensure it meets the everchanging business needs.

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5.2.2 The **Business Controls** group, responsible for providing oversight on controls process, will, in conjunction with the Controller and representatives of functional groups, ensure adequate control procedures are maintained to meet the policy requirements.

5.2.3 The **Data Governance Committee** at the Authority will oversee the use, management and integrity of the Authority's data across the entire lifecycle. The committee will enable data ownership across the Authority, establish key policies around data access in accordance with data security needs (ensure information access rights are in compliance with applicable laws and regulations, or with appropriate permissions, and as needed for the Authority's business purposes, and raise the level of data literacy across the Authority.

The committee will define and assign key data roles across the Authority. The key responsibilities for these data roles around PII and PHI data are defined below

- Data Owner – Data Owners will have ultimate accountability over their data assets and are required to ensure that all PII and PHI within their data are managed per the Authority's data policies.
- Data Steward – Data Steward have the responsibility to develop and execute on defined policies and standards around PII and PHI data under the direction of the Data Owner.
- Data Custodian – Data Custodians are responsible for the safe custody, transport, storage of all PII and PHI Data and for giving access to PII and PHI data based on approvals from Data Owners.
- Data Consumer – Data Consumers are anyone in the organization who uses data and have the responsibility to adhere to the Authority's data usage and sharing policies.

5.2.4 **Business Unit Heads**, their direct reports, and staff with supervisory authority are responsible for ensuring compliance with this policy in their respective areas of control.

5.2.5 **Each Department** that collects, uses and/or stores either PII or PHI shall have a procedure documenting the:

a) Specific PII or PHI data that is collected, used or stored.
b) Application that is used to collect, store or access PII and PHI data.
c) Controls governing access to such information (how to monitor access, who can gain access); and
d) Method of disposal of PII and PHI shall follow the procedures outlined in Procedure for the Destruction of NYPA Records (ITP-DW-4.1 section 5.3.2) whether it meets the definition of a record or not.

Such procedure will be in accordance with the requirements outlined in Business Unit Policy CS-POL-DP (Data Protection).

In addition, each functional group will be required to attest, on an annual basis, that the controls around PII and PHI are working as intended (as outlined in their respective desk top procedures).

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5.2.6 **Employees** who work with, or have access to, PII or PHI are expected to maintain the confidentiality of such data and use it exclusively for work-related purposes.

5.3 NYPA PII and PHI Records

All Business Unit and Department Heads are responsible for the evaluations of their data sets to determine if PII and PHI is present and to comply with the requirements of this policy and subsequent procedures.

5.4 Limits on Use and Access of Records

5.4.1 Authority records, whether electronic or in physical form, that contain PII or PHI are confidential and shall be shared only as required by, or as permitted under, any applicable laws and with those who have a legitimate business need to have access to such information.

5.4.2 Physical records containing PII or PHI shall be maintained in secure areas with access limited to those whose job duties require access.

5.4.3 PII and PHI contained within the Authority's Information Technology (IT) environment shall be safeguarded by user passwords, IT policies and security systems. Electronically transmitting PII or PHI outside of the Authority is strictly prohibited unless it is encrypted before it is transmitted. Unauthorized electronic access and/or disclosure, electronic information security breaches, and instances of lost or stolen electronic devices shall be reported immediately in accordance with Section 6 (Violations).

5.5 Limits on Use and Access of Social Security Numbers

5.5.1 Unless required by law, the Authority is prohibited from publicly posting or displaying a person's SSN; visibly printing a SSN on any identification badge or card; placing a SNN in files with unrestricted access; communicating a person's PII to the general public (See NYS Labor Law § 203-d); printing a person's SSN on any card or tag; encoding or embedding a SSN in or on a card or document, including, and not limited to, using a bar code, chip, magnetic strip, or other technology, in place of removing the SSN. (See NYS PPPL § 96-a).

5.6 Disposal of Records

Records may only be destroyed in accordance with NYPA's Records Management Policies and Procedures. Any records that contain PII or PHI are held to higher standards for destruction. These standards are outlined in Procedure for the Destruction of NYPA Records (ITP-DW-4.1 section 5.3.2). Records that contain confidential and/or privileged information, personally identifiable information, and/or protected health information must be destroyed in a manner that completely obliterates their contents and renders the records unreadable and unusable.

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6 VIOLATIONS

Violations of this Policy and related policies and procedures by employees may result in disciplinary action up to and including termination. Violations of this Policy by consultants, contractors and other authorized third parties may result in the revocation of such party's access to NYPA's premises and/or electronic access to its systems, and the termination of such party's contract for services. In addition, where the conduct engaged in is illegal, violators may be subject to prosecution under applicable federal, state or local laws.

If an employee becomes aware of an actual, potential, or suspected unauthorized access or disclosure of PII/PHI, the employee shall promptly report the incident to either the Office of Ethics and Compliance or through the Employee Concerns Hotline 1-877-TEL-NYPA (1-877-835-6972).

7 REFERENCES

7.1 CP 1-1 Corporate Policy Program Administration - Powernet → Quick Links → Policies and Procedures → Company Policies

7.2 CP 2-11 Records Management – Powernet → Quick Links → Policies and Procedures → Company Policies

7.3 CS-POL-DP Data Protection – Powernet → Quick Links → Policies and Procedures → Information Technology Policies and Procedures → Cyber Security Policies and Procedures

7.4 ITP-DW-4.1 Procedure for the Destruction of NYPA Records – Powernet → Quick Links → Policies and Procedures → Information Technology Policies and Procedures → Digital Warehouse Policies and Procedures

7.5 NYPA's Code of Conduct - Powernet → Law Department →Office of Ethics and Compliance

7.6 U.S. Department of Health & Human Services - https://www.hhs.gov/hipaa/for-professionals/privacy/laws-regulations/index.html

7.7 NYS Personal Privacy Protection Law § 91 *et.seq.- https://www.dos.ny.gov/coog/pppl.html*

7.8 Fair Credit Reporting Act - https://www.eeoc.gov/eeoc/publications/background_checks_employers.cfm

7.9 NYS Labor Law § 203-d – https://www.nysenate.gov/legislation/laws/LAB/203-D

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8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision cycle: Every Year

9 ATTACHMENTS

N/A

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E-Signature Approval History

Role	Name	Approved Date
President	Quiniones, Gil	9/23/2020
EVP Chief HR and Administrative Officer	Pizzo, Kristine	9/8/2020
General Counsel	Driscoll, Justin	9/1/2020
Chief Operation Officer	Kessler, Joseph	8/27/2020
Executive Owner	Barsky, Adam	8/27/2020
Content Owner	Thakur, Sundeep	8/7/2020

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Title: Management Time Away from Work

Document Type:	Employee Policy
Document Number:	EP 3.12
Revision Date:	11/25/2020
Final Approver:	*Pizzo, Kristine* EVP Chief HR & Administrative Officer
Executive Owner:	Coyne, Kristen (Lennihan) Director Total Rewards
Content Owner:	Verdesi, Brenda Manager Benefits

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Management Time Away from Work

Note: Revision # should be listed in descending order starting with most recent version at the top.

Revision Date (For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
11/25/2020	2	• Removed references to Collective Bargaining Unit employees throughout policy. • Clarify vacation carryover • Change in NYS voting regulations	2.2 5.2.3 5.5 5.6 5.11 5.16 5.17 5.18 5.20 5.21 5.1.6 5.21	Brenda Verdesi, Manager, Benefits
9/3/2020	1	• Eliminated five policies and incorporated into this new policy: ○ 3.2 Vacation ○ 3.4 Leaves of Absence ○ 3.9 Sick Leave Policy ○ 3.10 Management Salary Continuation ○ 3.11 Management Vacation Donation Program • Waiting period for salary continuation begins on the eighth (versus sixth work day) consecutive calendar day • Employees eligible for Parental Leave benefits after six months of employment (shortened from 12), consistent with PFL • Two NYPA employees who are caregivers for the same child; each one is eligible for the 11 weeks of Parental Leave benefit • New hires eligible for salary	All	Brenda Verdesi, Manager, Benefits

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		continuation after one month of employment (shortened from one year)
		• Employees can use up to two days off for any type of volunteer work as individual or group activity. Simplified criteria for taking days.
		• Military benefits documented and enhanced from 30-day policy to provide a three-tiered approach for time away for active duty or training; two days travel time; and a paid day for mandated annual military physicals.
		• Incorporated additional legally required policies:
		  ○ Domestic Violence
		  ○ Cancer Screening
		  ○ Lactation Time & Space
		  ○ Organ & Bone Marrow Donation
		  ○ Election Voting		

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Please refer to Employee Policy EP 0.0 NYPA DISCLAIMERS where you will find a statement which pertains to all Employee Policies including this one.

1 PURPOSE AND SCOPE

This policy provides the requirements for a New York Power Authority (NYPA) Management employee to take time away from work under one of the following programs:

- vacation
- vacation donation program
- sick
- sick leave usage
- New York State Paid Family Leave
- Family and Medical Leave Act (FMLA)
- salary continuation
- parental leave
- long term disability
- workers' compensation
- floating holiday
- leave of absence
- bereavement time for death in the family
- jury duty
- military leave
- unpaid personal leave
- domestic violence
- cancer screening
- lactation time and space
- paid volunteer time
- organ and bone marrow donation
- election voting

2 APPLICABILITY

2.1 This Policy applies to full and part time Permanent and Provisional Management NYPA employees (as defined in EP: 3.1). Unless specified below, Temporary Employees (as defined in EP: 3.1) are not eligible for such paid leave.

2.2 This policy does not apply to Collective Bargaining Unit (or represented) employees.

2.3 Contingent Workers are not eligible for or entitled to participate in or receive benefits under any benefit plan, policy, or practice offered by NYPA, its parents, affiliates, subsidiaries, or successors.

2.4 Time away taken under this policy may run concurrently with the NYS Paid Family Leave or FMLA leave, if applicable. For Information on Family and Medical Leave, see. See EP 3.3.

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3 INITIALISMS (ACRONYMS) AND DEFINITIONS

Accrual – The number of sick or vacation days an employee has earned during the calendar year but has not taken.

Committee – Group of representatives from HR, Benefits, Legal, Ethics, Employee Relations, and local HR representative.

Contingent Worker - Workers whose compensation is paid directly by a third party and who are not paid directly through the NYPA payroll system.

Credits – The number of vacation days added to an employee's vacation balance on January 1 of each calendar year, or employment date for new employees.

Critical Personal Situation – A personal crisis of a severe nature that directly impacts the employee. This may be a critical or catastrophic illness or injury of the employee (non-work related) or an immediate family member (spouse, domestic partner, child, parent or other relationship in which the employee is legal guardian or sole caretaker) that poses a threat to life and/or requires inpatient or hospice health care. A critical personal situation may also include a natural disaster impacting the employee's primary residence, such as a fire or severe storm.

Employee(s) – Permanent and Provisional Management employees

EML - Employee Medical Leave – An employee's qualifying "serious health condition" that makes an employee unable to perform the functions of their position and is eligible for EML. EML may be work related or non-work related.

FMLA- Family and Medical Leave Act

Immediate Family - An employee's spouse, mother, father, stepmother, stepfather, brother, brother's spouse, sister, sister's spouse, child, child's spouse, stepchild, grandparents, grandchildren; or an employee's spouse's mother, father, brother, sister, children, or grandparents. For these purposes' "spouse" will include domestic partners.

Management – Non-Collective Bargaining Unit/represented employees

Parental Leave – Time away from work for the birth of a child and to bond with the newborn child within one year of birth. Also provides time away from work in connection with the birth, to bond with, travel for and placement of a child for adoption or foster care within one year of initial placement in the home, or adoption, whichever comes first.

PVT - Paid Volunteer Time

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Reasonable Accommodation - Assistance or changes to a position or workplace that will enable an employee to perform job duties despite having a disability or pregnancy-related condition or having to engage in a religious practice or observance.

4 RESPONSIBILITY

Responsibility and oversight of this policy resides with the approver unless otherwise noted here in.

5 POLICY IMPLEMENTATION

The following are time away from work benefits that NYPA offers to eligible employees. An employee who needs any of the following time away from work must notify and obtain the approval of their supervisor as soon as possible. The employee's time, indicating the reason for the absence, must be entered in the Payroll time entry system and the appropriate documentation must be submitted to the employee's supervisor. NYPA will provide these and other types of time away from work in compliance with New York State and/or Federal Laws and regulations. Employees can request a reasonable accommodation by contacting the Office of Civil Rights and Inclusion. Reasonable accommodations will be considered according to CP 1-11.

5.1 Vacation

5.1.1 Permanent Full-time Management employees receive vacation days as follows:

a) Employees are credited with 20 vacation days on January 1 of each year.

b) In an employee's first year of NYPA employment, vacation days are credited on a pro-rated basis (rounded up to the nearest half day), based on the employee's date of employment (1/12th of 20 vacation days, or 1 2/3 days for each month of service). For example, if employment began in April, the employee receives 15 vacation days for the year. If employment began in December, the employee receives two vacation days.

c) Employees who have 11 or more years of eligible NYPA service will be credited with an additional ½ vacation day on January 1 immediately after they attain 11 years of eligible service. (See EP 1.9, for transferred time eligibility criteria.) For each succeeding year of service, another ½ day will be credited on the following January 1st of each year until a maximum of 25 days per year is credited upon the January 1st after reaching 20 years of service.

d) If you are on FMLA, Salary Continuation, Paid Family Leave, Parental Leave, Military Leave or any paid leave of absence, you are credited with vacation on January 1;

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anything beyond that (i.e.: unpaid personal leave, medical leave extending beyond 12 weeks of FMLA, long term disability) would receive pro-rated time upon return.

5.1.2 Permanent Part-time Management employees are credited vacation days on a pro-rated basis contingent on the assigned number of hours worked per week. If part-time employees become full time during the year, their vacation days for the year will be adjusted on a pro-rated basis.

5.1.3 Provisional Management employees, employed on January 1, are credited with 10 vacation days per year for their first two full years of employment, and 15 vacation days in their third year. In the first calendar year of provisional employment, vacation will be pro-rated for each month of service.

5.1.4 Employees may use approved vacation days in full or half day increments.

5.1.5 Once an employee has submitted a voluntary resignation or retirement, vacation usage is subject to supervisory approval. To be eligible for unused accrued vacation payout, an employee must be physically at work on their last day of employment.

5.1.6 Up to 40 vacation days may be carried over from one year to the next. In the event of an employee's death, payment for accrued and unused vacation days will be paid in coordination with Section 5.3.6.

5.2 Vacation Donation Program

5.2.1 NYPA recognizes that Employees may have a family emergency or a personal crisis that causes a severe impact to them resulting in a need for additional time off in excess of their available sick/vacation time. To help these Employees, the Vacation Donation Program allows staff to donate vacation time to be held in a bank for staff to use when on leave for a Critical Personal Situation.

5.2.2 The Vacation Donation Bank (referred to as "the Bank") is a general bank of days that has been voluntarily donated by eligible NYPA employees from their unused vacation balances. As time donated from employees will differ in value, the allocation and distribution of this leave will be calculated based on value and not time.

5.2.3 The Bank is for use by active eligible Management employees.

5.2.4 Under IRS regulations donations are taxable compensation based on the donor's rate of pay at the time of donation and will be treated as W-2 wages for the donee. Payments received by an employee from the Bank are valued at the salary at the time of request and treated as W-2 wages for all income and employment tax withholding purposes.

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5.2.5 Criteria for Donating Leave

All eligible employees who choose to donate vacation must have a minimum of one year of service and must meet the guidelines outlined below. Only employees who have donated unused vacation balances can apply to participate in the plan as a recipient.
a) Donors must have a minimum of five days remaining in their vacation bank after donating vacation day(s).
b) Employees must donate at least one day each calendar year to remain active in the plan year, which is the following calendar year. There is no maximum as to how many days one can donate.
c) Employees cannot borrow against future vacation time to donate.
d) All donations must be in full day increments only.
e) Part-time employees may donate their full-day equivalent, and their participation in the plan will be calculated on a pro-rated basis.
f) Employees on 12-hour shift schedules will donate in 8-hour day equivalents. Their participation in the plan will be based on an 8-hour workday, 5-day work week.
g) Employees on a leave of absence during the donation period may not donate their time.
h) All donations are irrevocable.
i) Donors will remain anonymous.

5.2.6 Eligibility for Receiving Donations

All eligible employees with one year of service with NYPA are eligible to make a request. Guidelines are as follows:
a) Employees who would like to make a request to receive donated leave must have circumstances that qualify as a Critical Personal Situation.
b) All requests must be made on the Critical Personal Situation Request Form.
c) Employees making the request must have depleted all sources of paid time off, including sick time, vacation time, floating holidays, New York State Paid Family Leave, parental leave, and salary continuation, if applicable.
d) Employees will not be granted leave from the donation Bank instead of, or as a supplement to, long-term disability benefits.
e) Full-time employees who are eligible to receive donated leave may receive up to four weeks in a 12-month period calculated as the 12-month period measured forward from the first day of the Vacation Donation usage. Time can be taken consecutively or intermittently in full days. Part-timers may receive up to 4 weeks at a pro-rated amount.
f) All time allocated from the donation Bank will be converted and distributed based on dollar value of the recipients' rate of pay at the time of request, not by donated hours.
g) Illnesses and/or injuries may not be job related.
h) Illnesses and/or injuries must be supported by acceptable medical documentation as determined by the review committee. By signing the application for this paid leave, employees are agreeing that their personal information may be shared with the Committee making decisions on this request. Every effort will be made to maintain confidentiality.

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5.3 Sick

5.3.1 Sick time is provided to address the below scenarios and is not to be substituted for any other types of absences:

a) an employee's illnesses or injuries
b) an employee's trips to a health care provider (including reasonable travel and actual visit time)
c) a family member's illness or injury. A family member is a child, spouse, parent (not parent-in-law), or domestic partner.
d) Family Medical Leave, as specified in EP 3.3, and the first 5 business days of absence under Parental Leave.
e) New York State Paid Family Leave, if employee elects to use accrued sick leave while on PFL.

5.3.2 Full-time Management employees accrue sick time as follows:

a) 3.46 hours per pay period if on a 37.5-hour work week

b) 3.69 hours per pay period if on a 40-hour work week

5.3.3 Part-time Management NYPA employees (working 20 or more hours per week, but less than full-time weekly work hours) and Provisional employees that work less than full-time (working at least 30 hours or more per week) accrue sick leave on a prorated basis based on the number of hours the employee is scheduled to work.

5.3.4 There is no maximum on the amount of sick leave Credits that may be carried over from one year to another.

5.3.5 If, for an entire pay period, an employee is on a personal leave of absence without pay, medical leave extending beyond 12 weeks of FMLA (see EP 3.3), or long term disability (LTD), they will not accrue sick leave Credits until they return to work.

5.3.6 In the event of death, payment for accrued and unused sick leave will be paid first to the beneficiary as named in the employee's group life insurance policy as permissible under the NYS Surrogates Court Procedure Act § 1310 ("SCPA") with the remainder (if any) paid to the estate of the decedent. If no allocation is permissible under the SCPA, the entire amount of unused vacation sick leave will be paid to the estate of the decedent.

5.3.7 Sick leave will be paid out to employees who qualify as a NYPA retiree (see EP 3.1). Details on payout options at retirement are available in the Retiree Benefits Guide on nypa.gov/benefits.

5.4 Floating Holiday

NYPA provides floating holidays as paid days off from work in lieu of certain regular holidays (See NYPA Holiday Schedule on nypa.gov/benefits). Employees actively at work, on FMLA, Paid Family Leave, Parental Leave, or any paid leave of absence are credited with one floating holiday on the first day of each quarter, not to exceed four in a

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calendar year. Floating holidays do not roll over to following year and are not paid out.

5.5 New York State Paid Family Leave (PFL)

NYPA provides Employees with paid time off for employees who may need time to bond with a new child, care for a sick family member, or assist loved ones when a family member is called to active military service abroad as defined in the New York State's Paid Family leave law. For further information, contact your local HR Representative or HR Services, who will calculate your eligible paid time based on any other time away from work policies, which may run concurrently with PFL

5.6 Family Medical Leave Act (FMLA)

NYPA provides Employees with job protection under FMLA, which requires larger employers to provide employees up to 12 weeks of unpaid job protected leave for a serious health condition for yourself or a family member. Such qualified medical and family reasons may include adoption, pregnancy, foster care placement, family or personal Illness, or military leave. (see E.P. 3.3).

5.7 Management Salary Continuation

Salary continuation is available during an approved Employee Medical Leave (EML) and runs concurrently with FMLA, when applicable. If the EML is intermittent, then intermittent FMLA runs concurrently. Benefits begin on the eighth consecutive calendar day of an employee's disability or after their sick leave is exhausted, whichever is later, and cannot exceed 11 weeks in a 12-month period.

a) Employees, who have worked for NYPA for at least 1 month, are eligible to receive salary continuation at 50% of the employee's base pay per day during the covered leave period.
b) Employees have the option of using vacation time and/or floating holidays instead of salary continuation.
c) For Part-time or Provisional Management employees that are less than Full-Time, Salary Continuation will be paid on a prorated basis based on their weekly work schedule.

5.8 Parental Leave

Parental Leave is available to Employees and runs concurrently with FMLA and PFL, when applicable. Employees who have worked for NYPA at least 6 months are eligible for 100% of the employee's base pay per day during the covered leave period.

Benefits begin on the eighth consecutive calendar day of leave. Employees have the option of using sick, vacation time and/or floating holidays for the waiting period.

If two NYPA Management employees are the caretakers for the same child, both are eligible to take Parental Leave. Both employees may take leave consecutively or

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intermittently, and simultaneously. However, time off approval will be consistent with business necessity and will not be unreasonably denied.

For Part-time or Provisional Management employees that are less than Full-Time, Parental Leave will be paid on a prorated basis based on their weekly work schedule.

5.9 Performance Assessments while on a Leave of Absence

Annual performance assessments should be based on performance in the previous assessment year, regardless of the length of time the employee was on an approved paid leave. Merit increases will be paid retroactively upon an employee's return to work.

Other increases while on leave will be determined on a case by case basis.

In neither situation will the amount of the increase be affected by the leave.

5.10 Long Term Disability (LTD)

Employees may be eligible for benefit payments under the Long-Term Disability Plan they elected once they have been on leave for three consecutive months for their own illness or injury, and after they have exhausted all of their accrued sick time. Provisional employees are not eligible for LTD. Information is provided in the LTD booklet available from HR Services.

5.11 Workers Compensation

Employees are provided with Workers' Compensation insurance which provide medical and wage benefits to employees that are injured or become ill at work.

5.12 Bereavement Time for Death in The Family

5.12.1 NYPA provides eligible Employees three days of paid time off at the employee's base salary rate, when there is a death in an employee's Immediate Family as defined in Section 3. Bereavement days can be used consecutively or intermittently.

5.12.2 Employees should use vacation or a floating holiday when the deceased is someone other than immediate family, or if more than the three days provided for in this policy are needed.

5.13 Jury Duty

5.13.1 NYPA provides eligible Employees paid time off that is needed to fulfill jury duty service. All classifications of Temporary Management employees are entitled to a leave of absence due to jury duty as required by law.

5.13.2 Employees are paid for all days served on jury duty at their base salary in effect upon commencement of leave.

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5.14 Military

5.14.1 If an eligible Employee is a member of the National Guard or the reserve personnel of the federal uniformed services, they will be allowed a certain number of days off as outlined below, for military service. Days are defined as scheduled workdays.

a) Full base pay for 30 workdays per calendar year regardless of type of leave (training, drills, active duty, etc.)

b) "Differential pay" for an additional 60 workdays for long-term deployment (greater than 30 workdays), regardless of where deployed and regardless of "act of war" determination. Differential pay is the difference between what the employee would normally be paid at NYPA minus pay they are receiving from the military. The employee essentially receives their full NYPA base pay between NYPA and military pay.

c) Differential pay for an additional 90 workdays for long-term deployment outside the U.S., regardless of "act of war" determination

Workday 1-30	**Workday 31 – 90**	**Workday 91 - 180**
Full NYPA base pay	Differential pay between NYPA pay and military pay	Differential pay if on active duty outside U.S.

5.14.2 Documentation of appropriate military orders must be provided prior to the commencement of the leave with as much advance notice as possible. Provide a copy to your local HR Representative.

5.14.3 Upon return from leave, the Payroll Department must receive a copy of the appropriate military orders.

5.14.4 Authorized military leave is paid at an employee's base salary.

a) Employee will receive vacation Accruals while on military leave

b) If a holiday falls during the paid military leave, the employee will be paid for the holiday. The holiday will not be counted toward the 30, 60, or 90 workdays.

Additional military benefits:

a) NYPA will fully subsidize COBRA for dependents not covered under military health plans (i.e., children over 21 up to age 26) while deployed for up to the three-year COBRA eligibility period

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b) Veterans will receive one paid day off each calendar year for a mandated VA military physical, if required, while actively at work.
c) Reservists will receive two paid days per calendar year for travel to military training, drills, etc.

5.15 Unpaid Personal Leave

5.15.1 Before an Employee is placed on an unpaid personal leave, they must exhaust all accumulated vacation and floating holiday leave time. Accumulated sick leave Credits may not be used for personal leave purposes.

5.15.2 Unpaid leaves of absence, to pursue personal interests, will be considered on an individual basis as long as the absence will not adversely affect the department's work goals and needs.

5.15.3 Job security while on an unpaid personal leave will be considered by the respective department in consultation with the Heads of the Business Unit and Human Resources or its designee. Such approvals will be consistent with business necessity and will not be unreasonably denied.

5.15.4 The employee is responsible to pay the benefit contributions during an unpaid personal leave. Arrangements can be made to make up all missed contributions on a post-tax basis upon return to work.

5.15.5 Long-term disability insurance coverage will cease at the commencement of an approved unpaid leave but will resume upon the employee's return from leave. New York State Retirement System participation will continue but the employee will not earn service credit during the unpaid period of the leave. Service Credit will resume upon an employee's return from leave.

5.15.6 If an employee is on an unpaid personal leave on January 1, they will receive sick and vacation time credits on a pro-rated basis upon their return to work. If an employee receives sick and vacation Credits on January 1 and commences an unpaid leave after that date, they keep the sick and vacation time Credited on January 1.

5.15.7 When an employee is on an unpaid personal leave they will not receive holiday pay if a holiday occurs during the leave.

5.15.8 Before an employee's return from an approved unpaid personal leave, the supervisor must notify their local HR Representative, so that the necessary payroll and benefits transactions can be initiated to return the employee to active status. The employee cannot return to work at their discretion.

5.15.9 Employees can request a reasonable accommodation by contacting the Office of Civil Rights and Inclusion. Reasonable accommodations will be considered according to CP 1-11.

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5.16 Domestic Violence

NYPA will provide Employees a reasonable accommodation to victims of domestic violence per New York State Law. Employees can request reasonable time off for the following reasons:

a) Seek medical attention for injuries caused by domestic violence
b) Obtain services from a domestic violence shelter, program, or rape crisis center
c) Obtain psychological counseling related to an incident of domestic violence
d) Participate in safety planning or to take other actions to increase safety from future incidents of domestic violence
e) Obtain legal services, assist in the prosecution of the offense, or appear in court in relation to the incident of domestic violence.

For any type of reasonable accommodation, contact the Office of Civil Rights & Inclusion. Employee Relations and local HR representatives can provide support to employees who have concerns related to Domestic Violence.

5.17 Cancer Screening

5.17.1 Employees are eligible for up to four hours on a calendar year basis, to undertake a screening for cancer, per New York State law.

5.17.2 Employees are entitled to this time away from work for cancer screening scheduled during their regular work hours. If an employee undergoes cancer screenings outside their regular work hours, they do so on their own time.

5.18 Lactation Time and Location

5.18 NYPA will provides Employees a reasonable paid break time or mealtime each day to allow an employee to express milk for nursing a child for up to three years following the birth of the child. NYPA shall also make reasonable efforts to provide a room or location, near the work area, where the employee can express milk in privacy. If you need this accommodation, contact your local HR representative.

5.19 Paid Volunteer Time (PVT)

5.19.1 NYPA will provide up to two days of Paid Volunteer Time (PVT) annually to permanent full-time, active duty Employees to volunteer with approved, eligible charitable and not-for-profit entities having Federal tax-exempt or tax-deductible status.

5.19.2 The days may be used for an individual or team volunteer project.

5.19.3 Employees may request to use PVT in full-days or half-days. PVT hours must be used

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during normal business hours. PVT will be paid at an employee's normal rate of pay and is not subject to overtime rates or any other expenses that are associated with such leave. Unused PVT may not be carried over to the next calendar year.

5.19.4 Employees requesting PVT must obtain advance supervisor and Human Resources approval on the PVT Request Form. Additional approval of the Ethics and Compliance Office is required where conflicts of interest or other ethics issues may exist.

Volunteering that is part of a NYPA Team Building activity or Employee Resource Groups, will not count towards your PVT days.

NYPA cannot approve requests for certain activities/projects, including, but not limited to, those which:

a) pose a potential conflict of interest for NYPA or are not aligned with the Code of Conduct
b) pose safety or security risks to employees (e.g. clean-up work at a disaster site)
c) benefit charities or fundraisers with the sole purpose of providing support to a named individual or a named family
d) influence legislation, lobbying activities or involve appointed or elected officials, political parties or political initiatives
e) involve religious programs of churches, temples, mosques, or other sectarian organizations.

5.20 Organ/Bone Marrow Donation

5.20.1 NYPA will provide leave with pay for Employees who are either bone marrow donors or organ donors per New York State Law. Employees can take up to seven days paid leave to undergo a medical procedure to donate bone marrow and up to thirty days paid leave to serve as an organ donor.

5.20.2 The provisions of this section do not affect an employee's rights with respect to any other employee benefit otherwise provided by law.

5.21 Election Voting

5.21.1 Per New York State Law, all registered voters are eligible for up to two hours of paid time off to vote if they do not have "sufficient time to vote" (i.e. four consecutive hours to vote before or after their work schedule) , to enable them to vote in any public election. Public election includes federal, state or local elections or primaries. See New York State Voting Leave Rights for details.

https://www.elections.ny.gov/NYSBOE/elections/TimeOffToVoteFAQ.pdf

5.21.2 Employees must be registered to vote and must provide their manager at least two days advance notice of the need for the time off. Managers may designate whether this time must be taken at the beginning or end of the shift.

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6 VIOLATIONS

N/A

7 REFERENCES

7.1 Family & Medical Leave Act (EP 3.3) PowerNet → Quick Links → Policies & Procedures → Employee Policies and Procedures

7.2 Management Employee Categories and Eligibility for Benefits (EP 3.1) PowerNet → Quick Links → Policies & Procedures → Employee Policies and Procedures

7.3 Flexibility Plan Overview of Employee Handbook PowerNet → Work-Life → Benefits

7.4 New York State Law

7.5 Human Rights Law

7.6 New York State Paid Family Leave Law

7.7 CP 1.1 PowerNet → Quick Links → Policies & Procedures → Company Policies and Procedures

7.8 EP 1.9 PowerNet → Quick Links → Policies & Procedures → Employee Policies and Procedures

8 POLICY REVIEW AND EXPIRATION

This document will be reviewed and updated as business needs require. However, a mandatory review will be required on the anniversary date of the approved document.

Revision Cycle: Every Year

9 ATTACHMENTS

N/A

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E-Signature Approval History

Role	Name	Approved Date
Final Approver	Pizzo, Kristine	11/25/2020
Executive Owner	Coyne, Kristen (Lennihan)	11/23/2020
Content Owner	Verdesi, Brenda	11/23/2020

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NEW YORK STATE OF OPPORTUNITY. | NY Power Authority | Canal Corporation

Date: **March 30, 2021**

To: **THE GOVERNANCE COMMITTEE**

From: **DENNIS G. TRAINOR, GOVERNANCE COMMITTEE CHAIR**

Subject: **2020 Annual NYPA and Canal Board Evaluation Pursuant to Sections 2800 and 2824 of the Public Authorities Law and Guidance of the Authorities Budget Office**

SUMMARY

The Governance Committee is requested to recommend that the Authority's Board of Trustees and the Canal Corporation's Board of Directors approve the annual Board evaluation summary for 2020 and authorize the Corporate Secretary to submit the summary to the Governor, legislative leaders, the State Comptroller and the Authorities Budget Office ("ABO") pursuant to Section 2800 of the Public Authorities Law, as amended by the Public Authorities Accountability Act of 2005 ("PAAA"), within 90 days of the close of the Authority's fiscal year.

BACKGROUND

The 2009 Public Authorities Reform Act requires that the board of every state and local public authority conduct an annual evaluation of its performance. Board member comments are protected from disclosure under Article 6 of the Public Officers Law, but the results of the assessment are to be provided to the ABO. To the extent that the results of this evaluation demonstrate the need for the board to improve its performance, amend its practices or procedures, or clarify its expectations of board members, the board is expected to implement suitable corrective actions immediately.

FISCAL INFORMATION

There is no anticipated fiscal impact.

RECOMMENDATION

The Governance Committee is requested to recommend that the Authority's Board of Trustees and the Canal Corporation's Board of Directors approve the annual Board evaluation summary for 2020 ("Exhibit A") and authorize the Corporate Secretary to submit the summary to the Governor, legislative leaders, the State Comptroller, and the Authorities Budget Office ("ABO") as required by Public Authorities Law Section 2800.

R E S O L U T I O N

RESOLVED, that the Governance Committee recommends the adoption of the 2020 annual Board Evaluation Summary as listed in Exhibit “A” to the Authority’s Board of Trustees and the Canal Corporation’s Board of Directors as required by Section C (1) (e) of the Governance Committee Charter.

Exhibit A
March 30, 2021

2020 Confidential Evaluation of NYPA/Canal Board Performance

Criteria	Agree	Somewhat Agree	Somewhat Disagree	Disagree
1. Board members have a shared understanding of the mission and purpose of:				
a. the Authority.	6			
b. Canal Corporation.	6			
2. The policies, practices and decisions of the Board are always consistent with the mission and purpose of:				
a. the Authority.	6			
b. Canal Corporation.	6			
3. Board members comprehend their role and fiduciary responsibilities and hold themselves and each other to these principles.	6			
4. The Board adopts and reviews annually policies, by-laws, and practices for the effective governance, management and operations of:				
a. the Authority.	5	1		
b. Canal Corporation.	5	1		
5. The Board sets clear and measurable performance goals that contribute to accomplishing its mission for the Authority:				
a. the Authority.	6			
b. Canal Corporation.	6			
6. The decisions made by Board members are arrived at through independent judgment and deliberation, free of political influence, pressure or self-interest.	6			
7. Individual Board members communicate effectively with executive staff so as to be well informed on the status of all important issues.	6			
8. Board members are knowledgeable about the programs, financial statements, reporting requirements, and other transactions of:				
a. the Authority.	5	1		
b. Canal Corporation.	5	1		
9. The Board meets to review and approve, where required by law, all documents and reports prior to public release and is confident that the information being presented is accurate and complete on behalf of:				
a. the Authority.	6			
b. Canal Corporation.	6			
10. The Board knows the statutory obligations and compliance status with laws applicable to:				
a. the Authority.	6			
b. Canal Corporation.	6			
11. Board and committee meetings facilitate open, deliberate and thorough discussion, and the active participation of members.	6			
12. Board members have sufficient opportunity to research, discuss, question and prepare before decisions are made and votes taken.	6			
13. Individual Board members feel empowered to delay votes, defer agenda items, or table actions if they feel additional information or discussion is required.	6			
14. The Board exercises appropriate oversight of the CEO and other executive staff, including setting performance expectations and reviewing performance annually.	6			
15. The Board has identified the areas of most risk and works to implement risk mitigation strategies before problems occur with management of:				
a. the Authority.	6			
b. Canal Corporation	6			
16. Board members demonstrate leadership and vision and work respectfully with each other.	6			

Date Completed: _____2/25/21_____

NEW YORK STATE OF OPPORTUNITY. | NY Power Authority

Memorandum

Date: **March 30, 2021**

To: **THE GOVERNANCE COMMITTEE**

From: **THE PRESIDENT AND CHIEF EXECUTIVE OFFICER**

Subject: **Annual Review and Approval of Guidelines for the Investment of Funds and 2020 Annual Report on Investment of Authority Funds**

SUMMARY

The Governance Committee is requested to review, approve and recommend the Trustees approve at their March 30 meeting the attached 2020 Annual Report on Investment of Authority Funds and amendment to the Guidelines for the Investment of Funds (Exhibit "A").

BACKGROUND

Section 2925 of the Public Authorities Law requires the review and approval of an annual report on investments. Pursuant to the statute, the attached report includes Investment Guidelines that set standards for the management and control of the Authority's investments; total investment income; a statement of fees paid for investment management services; the results of an independent audit; a detailed inventory report for each of the Authority's investment portfolios as of December 31, 2020; and a summary of transactions with brokers, dealers and banks. The approved annual report is filed with the State Division of the Budget, with copies to the Office of the State Comptroller, the Senate Finance Committee and the Assembly Ways and Means Committee. The report is also available to the public upon written request.

DISCUSSION

1. Overview of 2020 Annual Report on Investment of Authority Funds

In 2020, the Authority's investment portfolios, exclusive of the separately managed Other Post-Employment Benefits Trust Fund, averaged approximately $700 million. At year-end, $1.1 billion in cash and investments was held in the Authority's Operating Fund with the remainder held in construction funds and restricted funds. The Operating Fund was created by the Authority's General Resolution authorizing Revenue Obligations adopted on February 24, 1998. A number of internal reserves have been established within the Operating Fund, as follows (year-end balances noted in parentheses):

- **Debt Service Reserve ($12 million)** – The Debt Service Reserve is funded monthly to ensure that sufficient amounts are available to pay debt service obligations when due. The Authority's forecasted scheduled principal and interest payments presently total approximately $90 - $110 million per year.

- **Energy Hedging/Fuel Reserve ($57 million)** – This Reserve was established to have funds available for use as collateral that may be required to support the Authority's

authorized fuel and energy hedging transactions and to maintain funds to match a federal obligation to pay for the processing and final disposition of spent nuclear fuel burned by the Authority when it owned the Indian Point #3 and James A. FitzPatrick nuclear plants. On February 3, 2009, the Trustees approved the temporary transfer to the State of New York ("State") of $215 million held in this Reserve for the spent fuel obligation to assist with the State's budgetary deficits. The temporary asset transfer was completed on February 25, 2009 and, in accordance with the terms and conditions of a second amended Memorandum of Understanding between the NYS Director of the Division of Budget and the Authority, is due to be returned to the Authority in six annual installments that began in 2017. The first of these installments of $22 million was received on September 26, 2017, with the second installment of $22 million received on September 21, 2018, the third installment of $43 million received on October 1, 2019, and fourth installment of $43 million received on February 8, 2021. The December 31, 2020 spent fuel obligation was $229 million.

- **Capital Project Reserve ($511 million) –** This amount is being set aside to partially fund major new investments in energy infrastructure by the Authority. In order to minimize customer costs, maintain the Authority's financial metrics and maintain ready access to the capital markets, it has been determined that the major investments should be financed with a portion funded by debt and a portion funded by Authority cash or, in effect, its "equity." This Reserve has been established to provide this equity. On February 3, 2009, the Trustees approved a temporary transfer of $103 million from the Capital Project Reserve to the State to assist with the State's budgetary deficits and reaffirmed the transfer on July 28, 2009. The temporary asset transfer was completed in September 2009, and in accordance with the terms and conditions of an amended Memorandum of Understanding between the NYS Director of the Division of Budget and the Authority, was scheduled to be returned to the Authority in five annual installments beginning in 2014. The first of these installments of $18 million was received on October 1, 2014, with the second installment of $21 million received on September 17, 2015. The third installment of $21 million was received on September 22, 2016. The fourth installment of $22 million was received on September 26, 2017. The fifth and final installment of $21 million under a second amended MOU was received on September 21, 2018.

- **Western New York Economic Development Fund ($6 million) –** On March 30, 2012, Governor Cuomo signed into law the Western New York Power Proceeds Allocation Act (the "Act"), which authorizes net earnings from the sale of unallocated Expansion Power and Replacement Power from the Authority's Niagara power project, as deemed feasible and advisable by the Trustees, to be deposited into the Western New York Economic Development Fund ("WNYEDF"). The net earnings deposited into the WNYEDF will be utilized to fund economic development projects by private businesses, including not-for-profits, which are physically located within New York State and within a thirty-mile radius of the Niagara power project.

- **Northern New York Economic Development Fund ($4 million) –** On December 30, 2014, Governor Cuomo signed into law the Northern New York Power Proceeds Allocation Act, which authorizes net earnings from the sale of up to 20 MW of unallocated firm St. Lawrence County Economic Development Power from the Authority's St. Lawrence-FDR power project, as deemed feasible and advisable by the Trustees, to be deposited into the Northern New York Economic Development Fund ("NNYEDF"). The net earnings deposited into the NNYEDF will be utilized to fund economic development projects and businesses in St. Lawrence County. After five years, only up to 10 MW of unallocated power will be monetized for economic development.

- **Operating Reserve ($516 million)** – The Operating Reserve includes a reserve for working capital and emergency repairs to the Authority's projects. The Authority's Trustees have established a minimum reserve amount of $175 million for this purpose and funds cannot be released for "any lawful corporate purpose" (pursuant to Section 503(1)(e) of the Bond Resolution) unless this minimum reserve level is satisfied. The December 31, 2020 Operating Reserve of $516 million reflects this $175 million minimum, plus the amount staff deems prudent to provide for uncertainties in cash flows and commitments related to certain statewide economic development programs.

In addition to the Operating Fund, as of December 31, 2020, the Authority separately held a total of $280 million in cash and investments from the proceeds of bond and note issuances in its Construction portfolios. These funds are earmarked for construction projects currently under way, such as the St. Lawrence Life Extension and Modernization Project and improvements pursuant to the Niagara Relicensing Settlement Agreements, as well as Transmission construction and life extension and modernization projects.

The Authority's portfolios earned approximately $17.7 million in investment income and gains on sale in 2020, a $0.7 million decrease from the investment income earned in 2019. In defense of market volatility related to the Covid pandemic, Staff in March temporarily liquidated much of its portfolio. In addition, the falling interest rate environment early in the year restricted the reinvestment of maturing securities to lower yielding instruments.

As of December 31, 2020, the portfolio was comprised of government-sponsored agency securities (38.3%), municipal securities (8.0%), treasuries (17.6%), certificates of deposit and repurchase agreements (6.5%), and money market funds (29.6%).

Other Post-Employment Benefits Trust ($731 million)

The Authority's Other Post-Employment Benefits Trust (as amended, the "OPEB Trust") was established in 2007 as authorized by the Authority's Trustees at their December 19, 2006 meeting to provide for medical, prescription drug, life and other long-term care benefits offered by the Authority for retirees and eligible beneficiaries. The OPEB Trust allows for investments in a diversified portfolio of assets, including domestic and international equity securities, domestic and international fixed-income securities, public Real Estate Investment Trusts and a U. S. Treasury Money Market fund. During 2007 and 2008, the Authority deposited a total of $225 million into the OPEB Trust to partially fund its actuarial accrued liability. On October 25, 2011, the Authority's Trustees approved on-going annual funding of the OPEB Trust in order to strengthen the Authority's financial position. Contributions totaling $114.7 million, which represented the net obligation for the years 2009 through 2015, were made to the OPEB Trust in accordance with the Trustees authorization.

As of December 31, 2020, the OPEB Trust's market value was approximately $731 million, representing an annualized return of 6.53% for 2020. The return performance was attributable to significant second half market gains across international and domestic equities, and real estate.

Investment management and advisory fees associated with the OPEB Trust Fund totaled $1,162,947 in 2020 and were paid from such Trust Fund. These fees and the firms paid are detailed in Section III (B) of the attached report.

2. Amendments to Investment Guidelines

The Investment Guidelines and procedures have not been amended since last presented to and approved by the Trustees at their meeting of March 31, 2020. Several edits (shown in Exhibit "B" as tracked changes) are recommended to clarify use of and restrictions on Authorized Investments. First, Staff recommends adding Farmer Mac, Tennessee Valley Authority and Export-Import Bank of the United States among its investible Federal entities. In addition, reverse repurchase agreements are more clearly included under the category of Repurchase Agreements. These changes are consistent with the guidance in the State Comptroller's Investment Guidelines for Public Authorities. Second, rating requirements for Guaranteed Investment Contracts have been added. Third, Staff recommends a clarification of the waiver requirements related to certain transactions.

With the inclusion of the suggested changes, the amended Investment Guidelines remain fundamentally sound and meet the requirements of the Authority. Furthermore, these Guidelines continue to meet the requirements of Section 2824(1)(e) of the Public Authorities Law, which requires the Authority's Trustees to establish written policies and procedures with respect to investments.

RECOMMENDATION

The Treasurer recommends that the Governance Committee review, approve and recommend the Trustees approve at their March 30 meeting the attached 2020 Annual Report on Investment of Authority Funds and amendment to the Guidelines for the Investment of Funds.

For the reasons stated, I recommend the approval of the above-requested action by adoption of the resolution below.

Gil C. Quiniones
President and Chief Executive Officer

R E S O L U T I O N

RESOLVED, That the Governance Committee approves and recommends the Trustees approve the 2020 Annual Report on Investment of Authority Funds and amendment to the Guidelines for the Investment of Funds; and be it further

RESOLVED, That Governance Committee recommends that the Chairman, the Vice Chairman, the President and Chief Executive Officer, the Chief Operating Officer and all other officers of the Authority be authorized on behalf of the Authority to do any and all things, take any and all actions and execute and deliver any and all agreements, certificates and other documents to effectuate the foregoing resolution, subject to the approval of the form thereof by the Executive Vice President and General Counsel.

Exhibit "A"
March 30, 2021

2020 Annual Report on
Investment of Authority Funds

Table of Contents

Section I	Guidelines for the Investment of Funds	
Section II	Explanation of the Investment Guidelines	
Section III	A.	Investment Income Record
	B.	Fees Paid for Other Post-Employment Benefits Trust Fund
	C.	Results of the Annual Independent Audit
Section IV	Inventory of Investments Held on December 31, 2020	
Section V	Summary of Dealers and Banks from Which Securities Were Purchased and Sold	

Section I

New York Power Authority
Guidelines for the Investment of Funds

I. General

These Guidelines for the Investment of Funds (the "Guidelines") are intended to effectuate the applicable provisions of the General Resolution Authorizing Revenue Obligations, adopted February 24, 1998 (the "Resolution"), the lien and pledge of which covers all accounts and funds of the Authority and that governs the Authority's existing policies and procedures concerning the investment of funds as contained in these Guidelines. In a conflict between the Guidelines and the Resolution, the latter shall prevail. In addition, these Guidelines are intended to effectuate the provisions of Section 2925 of the New York State Public Authorities Law.

II. Responsibility for Investments

The Deputy Treasurer and Investment Officer have the responsibility for the investment of Authority funds under the general supervision of the Treasury Investment Committee, formally comprised of the Executive Vice President and Chief Financial Officer, Treasurer, SVP & CRO, Controller, and VP Finance. Alternate members may include other appointees as so deemed appropriate by the EVP and CFO. The Treasurer shall ensure that an operating manual is maintained that provides a detailed description of procedures for maintaining records of investment transactions and related information.

III. Investment Goals

The Treasurer and Deputy Treasurer are responsible for maximizing the yield on investments consistent with requirements for safety, liquidity and minimization of risk. Monies will not be invested for terms in excess of the projected use of funds.

IV. Authorized Investments

A. Monies in funds established pursuant to the Resolution shall be invested in Authorized Investments or Authorized Certificates of Deposit, defined as follows:

"Authorized Investments" shall mean:

1. Direct obligations of or obligations guaranteed by the United States of America or the State of New York;

2. Bonds, debentures, notes or other obligations issued or guaranteed by any of the following: Federal National Mortgage Association (including Participation Certificates), Government National Mortgage Association, Federal Financing Bank, Federal Home Loan Mortgage Corporation and

Federal Home Loan Banks, Federal Housing Administration, Federal Farm Credit Banks Funding Corporation, Federal Farm Credit Banks, Federal Intermediate Credit Banks, Federal Banks for Cooperatives, Federal Land Banks, Farmer Mac, Tennessee Valley Authority ("TVA"), Export-Import Bank of the United States ("EXIM") or any other agency controlled or supervised by and acting as an instrumentality of the United States government;

3. Obligations of any state of the United States of America or any political subdivision thereof or any agency, instrumentality or local government unit of any such state or political subdivision that shall be rated at the time of the investment in any of the three highest long-term Rating Categories, as such term is defined in the Resolution, or the highest short-term Rating Category by a Rating Agency, as such term is defined in the Resolution.

4. Public Housing Bonds issued by Public Housing Authorities and fully secured as to the payment of both principal and interest by a pledge of annual contributions under an Annual Contributions Contract with the United States of America; or Project Notes issued by Local Public Agencies, in each case, fully secured as to the payment of both principal and interest by a requisition or payment agreement with the United States of America; provided that such Bonds or Notes are guaranteed by the United States of America.

5. Money market funds, as defined in the Investment Company Act of 1940, registered under the Federal Securities Act of 1933, and whose objective is to maintain a constant share value of $1.00, provided that: (a) no more than $50 million of the Authority's investments shall be invested in any one money market fund for more than thirty consecutive business days; (b) fund investments are restricted to securities described in paragraph (1) or (2) of this subdivision; and (c) no more than 40 percent of the total amount of the Authority's investments shall be invested in money market funds at any time.

6. Guaranteed Investment Contracts or GIC Funds issued by creditworthy insurance companies rated A or higher by A.M. Best Co. and collateralized by issuer's general or separate account assets, provided that no more than $50 million of the Authority's investments shall be invested in any one contract or fund.

7. Repurchase and reverse repurchase agreements ("Repurchase Agreements"), including "gestation" repurchase agreements of agency-backed collateral with a physical trust certificate from a FINRA-licensed broker dealer, with any bank or trust company organized under the laws of any state of the United States of America or any national banking association or government bond dealer reporting to, trading with, and

recognized as a primary dealer by the Federal Reserve Bank of New York, which agreement is secured by any one or more of the securities described in paragraph (1) or (2) of this subdivision, which securities shall at all times have a market value of not less than the full amount of the repurchase agreement and be delivered to another bank or trust company organized under the laws of New York State or any national banking association domiciled in New York State, as custodian.

"Authorized Certificate of Deposit" shall mean a certificate of deposit authorized by the Resolution as an "Authorized Investment." These include CDs offered through the Certificate of Deposit Account Registry Service ("CDARS") program provided the co-operative property/casualty insurance company retains title on each CD purchased.

B. The Authority, as an issuer of tax-exempt obligations, must not engage in any arbitrage practice prohibited by the arbitrage regulations promulgated under the Internal Revenue Code. In no event shall Authority funds be invested in a manner that would violate the provisions of such arbitrage regulations.

V. Provisions Relating to Qualifications of Dealers and Banks

A.1. The purchase and/or sale of Authorized Investments shall be transacted only through banks, trust companies or national banking associations (herein collectively termed "Banks") that are members of the Federal Reserve System and government security dealers (herein termed "Dealers"), which are Banks and Dealers reporting to, trading with and recognized as primary dealers by the Federal Reserve Bank of New York. A list of authorized Banks and Dealers shall be maintained. Banks and Dealers shall have demonstrated an ability to:

a) offer superior rates or prices on the types and amounts of securities required;
b) provide a high degree of attention to the Authority's investment objectives; and
c) execute trades in a timely and accurate manner.

A.2. Authorized Investments may also be purchased or sold through minority-owned, women-owned, and service-disabled veteran owned firms authorized to transact business in the U.S. government and municipal securities markets. Such qualified firms shall demonstrate the qualities detailed in clauses (a), (b) and (c) of Section V.A.1.

A.3. Municipal securities qualifying as Authorized Investments may also be purchased or sold through any municipal bond dealer registered in the State of New York that demonstrates the qualities detailed in clauses (a), (b) and (c) of Section V.A.1.

B. Authorized Certificates of Deposit and time deposits ("Time Deposits") shall be purchased directly from Banks that:

(1) are members of the Federal Reserve System transacting business in the State of New York;
(2) have capital and surplus aggregating at least $50 million; and
(3) demonstrate all the qualities detailed in clauses (a), (b) and (c) of Section V.A.1.

C. Authorized Investments purchased by the Authority or collateral securing its investments shall be deposited only with custodians designated by the Authority. Such custodians shall be Banks that are members of the Federal Reserve System transacting business in the State of New York or creditworthy banks or trust companies authorized to do business in the State of New York.

D. The Authority shall file with each qualified dealer a letter agreement that designates the (1) type of authorized investments, (2) Authority employees who are authorized to transact business and (3) delivery instructions for the safekeeping of investments.

E. The Authority shall enter into a written contract with any (1) Dealer from which Authorized Investments are purchased subject to a Repurchase Agreement and (2) Bank from which Authorized Certificates of Deposit are purchased.

VI. General Policies Governing Investment Transactions

A. Competitive quotations or negotiated prices shall be obtained except in the purchase of government securities at their initial auction or upon initial offering. A minimum of three quotes shall be obtained and documented from Dealers and/ or Banks, except as indicated above, and the most favorable quote accepted. The Executive Vice President and Chief Financial Officer or Treasurer may waive this or other requirements and limits on a single-transaction basis only if warranted by market conditions and documented in writing.

B. Authorized Investments purchased shall be either delivered to the Authority's designated custodian or, in the case of securities held in a book-entry account maintained at the Federal Reserve Bank of New York or the Depository Trust Company, recorded in the Authority's name or in the name of a nominee agent or custodian designated by the Authority on the books of the Federal Reserve Bank of New York or the Depository Trust Company. Payment shall be made to the Dealer or Bank only upon receipt by the Authority's custodian of (1) the securities or (2) in the case of securities held in a book-entry account, written advice or wire confirmation from the Federal Reserve Bank of New York or the Depository Trust Company that the necessary book entry has been made.

C. Each purchase or sale of Authorized Investments or Authorized Certificates of Deposit shall be authorized by the Treasurer or Deputy Treasurer. Investment orders may be placed by Authority employees as designated by the Treasurer. The custodian shall have standing instructions to send a transaction advice to the Authority's Controller for purposes of comparison with internal records. The Controller shall advise the Treasurer of any variances, and the Treasurer shall ensure appropriate corrections are provided.

VII. Policies Concerning Certain Types of Investment Diversification Standards Required

A. Authorized Certificates of Deposit and Time Deposits

1. Authorized Certificates of Deposit and Time Deposits shall be purchased directly from a Bank in the primary market.

2. Authorized Certificates of Deposit and Time Deposits shall be continuously secured/collateralized by Authorized Investments defined in subsection (1) or (2) of Section IV.A., having a market value (exclusive of accrued interest) at all times at least equal to the principal amount of such Certificates of Deposit or Time Deposits. Such Authorized Investments shall be segregated in a separate custodian account on behalf of the Authority. Collateral pledged for Certificates of Deposit or Time Deposits held as investments shall be market valued (marked to market) not less than once per week.

3. Investments in Authorized Certificates of Deposit or Time Deposits shall not exceed 25% of the Authority's invested funds. The par value of Authorized Certificates of Deposit purchased from any one Bank shall not exceed $25 million.

B. Repurchase Agreements

The Authority may from time to time elect to enter into arrangements for the purchase and resale or the sale and repurchase of Authorized Investments. This type of investment transaction shall be used only when there is no other viable, short-term investment alternative.

1. A Repurchase Agreement shall be transacted only with banks or trust companies authorized to do business in the State of New York or from broker dealers on the Federal Reserve Bank of New York’s list of primary government securities dealers.

2. Authorized Investments purchased subject to a Repurchase Agreement shall be marked to market daily to ensure their value equals or exceeds the purchase price.

3. A Repurchase Agreement shall be limited to a maximum fixed term of 30 days. Payment for the purchased securities shall be made against delivery to the Authority's designated custodian (which shall not be a party to the transaction as seller or seller's agent) or, in the case of securities held in a book-entry account maintained at the Federal Reserve Bank of New York or the Depository Trust Company, written advice that the securities are recorded in the Authority's name or in the name of a nominee, agent or custodian designated by the Authority on the books of the Federal Reserve Bank or the Depository Trust Company.

4. No more than $50 million of Authorized Investments shall be purchased under a Repurchase Agreement with any one Dealer or Bank. This requirement may be waived by the Executive Vice President and Chief Financial Officer on a single- transaction basis only if warranted by special circumstances and documented in writing.

5. The aggregate amount invested in Repurchase Agreements may not exceed $250 million. The Executive Vice President and Chief Financial Officer may waive this requirement on a single-transaction basis only if warranted by cash-flow requirements and documented in writing.

VIII. Review

These Guidelines and any proposed amendments shall be submitted for Trustee review and approval at least once a year.

In addition to the Authority's periodic review, the Authority's independent auditors, in connection with their examination of the Authority, shall perform an annual audit of the investment portfolio, review investment procedures and prepare a report, the results of which will be made available to the Trustees.

IX. Reports

A. The Treasurer shall submit an investment report to the Trustees, at least quarterly. Such report shall contain a (1) detailed description of each investment; (2) summary of the dealers and banks from which such securities were purchased and (3) a list of fees, commissions or other charges, if any, paid to advisors or other entities rendering investment services.

B. The Treasurer shall submit an annual report for approval by the Trustees. In addition to the information provided quarterly, the Annual Report shall include (i) a copy of the Guidelines; (ii) an explanation of the Guidelines and any amendments thereto since the last annual report; (iii) the results of an annual independent audit of investment inventory and procedures and (iv) a record of income earned on invested funds. The approved report shall be submitted to the

State Division of the Budget with copies distributed to the Office of the State Comptroller, the Senate Finance Committee and the Assembly Ways and Means Committee. Copies shall be made available to the public upon written reasonable request.

C. Any waivers that occurred during the prior month shall be reported to the Executive Vice President and Chief Financial Officer.

X. Miscellaneous

A. These Guidelines are intended for guidance of officers and employees of the Authority only, and nothing contained herein is intended or shall be construed to confer upon any person, firm or corporation any right, remedy, claim or benefit under, or by reason of, any requirement or provision thereof.

B. Nothing contained in these Guidelines shall be deemed to alter, affect the validity of, modify the terms of or impair any contract, agreement or investment of funds made or entered into in violation of, or without compliance with, the provisions of these Guidelines.

C. No provisions in these Guidelines shall be the basis of any claim against any Trustee, officer or employee of the Authority in his or her individual or official capacity or against the Authority itself.

D. The Executive Vice President and Chief Financial Officer or Treasurer may waive requirements or limits on a single-transaction basis if warranted by cash-flow requirements and documented in writing with notice to NYPA Risk, if in adherence with State Comptroller's guidelines and NYPA's Bond Resolution.

Section II

EXPLANATION OF INVESTMENT GUIDELINES

Section II Responsibility for Investments

Establishes responsibility for the Investment of Authority Funds and limits the number of individuals authorized to place investment orders.

Section III Investment Goal

Establishes the policy that earning a reasonable return on investments must be consistent with standards set for minimization of risk and availability of funds when needed.

Section IV Authorized Investments

Details the types of investments the Authority can undertake as prescribed in Section 101 of the Resolution.

This section also requires that investments made in each of the Funds established under the Resolution be invested for a term commensurate with cash-flow expectations and that such investments not violate the arbitrage regulations of the Internal Revenue Code.

Section V Provisions Relating to Qualifications of Dealers and Banks

Establishes criteria for the selection of banks and dealers from which the Authority may buy or sell investments. Business is transacted with firms that have demonstrated financial strength and a high degree of reliability with respect to servicing the Authority's needs. This section also directs that custody of Authority investments be maintained by banks that are members of the Federal Reserve System transacting business in the State of New York.

This section also addresses the subject of contracts with banks and dealers for the purchase or sale of Authorized Investments. The Authority has written Letters of Agreement with authorized dealers that specify the types of securities in which the Authority may invest and identify those Authority individuals authorized to give instructions related to the purchase and sale of securities. In addition, the Authority shall have a written form of agreement for use in transactions subject to Repurchase Agreements with any authorized dealer with which the Authority may transact this type of investment.

Section VI General Policies Governing Investment Transactions

Requires that the Authority solicit no less than three bids for the purchase or sale of securities in order to ensure the most favorable rate except when securities are purchased at their initial auction, upon new issue or through negotiated prices.

Requires that the Authority or its custodian, prior to payment, take possession of such securities, or in the case of book-entry securities, obtain written advice or wire confirmation that transfer or ownership has been recorded.

Establishes authorized employees to approve the purchase or sale of securities.

Establishes control procedures whereby the Controller shall compare the custodian's confirmation to Authority records.

Section VII Policy Concerning Certain Types of Investment Diversification Standards Required

Establishes a policy concerning the purchase of Authorized Certificates of Deposit and Time Deposits intended to minimize the risk associated with such transactions. Authorized Certificates of Deposit or Time Deposits may be purchased directly from a bank that is a member of the Federal Reserve System transacting business in the State of New York. Such deposits shall be continuously secured by Authorized Investments as outlined in subsection (1) or (2) of Section IV.A. This collateral shall be regularly priced to current market to assure the Authority's security interest is continuously protected. Aggregate holdings of Authorized Certificates of Deposit shall not exceed 25% of the Authority's total investment. Authorized Certificates of Deposit purchased from any one bank shall not exceed $25 million.

Establishes a policy intended to minimize the risk associated with arrangements for the purchase and resale of Authorized Investments known as Repurchase Agreements (“Repos”). Repos purchased from any one qualified dealer or bank shall not exceed $50 million and shall be limited to a maximum fixed term of thirty days. Aggregate investments in Repos shall not exceed the greater of 5% of the Authority's total investments or $250 million. All securities purchased or sold under the terms of a Repo, including a physical trust certificate for a “gestation repo”, shall be held in safekeeping by a designated custodian for the Authority. Such securities shall be priced to market on a daily basis to assure the Authority's security interest.

Section VIII Review

Establishes policy requiring review of the Guidelines at least once a year. Requires an annual audit by the Authority's independent auditors of the Authority's investment portfolio and compliance with the guidelines established by the Authority and the State Comptroller.

Section IX Reports

Establishes policy requiring submission of reports to the Authority's Trustees concerning the management and performance of the Authority's portfolio.

This Section also requires that an annual report be submitted for approval by the Authority's Trustees. Copies of the approved report shall be sent to the State Division of the Budget, Office of the State Comptroller, Senate Finance Committee and Assembly Way and Means Committee.

Section III

A. Investment Income Record

During 2020, the Authority's investment portfolio market value averaged approximately $700 million and earned approximately $17.7 million.

The earnings were as follows (dollars in millions):

Interest Income - Operating & Other Funds	4.7
Realized Gain/(Loss)	13.0
Total	**$ 17.7**

The 2020 investment income was lower than investment income earned in 2019. In response to the Covid crisis, the Authority temporarily liquidated much of its portfolios to better withstand market fluctuations. In addition, maturing securities rolled off the portfolio and the proceeds from matured securities and investment of new cash flows were invested in lower yielding securities throughout the year.

B. Fees Paid for Other Post-Employment Benefits Trust Fund Investment/Advisory Services

$ 118,086	Ariel Investments
$ 58,414	CenterSquare Investment Management
$ 191,427	Garcia Hamilton
$ 84,809	Lazard Asset Management
$ 32,423	Loomis Sayles
$ 89,332	Matarin Capital Management
$ 110,805	MFS Global
$ 180,000	NEPC (Advisory Services)
$ 14,064	State Street Global Advisors
$ 283,586	Wellington International
$1,162,947	**Total**

Fees were paid from the OPEB Trust Fund.

C. Results of the Annual Independent Audit

In connection with its examination of the Authority's financial statements, KPMG LLP ("KPMG") performed tests of the Authority's compliance with certain provisions of the Investment Guidelines, the State Comptroller's Investment Guidelines and Section 2925 of the Public Authorities Law. Based on discussions with KPMG, Staff is of the opinion that KPMG's written report, which will be delivered upon approval of the financial statements by the Board, will state that the Authority complied, in all material respects, with the requirements during the year ended December 31, 2020. Consequently, staff believes the Authority is in compliance with the Investment Guidelines, the State Comptroller's Investment Guidelines and Section 2925 of the Public Authorities Law.

NEW YORK POWER AUTHORITY
INVENTORY REPORT BY PORTFOLIO AND SECURITY TYPE
HOLDINGS AS OF 12/31/20

PORTFOLIO / SECURITY	SECURITY DESCRIPTION	PAR AMOUNT	MATURITY DATE	COUPON RATE	PRINCIPAL COST	TOTAL COST
PORTFOLIO: BG ECO ENHANCEMENT FUND						
MONEY MARKET FUNDS						
665279808	Northern Institutional Treasury Portfolio	2,000,000.00	N/A	Variable	2,000,384.83	2,000,384.83
Subtotal:	MONEY MARKET FUNDS	2,000,000.00			2,000,384.83	2,000,384.83
Subtotal: PORTFOLIO: BG ECO ENHANCEMENT FUND		**2,000,000.00**			**2,000,384.83**	**2,000,384.83**
PORTFOLIO: BG RECREATION FUND						
MONEY MARKET FUNDS						
665279808	Northern Institutional Treasury Portfolio	2,000,000.00	N/A	Variable	2,000,384.83	2,000,384.83
Subtotal:	MONEY MARKET FUNDS	2,000,000.00			2,000,384.83	2,000,384.83
Subtotal: PORTFOLIO: BG RECREATION FUND		**2,000,000.00**			**2,000,384.83**	**2,000,384.83**
PORTFOLIO: OPERATING CAPITAL INTEREST						
TREASURY						
9127962Q1	T-BILL	18,326,000.00	4/22/2021	0.00	18,301,292.36	18,301,292.36
9128285L0	T-NOTE	18,327,000.00	11/15/2021	2.88	19,077,261.56	19,077,261.56
9128286U9	T-NOTE	18,590,000.00	5/15/2022	2.13	19,316,171.88	19,316,171.88
912828TY6	T-NOTE	18,787,000.00	11/15/2022	1.63	19,465,093.28	19,465,093.28
912828VB3	T-NOTE	18,940,000.00	5/15/2023	1.75	19,985,228.48	19,985,228.48
Subtotal:	TREASURY	92,970,000.00			96,145,047.56	96,145,047.56
Subtotal: PORTFOLIO: OPERATING CAPITAL INTEREST		**92,970,000.00**			**96,145,047.56**	**96,145,047.56**
PORTFOLIO: OPERATING SPENT FUEL						
MORTGAGE						
3134GWK47	Federal Home Loan Mortgage Corporation	30,000,000.00	9/8/2023	0.31	30,000,000.00	30,002,541.67
3134GWU95	Federal Home Loan Mortgage Corporation	25,000,000.00	9/22/2025	0.53	25,000,000.00	25,000,000.00
Subtotal:	MORTGAGE	55,000,000.00			55,000,000.00	55,002,541.67
MUNICIPAL						
64990AQA6	MUNI - NYS DORM PIT	10,000.00	3/15/2021	3.06	10,000.00	10,000.00
64990AQD0	MUNI - NYS DORM PIT	5,205,000.00	3/15/2021	3.06	5,205,000.00	5,205,000.00
64990ANT8	MUNI - NYS DORM PIT	40,000.00	3/15/2022	3.18	39,965.20	39,965.20
64990AQB4	MUNI - NYS DORM PIT	10,000.00	3/15/2022	3.18	10,000.00	10,000.00
64990AQE8	MUNI - NYS DORM PIT	7,325,000.00	3/15/2022	3.18	7,325,000.00	7,325,000.00
Subtotal:	MUNICIPAL	12,590,000.00			12,589,965.20	12,589,965.20
PROJECT LOAN						
36225BM21	MTGS - GNMA POOL #781277	101,528.00	12/15/2028	7.00	95,305.42	95,305.42
Subtotal:	PROJECT LOAN	101,528.00			95,305.42	95,305.42
Subtotal: PORTFOLIO: OPERATING SPENT FUEL		**67,691,528.00**			**67,685,270.62**	**67,687,812.29**

NEW YORK POWER AUTHORITY
INVENTORY REPORT BY PORTFOLIO AND SECURITY TYPE
HOLDINGS AS OF 12/31/20

PORTFOLIO / SECURITY	SECURITY DESCRIPTION	PAR AMOUNT	MATURITY DATE	COUPON RATE	PRINCIPAL COST	TOTAL COST
PORTFOLIO: OPERATING LINKED DEPOSIT PROGRAM						
CERTIFICATES OF DEPOSIT						
	CD - Evans Bank, N.A.	953,710.00	1/5/2021	0.00	953,710.00	953,710.00
	CD - GLENS FALLS NAT. BANK & TRUST CO	183,500.00	1/5/2021	0.00	183,500.00	183,500.00
	CD - Community Bank N.A	131,433.00	1/7/2021	0.00	131,433.00	131,433.00
	CD - M & T TRUST CO.	150,000.00	1/28/2021	0.00	150,000.00	150,000.00
	CD - M & T TRUST CO.	428,000.00	3/10/2021	0.00	428,000.00	428,000.00
	CD - M & T TRUST CO.	303,000.00	5/20/2021	0.00	303,000.00	303,000.00
	CD - GLENS FALLS NAT. BANK & TRUST CO	269,988.60	6/10/2021	0.00	269,988.60	269,988.60
	NYS Linked Deposit Program	134,599.00	8/5/2021	0.00	134,599.00	134,599.00
	NYS Linked Deposit Program	66,000.00	8/12/2021	0.00	66,000.00	66,000.00
	NYS Linked Deposit Program	109,000.00	8/26/2021	0.00	109,000.00	109,000.00
	NYS Linked Deposit Program	312,208.53	9/8/2021	0.00	312,208.53	312,208.53
	NYS Linked Deposit Program	82,000.00	10/21/2021	0.00	82,000.00	82,000.00
	NYS Linked Deposit Program	48,413.94	12/16/2021	0.00	48,413.94	48,413.94
	NYS Linked Deposit Program	116,000.00	12/16/2021	0.00	116,000.00	116,000.00
Subtotal:	CERTIFICATES OF DEPOSIT	3,287,853.07			3,287,853.07	3,287,853.07
Subtotal: PORTFOLIO: OPERATING LINKED DEPOSIT PROGRAM		**3,287,853.07**			**3,287,853.07**	**3,287,853.07**
PORTFOLIO: OPERATING FUND						
FEDERAL FARM CREDIT						
3133ELG65	AGENCY - FFCB	25,000,000.00	12/8/2021	0.20	25,000,000.00	25,000,000.00
Subtotal:	FEDERAL FARM CREDIT	25,000,000.00			25,000,000.00	25,000,000.00
FARMER MAC						
31422BP79	AGENCY - FAMCA	25,000,000.00	2/16/2021	0.47	25,000,000.00	25,000,000.00
Subtotal:	FARMER MAC	25,000,000.00			25,000,000.00	25,000,000.00
MONEY MARKET FUNDS						
40428X107	MMF - HSBC Investor US Govt Money Mkt	50,000,000.00	N/A	0.11	50,024,984.71	50,024,984.71
608919718	MMF - Fed Govt Obligaitons Fnd (Primer)	50,000,000.00	N/A	0.11	50,019,622.13	50,019,622.13
665279808	MMF - Northern Inst. Treasury Portfolio	50,000,000.00	N/A	0.14	50,020,540.81	50,020,540.81
857492706	MMF - State Street Inst. US Govt	50,000,000.00	N/A	0.12	50,019,478.32	50,019,478.32
857492888	MMF - State Street Inst. Treasury Fund	22,013,336.77	N/A	0.10	22,013,336.77	22,013,336.77
Subtotal:	MONEY MARKET FUNDS	222,013,336.77			222,097,962.74	222,097,962.74
MORTGAGE						
31422BZ37	MTGS - FAMCA	10,000,000.00	10/20/2025	Var	10,000,000.00	10,000,000.00
30306RAF5	MTGS - FHLB	804,478.00	4/25/2038	3.00	629,216.00	629,216.00
3137FHQL0	MTGS - FHLB	17,125,706.00	10/15/2048	Var	15,748,695.13	15,748,695.13
Subtotal:	MORTGAGE	27,930,184.00			26,377,911.13	26,377,911.13

NEW YORK POWER AUTHORITY
INVENTORY REPORT BY PORTFOLIO AND SECURITY TYPE
HOLDINGS AS OF 12/31/20

PORTFOLIO / SECURITY	SECURITY DESCRIPTION	PAR AMOUNT	MATURITY DATE	COUPON RATE	PRINCIPAL COST	TOTAL COST
PORTFOLIO: OPERATING FUND (Continued)						
MUNICIPAL						
4140187X3	MUNI - Harris County, TX	2,500,000.00	10/1/2035	4.00	3,048,400.00	3,052,288.89
949289PR7	MUNI -Weld County, CO SD#6 Greeley	3,100,000.00	12/1/2035	5.00	4,064,968.00	4,122,231.89
93974DWK0	MUNI - WA St. General Obligation	4,000,000.00	2/1/2037	5.00	4,851,280.00	4,879,613.33
586145U44	MUNI -Memphis, TN General Obligation	7,530,000.00	6/1/2045	4.00	8,539,622.40	8,640,859.07
13066YTY5	MUNI - CAL ST DPT WTR RES PWR	11,132,135.45	5/1/2021	1.71	11,132,135.45	11,132,135.45
64971W5X4	MUNI - NYC TRANSITIONAL FIN AUTH	10,000,000.00	5/1/2021	2.06	10,014,500.00	10,014,500.00
64972HV82	MUNI - NYC TFA Build Aid Rev	3,200,000.00	7/15/2021	3.15	3,200,000.00	3,200,000.00
59261AG76	MUNI - MTA	10,000,000.00	11/15/2049	5.18	10,000,000.00	10,000,000.00
Subtotal:	MUNICIPAL	51,462,135.45			54,850,905.85	55,041,628.63
TREASURY						
9128285L0	US Treasury	50,000,000.00	11/15/2021	2.88	52,080,078.13	52,080,078.13
Subtotal:	TREASURY	50,000,000.00			52,080,078.13	52,080,078.13
Subtotal: PORTFOLIO: OPERATING FUND		**401,405,656.22**			**405,406,857.85**	**405,597,580.63**
PORTFOLIO: OPERATING NORTHERN NY						
MONEY MARKET FUNDS						
665279808	Northern Institutional Treasury Portfolio	3,500,000.00	N/A	Variable	3,500,673.46	3,500,673.46
Subtotal:	MONEY MARKET FUNDS	3,500,000.00			3,500,673.46	3,500,673.46
Subtotal: PORTFOLIO: OPERATING NORTHERN NY		**3,500,000.00**			**3,500,673.46**	**3,500,673.46**
PORTFOLIO: OPERATING WESTERN NY						
MONEY MARKET FUNDS						
665279808	Northern Institutional Treasury Portfolio	7,500,000.00	N/A	Variable	7,501,443.12	7,501,443.12
Subtotal:	MONEY MARKET FUNDS	7,500,000.00			7,501,443.12	7,501,443.12
Subtotal: OPERATING WESTERN NY		**7,500,000.00**			**7,501,443.12**	**7,501,443.12**

NEW YORK POWER AUTHORITY
INVENTORY REPORT BY PORTFOLIO AND SECURITY TYPE
HOLDINGS AS OF 12/31/20

PORTFOLIO / SECURITY	SECURITY DESCRIPTION	PAR AMOUNT	MATURITY DATE	COUPON RATE	PRINCIPAL COST	TOTAL COST
PORTFOLIO: TRANSMISSION						
FARM CREDIT						
3133ELD76	AGENCY - FFCB	25,000,000.00	2/3/2021	0.34	24,992,500.00	24,992,500.00
3133EL6V1	AGENCY - FFCB	25,000,000.00	9/10/2024	0.43	24,991,250.00	24,993,638.89
Subtotal:	FARM CREDIT	50,000,000.00			49,983,750.00	49,986,138.89
FARMER MAC						
31422BP87	AGENCY - FAMCA	30,000,000.00	2/17/2021	0.35	30,000,000.00	30,000,000.00
31422BP38	AGENCY - FAMCA	20,000,000.00	2/19/2021	0.70	20,000,000.00	20,000,000.00
31422BS76	AGENCY - FAMCA	15,000,000.00	9/21/2027	Variable	15,000,000.00	15,000,000.00
Subtotal:	FARMER MAC	65,000,000.00			65,000,000.00	65,000,000.00
FREDDIE MAC						
3134GWTL0	AGENCY - FHLMC	30,000,000.00	9/28/2023	0.30	30,000,000.00	30,000,000.00
3134GWU95	AGENCY - FHLMC	25,000,000.00	9/22/2025	0.53	25,000,000.00	25,000,000.00
3137FWGD6	AGENCY - FHLMC	21,450,000.00	7/25/2030	Variable	21,517,031.25	21,517,755.19
Subtotal:	FREDDIE MAC	76,450,000.00			76,517,031.25	76,517,755.19
REPURCHASE AGREEMENT						
004SW6NY8	Repurchase Agreement - Trust Certificate	50,000,000.00	1/6/2021	1.25	51,511,250.00	51,511,250.00
Subtotal:	REPURCHASE AGREEMENT	50,000,000.00			51,511,250.00	51,511,250.00
Subtotal: PORTFOLIO: TRANSMISSION		**241,450,000.00**			**243,012,031.25**	**243,015,144.08**
GRAND TOTAL		**821,805,037.29**			**830,539,946.59**	**830,736,323.87**

Exhibit "A - Section V"
March 30, 2021

POWER AUTHORITY OF THE STATE OF NEW YORK
Summary of Bids/Offers Solicited for the Purchase and Sale of Securities
For the Year Ended December 31, 2020

Brokers	Bids/Offers Accepted	Bids/Offers Solicited	Total Cost Purchases/Sales	Money Markets, CDs and Repurchase Agreements	Total Transactions
Academy Securities‡	1	1	19,985,228		19,985,228
Bancroft Capital ‡	1	1	6,525,832		6,525,832
Bank of America Merrill Lynch	2	2	40,591,240		40,591,240
Bank of Montreal	6	6	174,701,829		174,701,829
Bank of New York	5	5	132,855,523		132,855,523
Cantor Fitzgerald	3	3	81,810,864		81,810,864
CastleOak *	9	11	193,911,577		193,911,577
Citigroup Global Markets	2	2	54,219,740		54,219,740
Great Pacific Securities *	2	2	35,213,000		35,213,000
Inst'l Cash Distributors (Money Mkt Funds)	134	134		3,026,198,560	3,026,198,560
Jefferies	1	1	10,000,000		10,000,000
JVB	6	6		309,053,365	309,053,365
Key Bank	14	14		3,287,853	3,287,853
Loop Capital Markets LLC *	6	7	151,145,506		151,145,506
Mizuho Securities USA Inc.	3	7	48,296,927		48,296,927
Multibank Securities‡	9	9	250,001,133		250,001,133
Piper Sandler LLC	15	15	181,995,951		181,995,951
RBC Capital Markets	4	10	64,143,629		64,143,629
Wells Fargo Securities	20	20	301,980,872		301,980,872
Grand Total	**243**	**256**	**$1,747,378,852**	**$3,338,539,778**	**$5,085,918,629**

* Minority/Woman Owned Business dealer; accounted for 21.8% of transactions in 2020.
‡ Service Disabled Veteran Owned Dealer; accounted for 15.8% of transactions in 2020.

Exhibit B
March 30, 2021

Tracked Changes

Exhibit "A"
March 301, 20210

202019 Annual Report on Investment of Authority Funds

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Section I

New York Power Authority
Guidelines for the Investment of Funds

I. General

These Guidelines for the Investment of Funds (the "Guidelines") are intended to effectuate the applicable provisions of the General Resolution Authorizing Revenue Obligations, adopted February 24, 1998 (the "Resolution"), the lien and pledge of which covers all accounts and funds of the Authority and that governs the Authority's existing policies and procedures concerning the investment of funds as contained in these Guidelines. In a conflict between the Guidelines and the Resolution, the latter shall prevail. In addition, these Guidelines are intended to effectuate the provisions of Section 2925 of the New York State Public Authorities Law.

II. Responsibility for Investments

The Deputy Treasurer and Investment Officer have the responsibility for the investment of Authority funds under the general supervision of the Treasury Investment Committee, formally comprised of the Executive Vice President and Chief Financial Officer, Treasurer, SVP & CRO, Controller, and VP Finance. Alternate members may include other appointees as so deemed appropriate by the EVP and CFO. The Treasurer shall ensure that an operating manual is maintained that provides a detailed description of procedures for maintaining records of investment transactions and related information.

III. Investment Goals

The Treasurer and Deputy Treasurer are responsible for maximizing the yield on investments consistent with requirements for safety, liquidity and minimization of risk. Monies will not be invested for terms in excess of the projected use of funds.

IV. Authorized Investments

A. Monies in funds established pursuant to the Resolution shall be invested in Authorized Investments or Authorized Certificates of Deposit, defined as follows:

"Authorized Investments" shall mean:

1. Direct obligations of or obligations guaranteed by the United States of America or the State of New York;

2. Bonds, debentures, notes or other obligations issued or guaranteed by any of the following: Federal National Mortgage Association (including Participation Certificates), Government National Mortgage Association, Federal Financing Bank, Federal Home Loan Mortgage Corporation and

Federal Home Loan Banks, Federal Housing Administration, Federal Farm Credit Banks Funding Corporation, Federal Farm Credit Banks, Federal Intermediate Credit Banks, Federal Banks for Cooperatives, Federal Land Banks, Farmer Mac, Tennessee Valley Authority ("TVA"), Export-Import Bank of the United States ("EXIM") or any other agency controlled or supervised by and acting as an instrumentality of the United States government;

3. Obligations of any state of the United States of America or any political subdivision thereof or any agency, instrumentality or local government unit of any such state or political subdivision that shall be rated at the time of the investment in any of the three highest long-term Rating Categories, as such term is defined in the Resolution, or the highest short-term Rating Category by a Rating Agency, as such term is defined in the Resolution.

4. Public Housing Bonds issued by Public Housing Authorities and fully secured as to the payment of both principal and interest by a pledge of annual contributions under an Annual Contributions Contract with the United States of America; or Project Notes issued by Local Public Agencies, in each case, fully secured as to the payment of both principal and interest by a requisition or payment agreement with the United States of America; provided that such Bonds or Notes are guaranteed by the United States of America.

5. Money market funds, as defined in the Investment Company Act of 1940, registered under the Federal Securities Act of 1933, and whose objective is to maintain a constant share value of $1.00, provided that: (a) no more than $50 million of the Authority's investments shall be invested in any one money market fund for more than thirty consecutive business days; ~~and~~ (b) fund investments are restricted to securities described in paragraph (1) or (2) of this subdivision; and (c) no more than 40 percent of the total amount of the Authority's investments shall be invested in money market funds at any time.

6. Guaranteed Investment Contracts or GIC Funds issued by creditworthy insurance companies rated A or higher by A.M. Best Co. and collateralized by issuer's general or separate account assets, provided that no more than $50 million of the Authority's investments shall be invested in any one contract or fund.

7. ~~Reverse r~~Repurchase and reverse repurchase agreements ("Repurchase Agreements"), including "gestation" repurchase agreements of agency-backed collateral with a physical trust certificate from a FINRA-licensed broker dealer, with any bank or trust company organized under the laws of any state of the United States of America or any national banking association or government bond dealer reporting to, trading with, and

recognized as a primary dealer by the Federal Reserve Bank of New York, which agreement is secured by any one or more of the securities described in paragraph (1) or (2) of this subdivision, which securities shall at all times have a market value of not less than the full amount of the repurchase agreement and be delivered to another bank or trust company organized under the laws of New York State or any national banking association domiciled in New York State, as custodian.

"Authorized Certificate of Deposit" shall mean a certificate of deposit authorized by the Resolution as an "Authorized Investment." These include CDs offered through the Certificate of Deposit Account Registry Service ("CDARS") program provided the co-operative property/casualty insurance company retains title on each CD purchased.

B. The Authority, as an issuer of tax-exempt obligations, must not engage in any arbitrage practice prohibited by the arbitrage regulations promulgated under the Internal Revenue Code. In no event shall Authority funds be invested in a manner that would violate the provisions of such arbitrage regulations.

V. Provisions Relating to Qualifications of Dealers and Banks

A.1. The purchase and/or sale of Authorized Investments shall be transacted only through banks, trust companies or national banking associations (herein collectively termed "Banks") that are members of the Federal Reserve System and government security dealers (herein termed "Dealers"), which are Banks and Dealers reporting to, trading with and recognized as primary dealers by the Federal Reserve Bank of New York. A list of authorized Banks and Dealers shall be maintained. Banks and Dealers shall have demonstrated an ability to:

a) offer superior rates or prices on the types and amounts of securities required;
b) provide a high degree of attention to the Authority's investment objectives; and
c) execute trades in a timely and accurate manner.

A.2. Authorized Investments may also be purchased or sold through minority-owned, women-owned, and service-disabled veteran owned firms authorized to transact business in the U.S. government and municipal securities markets. Such qualified firms shall demonstrate the qualities detailed in clauses (a), (b) and (c) of Section V.A.1.

A.3.A. Municipal securities qualifying as Authorized Investments may also be purchased or sold through any municipal bond dealer registered in the State of New York that demonstrates the qualities detailed in clauses (a), (b) and (c) of Section V.A.1.

B. Authorized Certificates of Deposit and time deposits ("Time Deposits") shall be purchased directly from Banks that:

(1) are members of the Federal Reserve System transacting business in the State of New York;

(2) have capital and surplus aggregating at least $50 million; and

(3) demonstrate all the qualities detailed in clauses (a), (b) and (c) of Section V.A.1.

C. Authorized Investments purchased by the Authority or collateral securing its investments shall be deposited only with custodians designated by the Authority. Such custodians shall be Banks that are members of the Federal Reserve System transacting business in the State of New York or creditworthy banks or trust companies authorized to do business in the State of New York.

D. The Authority shall file with each qualified dealer a letter agreement that designates the (1) type of authorized investments, (2) Authority employees who are authorized to transact business and (3) delivery instructions for the safekeeping of investments.

E. The Authority shall enter into a written contract with any (1) Dealer from which Authorized Investments are purchased subject to a ~~r~~Repurchase ~~a~~Agreement and (2) Bank from which Authorized Certificates of Deposit are purchased.

VI. General Policies Governing Investment Transactions

A. Competitive quotations or negotiated prices shall be obtained except in the purchase of government securities at their initial auction or upon initial offering. A minimum of three quotes shall be obtained and documented from Dealers and/or Banks, except as indicated above, and the most favorable quote accepted. The Executive Vice President and Chief Financial Officer, Treasurer or Deputy Treasurer may waive this or other requirements and limits on a single-transaction basis only if warranted by market conditions and documented in writing.

B. Authorized Investments purchased shall be either delivered to the Authority's designated custodian or, in the case of securities held in a book-entry account maintained at the Federal Reserve Bank of New York or the Depository Trust Company, recorded in the Authority's name or in the name of a nominee agent or custodian designated by the Authority on the books of the Federal Reserve Bank of New York or the Depository Trust Company. Payment shall be made to the Dealer or Bank only upon receipt by the Authority's custodian of (1) the securities or (2) in the case of securities held in a book-entry account, written advice or wire confirmation from the Federal Reserve Bank of New York or the Depository Trust Company that the necessary book entry has been made.

C. Each purchase or sale of Authorized Investments or Authorized Certificates of Deposit shall be authorized by the Treasurer or Deputy Treasurer. Investment

orders may be placed by Authority employees as designated by the Treasurer. The custodian shall have standing instructions to send a transaction advice to the Authority's Controller for purposes of comparison with internal records. The Controller shall advise the Treasurer of any variances, and the Treasurer shall ensure appropriate corrections are provided.

VII. Policies Concerning Certain Types of Investment Diversification Standards Required

A. Authorized Certificates of Deposit and Time Deposits

1. Authorized Certificates of Deposit and Time Deposits shall be purchased directly from a Bank in the primary market.

2. Authorized Certificates of Deposit and Time Deposits shall be continuously secured/collateralized by Authorized Investments defined in subsection (1) or (2) of Section IV.A., having a market value (exclusive of accrued interest) at all times at least equal to the principal amount of such Certificates of Deposit or Time Deposits. Such Authorized Investments shall be segregated in a separate custodian account on behalf of the Authority. Collateral pledged for Certificates of Deposit or Time Deposits held as investments shall be market valued (marked to market) not less than once per week.

3. Investments in Authorized Certificates of Deposit or Time Deposits shall not exceed 25% of the Authority's invested funds. The par value of Authorized Certificates of Deposit purchased from any one Bank shall not exceed $25 million.

B. Repurchase Agreements

The Authority may from time to time elect to enter into arrangements for the purchase and resale or the sale and repurchase of Authorized Investments ~~(known as "Repurchase Agreements")~~. This type of investment transaction shall be used only when there is no other viable, short-term investment alternative.

1. A Repurchase Agreement shall be transacted only with banks or trust companies authorized to do business in the State of New York or from broker dealers on the Federal Reserve Bank of New York's list of primary government securities dealers.

2. Authorized Investments purchased subject to a Repurchase Agreement shall be marked to market daily to ensure their value equals or exceeds the purchase price.

3. A Repurchase Agreement shall be limited to a maximum fixed term of 30 days. Payment for the purchased securities shall be made against delivery to the Authority's designated custodian (which shall not be a party to the transaction as seller or seller's agent) or, in the case of securities held in a book-entry account maintained at the Federal Reserve Bank of New York or the Depository Trust Company, written advice that the securities are recorded in the Authority's name or in the name of a nominee, agent or custodian designated by the Authority on the books of the Federal Reserve Bank or the Depository Trust Company.

4. No more than $50 million of Authorized Investments shall be purchased under a Repurchase Agreement with any one Dealer or Bank. This requirement may be waived by the Executive Vice President and Chief Financial Officer on a single- transaction basis only if warranted by special circumstances and documented in writing.

5. The aggregate amount invested in Repurchase ~~or Reverse Repurchase~~ Agreements may not exceed $250 million. The Executive Vice President and Chief Financial Officer may waive this requirement on a single-transaction basis only if warranted by cash-flow requirements and documented in writing.

VIII. Review

These Guidelines and any proposed amendments shall be submitted for Trustee review and approval at least once a year.

In addition to the Authority's periodic review, the Authority's independent auditors, in connection with their examination of the Authority, shall perform an annual audit of the investment portfolio, review investment procedures and prepare a report, the results of which will be made available to the Trustees.

IX. Reports

A. The Treasurer shall submit an investment report to the Trustees, at least quarterly. Such report shall contain a (1) detailed description of each investment; (2) summary of the dealers and banks from which such securities were purchased and (3) a list of fees, commissions or other charges, if any, paid to advisors or other entities rendering investment services.

B. The Treasurer shall submit an annual report for approval by the Trustees. In addition to the information provided quarterly, the Annual Report shall include (i) a copy of the Guidelines; (ii) an explanation of the Guidelines and any amendments thereto since the last annual report; (iii) the results of an annual independent audit of investment inventory and procedures and (iv) a record of

income earned on invested funds. The approved report shall be submitted to the State Division of the Budget with copies distributed to the Office of the State Comptroller, the Senate Finance Committee and the Assembly Ways and Means Committee. Copies shall be made available to the public upon written reasonable request.

C. Any waivers that occurred during the prior month shall be reported to the Executive Vice President and Chief Financial Officer.

X. Miscellaneous

A. These Guidelines are intended for guidance of officers and employees of the Authority only, and nothing contained herein is intended or shall be construed to confer upon any person, firm or corporation any right, remedy, claim or benefit under, or by reason of, any requirement or provision thereof.

B. Nothing contained in these Guidelines shall be deemed to alter, affect the validity of, modify the terms of or impair any contract, agreement or investment of funds made or entered into in violation of, or without compliance with, the provisions of these Guidelines.

C. ~~C.~~ No provisions in these Guidelines shall be the basis of any claim against any Trustee, officer or employee of the Authority in his or her individual or official capacity or against the Authority itself.

~~C.~~D. The Executive Vice President and Chief Financial Officer or Treasurer may waive requirements or limits on a single-transaction basis if warranted by cash-flow requirements and documented in writing with notice to NYPA Risk, if in adherence with State Comptroller's guidelines and NYPA's Bond Resolution.

Section II

EXPLANATION OF INVESTMENT GUIDELINES

Section II Responsibility for Investments

Establishes responsibility for the Investment of Authority Funds and limits the number of individuals authorized to place investment orders.

Section III Investment Goal

Establishes the policy that earning a reasonable return on investments must be consistent with standards set for minimization of risk and availability of funds when needed.

Section IV Authorized Investments

Details the types of investments the Authority can undertake as prescribed in Section 101 of the Resolution.

This section also requires that investments made in each of the Funds established under the Resolution be invested for a term commensurate with cash-flow expectations and that such investments not violate the arbitrage regulations of the Internal Revenue Code.

Section V Provisions Relating to Qualifications of Dealers and Banks

Establishes criteria for the selection of banks and dealers from which the Authority may buy or sell investments. Business is transacted with firms that have demonstrated financial strength and a high degree of reliability with respect to servicing the Authority's needs. This section also directs that custody of Authority investments be maintained by banks that are members of the Federal Reserve System transacting business in the State of New York.

This section also addresses the subject of contracts with banks and dealers for the purchase or sale of Authorized Investments. The Authority has written Letters of Agreement with authorized dealers that specify the types of securities in which the Authority may invest and identify those Authority individuals authorized to give instructions related to the purchase and sale of securities. In addition, the Authority shall have a written form of agreement for use in transactions subject to Repurchase Agreements~~repurchase transactions~~ with any authorized dealer with which the Authority may transact this type of investment.

Section VI General Policies Governing Investment Transactions

Requires that the Authority solicit no less than three bids for the purchase or sale of securities in order to ensure the most favorable rate except when securities are purchased at their initial auction, upon new issue or through negotiated prices.

Requires that the Authority or its custodian, prior to payment, take possession of such securities, or in the case of book-entry securities, obtain written advice or wire confirmation that transfer or ownership has been recorded.

Establishes authorized employees to approve the purchase or sale of securities.

Establishes control procedures whereby the Controller shall compare the custodian's confirmation to Authority records.

Section VII Policy Concerning Certain Types of Investment Diversification Standards Required

Establishes a policy concerning the purchase of Authorized Certificates of Deposit and Time Deposits intended to minimize the risk associated with such transactions. Authorized Certificates of Deposit or Time Deposits may be purchased directly from a bank that is a member of the Federal Reserve System transacting business in the State of New York. Such deposits shall be continuously secured by Authorized Investments as outlined in subsection (1) or (2) of Section IV.A. This collateral shall be regularly priced to current market to assure the Authority's security interest is continuously protected. Aggregate holdings of Authorized Certificates of Deposit shall not exceed 25% of the Authority's total investment. Authorized Certificates of Deposit purchased from any one bank shall not exceed $25 million.

Establishes a policy intended to minimize the risk associated with arrangements for the purchase and resale of Authorized Investments known as Repurchase Agreements ("Repos"). Repos purchased from any one qualified dealer or bank shall not exceed $50 million and shall be limited to a maximum fixed term of ~~five~~ thirty ~~business~~ days. Aggregate investments in Repos shall not exceed the greater of 5% of the Authority's total investments or $~~100~~250 million. All securities purchased or sold under the terms of a Repo, including a physical trust certificate for a "gestation repo", shall be held in safekeeping by a designated custodian for the Authority. Such securities shall be priced to market on a daily basis to assure the Authority's security interest.

Section VIII Review

Establishes policy requiring review of the Guidelines at least once a year. Requires an annual audit by the Authority's independent auditors of the Authority's investment portfolio and compliance with the guidelines established by the Authority and the State Comptroller.

Section IX Reports

Establishes policy requiring submission of reports to the Authority's Trustees concerning the management and performance of the Authority's portfolio.

This Section also requires that an annual report be submitted for approval by the Authority's Trustees. Copies of the approved report shall be sent to the State Division of the Budget, Office of the State Comptroller, Senate Finance Committee and Assembly Way and Means Committee.

Section III

A. Investment Income Record

During 20202019, the Authority's investment portfolio market value averaged approximately $700927 million and earned approximately $17.718.4 million.

The earnings, by fund, were as follows (dollars in millions):

Interest Income - Operating & Other Funds	
$17.94.7	
Capital (Construction Funds)Realized Gain/(Loss)	
0.513.0	
Total	**$ 17.718.4**

The 20202019 investment income was higherlower than investment income earned in 20191918. In response to the Covid crisis, the Authority temporarily liquidated much of its portfolios to better withstand market fluctuations. In addition, mMaturing securities rolled off the portfolio and the proceeds from matured securities and investment of new cash flows were invested in higherlower yielding securities throughout the year.

B. Fees Paid for Other Post-Employment Benefits Trust Fund Investment/Advisory Services

$ 118,08639,556	Ariel Investments
$ 58,414223,709	CenterSquare Investment Management
$ 191,42762,888	Garcia Hamilton
$ 84,809380,004	Lazard Asset Management
$ 32,42339,029	Loomis Sayles
$ 196,977	MacKay & Shields
$ 89,33225,186	Matarin Capital Management
$ 110,80570,459	MFS GlobalNew Amsterdam
$ 180,000294,524	NEPC (Advisory Services)
$ 14,06488,254	State Street Global Advisors
$ 283,586391,021	Wellington International
$ 222,451	Wells Capital Management Inc.
$1,162,9472,034,056	**Total**

Fees were paid from the OPEB Trust Fund.

C. Results of the Annual Independent Audit

In connection with its examination of the Authority's financial statements, KPMG LLP ("KPMG") performed tests of the Authority's compliance with certain provisions of the Investment Guidelines, the State Comptroller's Investment Guidelines and Section 2925 of the Public Authorities Law. Based on discussions with KPMG, Staff is of the opinion that KPMG's written report, which will be delivered upon approval of the financial statements by the Board, will state that the Authority complied, in all material respects, with the requirements during the year ended December 31, 2020~~19~~. Consequently, staff believes the Authority is in compliance with the Investment Guidelines, the State Comptroller's Investment Guidelines and Section 2925 of the Public Authorities Law.

March 30, 2021

Next Meeting

The next regular meeting of the Governance Committee is scheduled to be held on September 30, 2021 at a time to be determined.