



Table of Contents

Supplier Diversity Policy Statement.....1

About the NYPA.....2

The Supplier Diversity Program3

Minority and Women Business Definitions.....4

New York State Certification.....6

For Out-of-State Corporations7

The Procurement Function.....9

Subcontracting Business Tips12

Before You Begin Work as a Subcontractor.....14

As Work Progresses15

Who to Contact16

Bidders Information17

For Your Information.....19

What NYPA Buys.....20

Key Procurement Personnel.....21

NYPA Facilities25

Vendor Profile Form27

NYPA’s Network Map Back of Guide



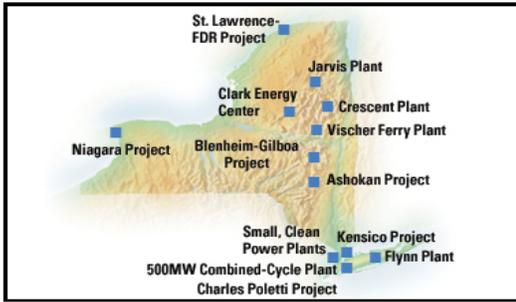
NEW YORK POWER AUTHORITY'S SUPPLIER DIVERSITY PROGRAM

Policy Statement

The New York Power Authority (NYPA), recognizes that the continuing growth and health of our society depends, to a large extent, on the opportunity for everyone to share in the economic process.

To that end, the Authority's policy is to take affirmative action to ensure that Minority and Women-Owned Businesses, (M/WBEs), shall have maximum opportunity to participate in the Authority's contracting activity for the procurement of goods and services.

The Power Authority's Procurement Division is responsible for implementing the Supplier Diversity Program (SDP). However, all Officers, Department Heads, Managers, Supervisors and Employees share in the responsibility of making the Supplier Diversity Program a success.



About NYPA

The **New York Power Authority** (NYPA) is the nation's largest state-owned power organization and New York's only statewide electricity supplier. NYPA provides lower-cost power to government agencies; to municipally owned and rural-cooperative electric systems; to job-producing companies and non-profit groups; to private utilities for resale—without profit—to their customers; and to neighboring states, under federal requirements. The Power Authority is also a national leader in promoting energy efficiency and the development of clean energy technologies and electric vehicles. A non-profit, public-benefit energy corporation, NYPA does not use tax revenues or state credits. It finances its projects through bond sales to private investors.



The Supplier Diversity Program

Linking the Authority's diversified product and service needs with qualified minority-and women-owned businesses is what the Authority's Supplier Diversity Program is all about.

In 1983, the Authority voluntarily established the Supplier Diversity Program. Since that time it has awarded hundreds of millions of dollars in contracts to Minority and Women Business Enterprises for items such as fuel oil, computer equipment and services, printing, office supplies, construction work and engineering services, to name a few.

With the enactment of Executive Law Article 15-A in 1988, the Authority's Supplier Diversity Program was revised to incorporate the rules and regulations promulgated by the New York State Governor's Office. In accordance with the law and with direction from the Governor's office, the Authority will continue its aggressive effort to increase utilization of M/WBE firms certified by New York State and to reach out to those firms who have yet to be certified. In addition, on September 1, 1994, Equal Employment Opportunity requirements were implemented on all applicable contracts.



Definitions of Minority and Women Owned Businesses

In accordance with Executive Law Article 15-A, the Authority only recognizes minority or women-owned business, which have been certified by the New York State's Office of Minority and Women's Business Development. The law defines Minority or Women-Owned Businesses in the following manner:

MINORITY OWNED BUSINESS ENTERPRISE

Any business enterprise which is at least fifty-one percent owned by, or in the case of a publicly owned business, at least fifty-one percent of the stock is owned by citizens or permanent resident aliens who are:

- | | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| (a) Black persons having origins in any of the black African racial groups not of Hispanic origin; | (d) American Indian and Alaskan Native persons having origins in any of the original peoples of North America and maintaining identifiable tribal affiliations through membership and participation or community identifications; and such ownership interest is real, substantial and continuing. The minority ownership must have and exercise the authority to independently control the business decisions of the entity. |
| (b) Hispanic persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American or either Indian or Hispanic origin, regardless of race; | |
| (c) Asian and Pacific Islander persons having origins in any of the Far East Southeast Asia, the Indian subcontinent or the Pacific Islands; and | |



WOMAN OWNED BUSINESS ENTERPRISE

Any business enterprise which is fifty-one percent owned by, or in the case of a publicly owned business, at least fifty-one percent of the stock is owned by citizens or permanent resident aliens who are women, and such ownership interest is real, substantial and continuing. The ownership must have and exercise the authority to independently control the business decisions of the entity.

For the link to the Directory of New York State Certified Minority and
Women Owned firms go to

<http://205.232.252.35/>

or

www.nylovesmwbe.ny.gov



New York State Certification

In order to be recognized as a Minority/Women Business Enterprise (M/WBE) by the Authority, your firm must be certified by the Empire State Economic Development's Division of Minority and Women's Business Development.

To request an application, obtain additional information on the NYS certification requirements or to initiate your certification process, contact one of the two offices listed below or visit their website:

Empire State Development Corporation Division of Minority and Women's Business Development

ALBANY OFFICE

30 South Pearl Street
Albany, NY 12207
(518) 292-5250

NEW YORK CITY OFFICE

633 3rd Avenue, 32nd Floor
New York, NY 10017
(212) 803-2414

Learn more on line at www.nylovesmwbe.ny.gov for additional information on New York State certification requirements, applications, technical assistance, access to capital, contract opportunities and more



For Out-of-State Corporations

The following information was obtained from the New York State Department of State and pertains to all **Out-of-State** Corporations without a New York State address. This requirement does not apply to out-of-state firms who are sole proprietors.

PRIOR TO APPLYING FOR NEW YORK STATE MINORITY/WOMEN BUSINESS ENTERPRISE (M/WBE) CERTIFICATION.

To do business in *New York State* the corporation must possess a **Certificate of Authority** which can be obtained through any stationery store that carries legal documents.

- ✓ A filing fee of \$225.00 must be paid by certified check, attorney's check or money order.
- ✓ The corporation must obtain the **Certificate of Good Standing** from the state in which they are located.
- ✓ Upon completing the above process, the corporation will be qualified to apply for New York State certification. At this point, the **APPLICATION FOR AUTHORITY**, together with a completed **NYS M/WBE CERTIFICATION APPLICATION**, should be submitted to the following address for processing:



Send To:

New York Department of State

Division of Corporations

One commerce Plaza

99 Washington Ave

Albany, NY 12231

(518) 473-2492 (Automated)

Web Site: www.dos.state.ny.us

info@dos.state.ny.us

To download “Application for Authority” and
obtain other pertinent information go to
www.dos.state.ny.us/corp/buscorp.html#appauth



The Procurement Function

Since the Authority purchases a vast amount of equipment, services and supplies to support its operations, maximum emphasis is placed on competitive bidding to meet quality and delivery requirements at the lowest possible cost.

There are two primary methods by which M/WBE's participate in the Authority's procurement activities. They are:

- 1) **Direct Purchasing** - The Authority contracts directly with the M/WBE for the goods and/or services.

AND/OR

- 2) **M/WBE Utilization Goals** - The M/WBE is sub-contractor to a prime vendor/contractor that has a contract with the Authority.

The M/WBE's role as a prime contractor on one contract does not preclude it from also seeking work as a subcontractor on another contract. It is not necessary for the M/WBE to hire agents, advisors and other intermediaries in order to compete for Authority contracts.

Normally proposals are submitted to the Authority as a result of the Authority's issuance of a formal price inquiry, public bid notice or invitation to bid. Each type of solicitation contains instructions relative to proposal preparation and submission procedures.

Public Bid Notices are advertised in the **New York State Contract Reporter**, the State's Official weekly listing of bidding opportunities. Contact them at 1-518 292-5221. Additional information

can be found on their Web site address at www.nyscr.com. Additionally, the Authority may issue statements of interest or other similar notices of various program opportunities.

For each product or service purchased, the Authority normally solicits bids through a number of qualified sources. It is imperative that each bidder



follows **ALL** instructions and specifications. Each solicitation includes:

- ✓ Technical specifications data for the item or service
- ✓ Instructions for preparing the bid
- ✓ Date, Time and Place for bid submission
- ✓ Schedule for commencement and completion
- ✓ Place of delivery

The proposal submitted by the vendor is the instrument intended to persuade the Authority's staff that the vendor is technically qualified, understands the scope of work and can perform the work in a timely, cost-effective manner.



Therefore,

- The Bid Inquiry Number must be referenced on all correspondence and mailing labels.
- If provided, proposals must be signed and submitted on forms furnished by the Authority.
- Unless specifically extended by a bid addendum, bid proposals are due by the "bid due date" specified.
- Your proposal should be self-contained and written with clarity and thoroughness.
- All exceptions to the bid document requirements must be in writing and submitted with your bid proposal. **FAILURE TO DO SO MAY RESULT IN THE REJECTION OF YOUR BID PROPOSAL AS INFORMAL OR INCOMPLETE.**

Make sure your price includes all costs associated with performing the work. Remember you are at a disadvantage if you want to renegotiate the price after the work has begun. Legally, you may not be granted relief if mistakes (except perhaps for obvious arithmetic errors due to the extension of unit prices and corresponding quantities) are discovered after bid opening.

INSTRUCTIONS SHOULD BE FOLLOWED EXPLICITLY.

Questions regarding preparation of your bid proposals should be directed to the buyer identified in the bid document. **THE AUTHORITY IS NOT RESPONSIBLE FOR COSTS INCURRED IN THE PREPARATION OF PROPOSALS.**



Subcontracting Business Tips

The New York Power Authority is committed to increasing the procurement opportunities for Minority and Women-Owned Business Enterprises (M/WBE's) at our headquarters and operating facilities.

Once you become a (sub)contractor, your success will depend largely on your ability to carry out your obligations in a manner consistent with accepted business practices.

Before You *Sign* a (Sub)Contract Agreement

1. Study the bid specifications and plans for the project. Make sure you know the scope of work.
2. Know the prime contract's provisions and requirements, such as the insurance provisions, prevailing wage rates, submission requirements and retention.
3. Ask the job or work site to become aware of conditions that may affect your bid price..
4. Ask the prime contractor for written clarification of any bid item(s) you do not understand.
5. Prepare accurate and detailed cost proposals or price quotes. The proposal submitted is the instrument intended to persuade the Authority's staff or Prime Contractor's staff for subcontracting work that you are technically qualified, understand the scope of work and can perform the work in a timely, cost-effective manner.



If you initially offer a price by telephone, follow up by sending the prime contractor or the Authority, as the case may be, written confirmation of the bid amount specified in our verbal quote.

6. During negotiations, document all conversations with the Authority or prime contractor. Be sure to note the time, date and name of the person with whom you spoke, as well as the nature of your discussion.
7. Notify NYPA's Supplier Diversity Department immediately if your company is listed by a prime contractor as a M/WBE without your knowledge or consent on an Authority related project.
8. ***Remember!*** ***Do not assume anything.*** When in doubt as to the meaning of any part of the procurement package, contact the issuing contract administrator.

- ✓ ***Prepare your bid accurately.*** The Authority may not be able to grant relief if you make an error that is costly to you.
- ✓ ***Write all technical and commercial terms and conditions.*** Bids which appear to be incomplete may be automatically rejected. The Procurement Division is the starting point for all firms that would like to do business with the Authority.
- ✓ ***Submit the bid on time.*** Bids submitted after the bid due date are generally rejected unless a written time extension has been granted to all applicable bidders by the Authority prior to the bid opening.



Before You Begin Work as a Subcontractor

1. Make sure you have a *written (sub)contract agreement* that includes the requirements, conditions and provisions of the job.
Some items that should be addressed in the agreement include:
 - ✓ A detailed description of the scope of work to be performed by your company. Read and be sure you understand all the terms and conditions of the (sub) contract.
 - ✓ Clear identification of responsibility for insurance, bonding and equipment requirements.
 - ✓ Identification of required certifications, permits, and prevailing wage requirements, the latter pursuant to section 220 of the labor law of New York State.
 - ✓ Discussion of how and when you will receive payment from the prime contractor, if any, for work performed and the amount you are to be paid.
 - ✓ Procedures for resolving conflicts and disagreements and handling additional work, change orders and modifications.
 - ✓ The recommendation that your attorney review any (sub)contracting agreements before you sign it.
2. Ask the prime contractor to provide you with the project schedule specifying when your company is to start work on the project as well as the duration of your participation. This will permit you to allocate sufficient time for details such as placing orders or supplies and arranging for the leasing of equipment.



As Work Progresses

1. Keep a daily log of all work-related activities performed by your company. Focus on site conditions, unforeseen changes and oral directives from the Authority or the prime contractor.
Communications with the Authority or prime contractor should be in writing as much as possible.
2. Make sure that change orders affecting your (sub)contract amount and your scope of work are in writing. The written change order should contain a statement of cost and should be signed by you and the Authority and/or the prime contractor.
3. Attempt to resolve problems and conflicts as they arise.



Who to Contact

The Procurement Division's Staff welcomes the opportunity to acquaint new firms with the Authority's procurement procedures. A listing of key personnel is provided on pages 21 - 24 of this publication.

Most of the Authority's purchasing functions are performed by the White Plains Office and its other operating facilities. The Authority's operating facilities function as independent purchasing entities for certain site-specific goods and services. You may solicit the individual facilities to market your product, goods or services.

Experience has shown that successful bidders take an active approach in marketing their goods and services to the Authority. Active marketing involves direct contact with key personnel. We wish to emphasize the importance of active marketing, especially for

those firms that have not previously worked with the Authority.

It is highly recommended that you make an appointment before coming in to see any Authority personnel. Normal appointment hours are Monday through Friday, 8:00 a.m. to 4:00 p.m.

To maintain security, all visitors must identify themselves upon entering, sign the visitor's register and obtain an identification badge. The badge must be worn conspicuously and returned to the guard upon your departure. Authority personnel must accompany visitors when moving from one department to another.



Bidders Information

(Vendors that are NOT listed in the New York State Directory of Certified Minority and Women-Owned Businesses are considered general vendors.)

If your firm is listed in the New York State Directory of Certified Minority and Women-Owned Businesses, it will then automatically be included in our pool of vendors certified to meet NYPA's procurement needs. You must be certified by New York State in order for us to recognize your firm as a Minority or Women owned business. Lack of certification, however, does not preclude your firm from doing business with us. If your firm is not certified as an M/WBE by the State of New York and you request certification or additional information, please see Page 6 of this Guide.

The Authority does not maintain an official bidders list. The majority of bids in excess of \$15,000 are advertised in the NYS Contract Reporter. (See page 10 for more information). Bids under \$5K may be awarded to vendor of choice, although proposals may be solicited from several sources. **Information regarding NYPA's current contracting opportunities may be found on the Authority's web site by going to www.nypa.gov "Doing Business with Us" and looking for NYPA's RFQ's/"Procurement Opportunities."** Register and you will be able to see what the Authority has out for bids at that time. Please complete and return the Vendor Survey Form located at the rear of this" Guide to Business Opportunities") along with any pertinent information on your company such as line cards, references, company literature or brochures etc to this office.



All information should be mailed to:

New York Power Authority
123 Main Street
White Plain, NY 10601
Procurement – Supplier Diversity Program

-or-

For further information

Visit our Supplier Diversity Web Site Address

www.nypa.gov
Doing Business With Us
Supplier Diversity Program

For Current Contracting Opportunities

Visit our Procurement RFQ Web Site Address

www.nypa.gov
Doing Business With Us
NYPA's RFQ's
Procurement Opportunities

For Your Information

Unsolicited Proposals

The Authority does not recognize proposals submitted solely on the proposer's initiative. Submitted proposals must be in response to a formal Request For Proposal (RFP).

Evaluation, Negotiation and Award

After bids are opened, the proposals are evaluated for both their technical qualifications and commercial acceptability. If questions, exceptions or disagreements are expressed by either



the Vendor or the Authority, negotiations may ensue.

However, negotiations may only take place with the lowest qualified bidder. If mutually acceptable terms cannot be negotiated with the lowest evaluated bidder, the Authority may reject that bid and open negotiations with the next bidder, and so on. Where applicable, M/WBE goal requirements can

also serve as evaluative criteria in the final determination of a Bid Award.

Quality Assurance Requirements

Vendors must meet the pertinent quality assurance requirements for the commodity or service that they are supplying. The term "quality assurance" is defined as those planned and systematic actions necessary to provide adequate confidence that a system, structure or component possesses the material composition, physical characteristics and performance capability for which it was intended. Specific applicability or acceptability of quality assurance will be covered separately in each bidding document.



What the Power Authority Buys

The following partial list represents the variety of goods and services generally purchased or leased by the Authority:

SERVICES

Accounting
Advertising/Public Relations
Architectural
Archeological Services
Asbestos Removal
Banking Services
Catering
Carpentry
Computer Consulting/Analysis
Court Reporting/Transcription
Demolition Services
Diving and Underwater Construction
Drafting
Editing/Writing
Electrical Contractors
Engineering
Engraving
Exterminators (insects/rodents)
Fencing Contractors
Financial/Brokerage Services
General Constructions
General Consulting Services
Insulation Contractor
Janitorial Services
Labor Relations Consulting
Landscaping
Legal Services

SUPPLIES/EQUIPMENT

Appliances New/Repair
Art/Drafting Supplies
Visual Equipment
Automobiles New/Repair
Boiler Parts
Books Reference/Technical
Building Supplies
Carpeting/Floor Coverings
Chemicals
Computer Hardware/Software
Coping Machines/Supplies
Concrete/Gravel/Asphalt
Electrical Supplies
Electronic Components
Fences
Filtering Equipment
Design
Fuel Oil/Natural Gas
Gauges/Instrumentation
HVAC Equipment/Supplies
Janitorial Supplies
Labels/Signs
Material Handling Supplies
Novelty Items/Trophies
Office Equipment
Office Furniture
Office Supplies



Key Procurement Personnel

NEW YORK POWER AUTHORITY

White Plains Office

Clarence Rappleyea Building
123 Main Street
White Plains, NY 10601-3170
(914) 681-6200

Albany Office

30 South Pearl Street - 10th
Albany, NY 12207-3425
(518) 433-6700

Chairman

Michael J. Townsend (518) 433-6751

President & CEO

Richard Kessel (914) 681-6800

Chief Operating Officer

Gil Quiniones (914) 681-6621

PROCUREMENT

Supplier Diversity Program Staff

Patricia Leto

Vice President, Procurement (914) 681-6623

Debra J. White

Manager, Supplier Diversity (914) 681-6976

Yves-Rose Valbrun

Supplier Diversity Program Specialist (914) 681-6453



Senior Procurement Staff

Len Walker

Manager of Special Services(914) 681-6627

Robert Haggerty

Manager of SENY and Energy Services.....(914) 287-3080

Donna Shults

Manager of Hydro Facilities(914) 287-3080

HEADQUARTERS DEPARTMENTAL PERSONNEL

Accounting

Howard Berg

Sr. Accountant(914) 287-3362

Corporate Support Services

Susan Egginton

Director of Corporate Support(914) 681-6410

George Marriott

Facility Manager(914) 287-3930

Corporate Communications

Marsha Camera

Manager, Graphic
Communications(914) 390-8172

Nancy Ames

Director of Communications.....(914) 390-8165
& Marketing Services

Energy Efficiency

Maribel Cruz

Business Development &
Engineering(914) 390-8228

Rino Trovato

Program Manager Design &
Implementation(914) 390-8220

Environmental

John Kahabka
Vice President, Health & Safety(914) 681-6308
Patricia Meehan
Manager, Sustainability Integration.....(914) 287-3407

Engineering

Robert Knowlton
Director of Civil /Structural Engineering(914) 681-6424
Fred Pagano
Director Protection and Control.....(914) 681-6668
James Sheldon
Sr. Eng II – Electrical Engineering.....(914) 287-3016
Bill Stanton
Director - Mechanical Engineering.....(914) 287-3307
Peter Ludwig
Director – Hydro Engineering.....(914) 287-3273

Finance-Corporate

Brian McElroy
Treasurer(914) 287-3956

Fossil Fuel Supply

Jim Ondishin
Manager(914) 287-3881

Human Resources

Ida Gencarelli
Director of Benefits and Compensation.....(914) 287-3113
Bill Flynn
Human Capital & Development
Management Consultant.....(914)681-6317

Information Technology

John Brennan
Director Application Services.....(914) 390-3168
Peter Poggi
Director of Infrastructure/
Telecommunications(914) 681-6667
Peter Daly
Director of Customer Services.....(914) 287-3208
Helen Yang
Director of Product Support.....(914) 681-6141
Lena Smart
Manager Cyber Security.....(914) 287-3634



Insurance

Dennis Sacco
Director of Risk Management.....(914) 287-3922

Legal

Erin Nolan
Financial Admin(518) 433-6753
Denise D’Ambrosio
Senior Attorney I(914) 390-8003

Project Management/ Construction Management Services

Ben Wong
Project Manager.....(914) 287-3018
John Canale
Project Manager - Hydro/Transmission.....(914) 681-6706
Michael Mitchell
Project Manager - Generation/Fac
Improvement.....(914) 681-6428
Ray Salcedo –
Sr. Mechanical Engineer II
Generation/Fac. Improvement.....(914) 287-3408

Public and Governmental Affairs

Paul Finnegan
SVP Public and Governmental Affairs(914) 390-3824



NYPA Facilities

ST. LAWRENCE – FDR PROJECT

New York Power Authority
Robert Moses Power Dam
Massena, NY 13662
(315) 764-0226

Mailing Address:

P. O. Box 700
Massena, NY 13662

Rick Turner

Regional Manager
Northern NY

Sandy Johnston

Purchasing & Warehouse
Supervisor

NIAGARA PROJECT

New York Power Authority
5777 Lewiston Road
Lewiston, NY 14092
(716) 285-3211

Mailing Address:

Horace Horton

Regional Manager
Western NY

John Briggs

P.O. Box 277
Niagara Falls, NY 14302-0277
Purchasing & Warehouse
Manager

RICHARD M. FLYNN POWER PLANT

New York Power Authority
607 Union Avenue
Holtsville, NY 11742-1420
(631) 687-1900

Kevin King

Purchasing & Warehouse
Manager
(718) 626-8250

Russ Bahm

Director of Operations
(631) 687-1900



CHARLES A. POLETTI POWER PROJECT
500 MW COMBINED CYCLE PLANT

New York Power Authority
31-03 20th Avenue
Long Island City, NY 11105
(718) 626-8250

Paul Tartaglia
Regional Manager

Kevin King
Purchasing & Warehouse
Manager

Mailing Address:
P.O. Box 5309,
Woolsey Station
Long Island City, NY 11105

**CLARK ENERGY CENTER/
ENERGY CONTROL CENTER**

New York Power Authority
6520 Glass Factory Road
Marcy, NY 13404
(315) 724-8186

Tom Shust
CEC General Manager

Kelvin Nahrwold
Purchasing & Warehouse
Manager

Mailing Address:
P.O. Box 191
Marcy, NY 13403

Pat Donnelly
Facilities Material
Superintendent

BLenheim-GILBOA POWER PROJECT

New York Power Authority
397 Power Plant Access Road
Gilboa, NY 12076

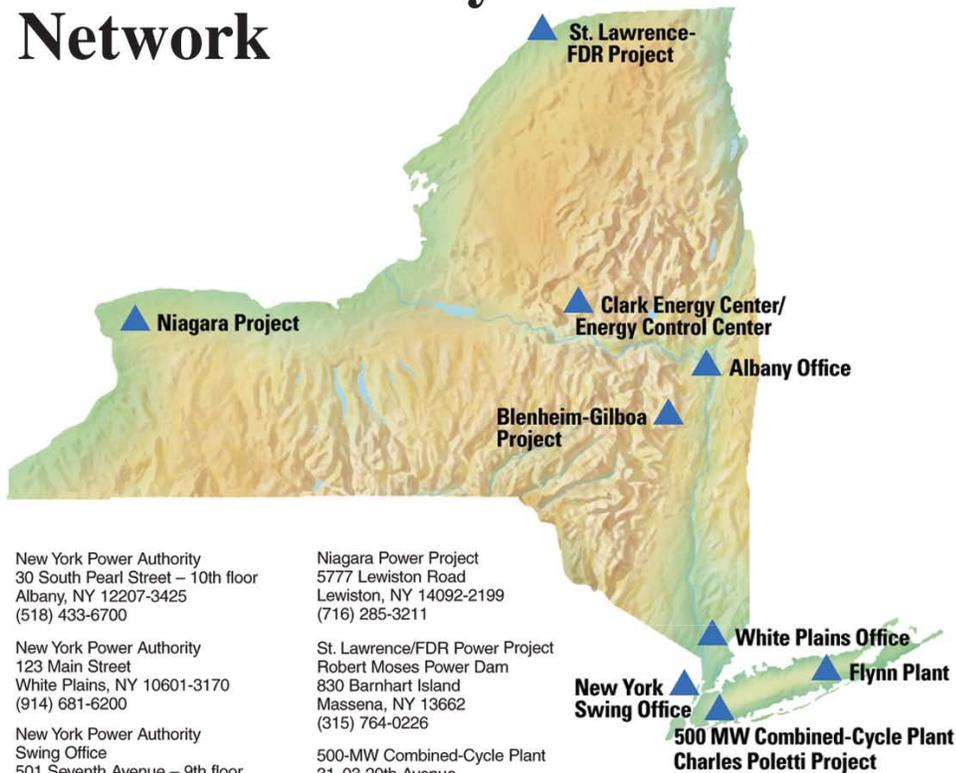
Kelvin Nahrwold
Purchasing & Warehouse
Supervisor

Mailing Address:
P.O. Box 200
Gilboa, NY 12076

Lynn Hiat
Regional Manager

NYPA NETWORK MAP

New York Power Authority Network



New York Power Authority
30 South Pearl Street – 10th floor
Albany, NY 12207-3425
(518) 433-6700

New York Power Authority
123 Main Street
White Plains, NY 10601-3170
(914) 681-6200

New York Power Authority
Swing Office
501 Seventh Avenue – 9th floor
New York, NY 10018-5903
(646) 496-4500

Blenheim-Gilboa Power Project
397 Power Plant Access Road
Gilboa, NY 12076-200
(607) 588-6061
(518) 287-6000

Clark Energy Center
6520 Glass Factory Road
Marcy, NY 13403-2100
(315) 724-8186

Niagara Power Project
5777 Lewiston Road
Lewiston, NY 14092-2199
(716) 285-3211

St. Lawrence/FDR Power Project
Robert Moses Power Dam
830 Barnhart Island
Massena, NY 13662
(315) 764-0226

500-MW Combined-Cycle Plant
31-03 20th Avenue
Astoria, NY 11105-2014
(718) 777-4600

Charles Poletti Power Project
31-03 20th Avenue
Astoria, NY 11105-2014
(718) 626-8250

Richard M. Flynn Power Plant
607 Union Avenue
Holtsville, NY 11742-1420
(631) 687-1900



