

**MINUTES OF THE ANNUAL MEETING
OF THE
NEW YORK STATE CANAL CORPORATION**

March 20, 2018

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Minutes of the Annual Meeting of the New York State Canal Corporation held at the Clarence D. Rappleyea Building, 123 Main Street, White Plains, New York at approximately 10:16 a.m.

Members of the Board present were:

John R. Koelmel, Chairman
Eugene L. Nicandri, Vice Chairman
Tracy McKibben
Anthony J. Picente, Jr.
Michael A.L. Balboni
Dennis G. Trainor

Dr. Anne Kress - Excused

Gil Quiniones	President and Chief Executive Officer
Justin Driscoll	Executive Vice President and General Counsel
Joseph Kessler	Executive Vice President and Chief Operating Officer
Robert Lurie	Executive Vice President and Chief Financial Officer
Soubhagya Parija	Senior Vice President and Chief Risk Officer
Robert Piascik	Senior Vice President and Chief Information Officer
Paul Belnick	Senior Vice President – Commercial Operations
Angela Gonzalez	Senior Vice President – Internal Audit
Kimberly Harriman	Senior Vice President – Public & Regulatory Affairs
Kristine Pizzo	Senior Vice President – Human Resources
Karen Delince	Vice President and Corporate Secretary
John Canale	Vice President – Strategic Supply Management
Ruth Colón	Vice President – Enterprise Shared Services
Keith Hayes	Vice President – Economic Development
Joseph Leary	Vice President – Community & Government Relations
Patricia Lombardi	Vice President – Project Management
Daniella Piper	Vice President – Digital Transformation Office / Acting Chief of Staff
Ethan Riegelhaupt	Vice President – Corporate Communications
Kenneth Carnes	Chief Information Security Officer – Cyber Security
John C. Callaghan	Acting Executive Deputy Director – Canal Corporation
Susan Craig	Director – Media Relations
Brian U. Stratton	Director – Canal Corporation
Gerard McLoughlin	Manager – Business Power Allocations & Compliance
Mary Cahill	Manager – Executive Office
Eric Alemany	Program Manager – Energy Efficiency
Philip Saglimbene	Senior Project Engineer II – Strategic Operations
Lorna Johnson	Senior Associate Corporate Secretary
Sheila Quatrocci	Senior Assistant Corporate Secretary
Matthew Lichtash	Strategy and Executive Office Specialist
Joseph Rivera	Network Architect – Infrastructure
Glenn Martinez	Senior Network Analyst – Infrastructure
Pablo Illanes	Partner – McKinsey & Company, Inc.
Amy Tsui	Project Manager – McKinsey & Company, Inc.

Vice Chairman Nicandri presided over the meeting. Corporate Secretary Delince kept the Minutes.

Introduction

Acting Chair Nicandri said that Chairman Koelmel is participating via video conference, and asked him to facilitate the meeting. He welcomed the Trustees and NYPA and Canal staff members who were present at the meeting and said that the meeting had been duly noticed as required by the Open Meetings Law and called the meeting to order pursuant to the Authority's Bylaws, Article III, Section 3.

1. **Adoption of the March 20, 2018 Proposed Meeting Agenda**

Upon motion made by Trustee Balboni and seconded by Trustee McKibben, the meeting Agenda was adopted.

Conflicts of Interest

The members declared no conflicts of interest based on the list of entities previously provided for their review.

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

Mr. Chairman, I move that the Board conduct an executive session to discuss the financial and credit history of a particular corporation, pursuant to §105f of the Public Officers Law. Upon motion made by Trustee Balboni and seconded by Trustee 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. Upon motion made by Trustee Balboni and seconded by Trustee McKibben, the meeting resumed in Open Session.

Acting Chair Nicandri said no votes were taken during the Executive Session.

4. CONSENT AGENDA:

Upon motion made by Trustee McKibben and seconded by Trustee Balboni, the members approved the Consent Agenda.

a. Governance Matters

**i. Minutes of the Regular Meeting of the
New York State Canal Corporation Board of
Directors' Meeting held on January 30, 2018**

The Minutes of the Regular Meeting held on January 30, 2018 were unanimously adopted.

b. Annual Reports:

i. Approval of the Revised Expenditure Authorization Procedures

The President and Chief Executive Officer submitted the following report:

SUMMARY

The Directors are requested to approve the revised Expenditure Authorization Procedures ('EAPs') governing Procurement and Real Estate for the Canal Corporation pursuant to Article VII, Section 5 of the Canal Corporation's By-Laws (Exhibit '4b i-A').

The Directors are also requested to continue the delegation to the Chairman of the Corporation to modify existing authorization and execution limits of the EAPs relating to commitments for the approval of, award of, and change orders to, contracts that do not require approval by the Directors.

BACKGROUND

Article VII, Section 5 of the Corporation's By-Laws requires that the Directors adopt expenditure authorization procedures which, among other things, govern contract approval authorizations and executions, delegation of, and approval for claims, settlements and payment for real estate.

The EAPs were first issued for Canal Corporation in 2017 with the Board of Directors' approval.

DISCUSSION

Good governance dictates that these revised EAPs be presented for the Board of Directors' approval. The Governance Committee, at its meeting held on March 20, 2018, reviewed the proposed modifications to the EAPs and recommended adoption by the full Board.

Staff has identified the need to authorize certain additional levels of personnel (titles) to approve commitments, as well as to increase the execution (signing) limits for certain purchasing and other personnel. The recommended changes will rightly place responsibility with those employees already accountable for such functions and further streamline the procurement process, while, at the same time, maintaining appropriate controls on the process.

FISCAL INFORMATION

There will be no financial impact on the Authority.

RECOMMENDATION

The Vice President – Strategic Supply Management recommends that the Directors approve the proposed modifications to the Expenditure Authorization Procedures.

For the reasons stated, 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 revised Expenditure Authorization Procedures discussed in the foregoing report of the President and Chief Executive Officer, and attached hereto as Exhibit "4b i-A," be hereby adopted; 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 Canal Corporation are, and each of them hereby is, authorized on behalf of the 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.

ii. **Annual Review and Approval of the Guidelines
for the Disposal of Personal Property**

The President and Chief Executive Officer submitted the following report:

SUMMARY

The Directors are requested to review and approve the Guidelines for the Disposal of Canal Corporation's Personal Property ('Personal Property Guidelines'), which address the disposal of Canal Corporation-owned materials, tools, equipment and vehicles, in compliance with Public Authorities Law §2896. The Personal Property Guidelines are attached hereto as Exhibit '4b ii-A.' The Directors are also advised that there were no Disposals of Personal Property over \$5,000 in 2017.

BACKGROUND

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). Such Guidelines were initially approved for the Canal Corporation by the Directors at their meeting of September 26, 2017.

DISCUSSION

The Personal Property Guidelines set forth the methodology detailing Canal Corporation's policy regarding the use, award, monitoring and reporting of the disposal of personal property and designate a Contracting Officer responsible for Canal Corporation's compliance with, and enforcement of, such Guidelines.

Staff has reviewed the Personal Property Guidelines and recommends no changes. A copy of the Guidelines, attached hereto as Exhibit '4b ii-A,' is provided for the Directors' review and approval.

Upon annual review and approval by the Directors, the Guidelines will be filed on or before the 31st day of March with the State Comptroller, the Director of the Division of the Budget, the Commissioner of General Services, the State Legislature and the Authorities Budget Office and posted on the Corporation's internet website, in compliance with applicable law.

FISCAL INFORMATION

There will be no financial impact on the Canal Corporation.

RECOMMENDATION

The Vice President – Strategic Supply Management recommends that the Board of Directors approve the Guidelines for the Disposal of Canal Corporation's Personal Property for the disposition of Canal Corporation-owned materials, tools, equipment and vehicles, as set forth in Exhibit '4b ii-A.'

For the reasons stated, 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 pursuant to the provisions of the Public Authorities Law, Section 2896, the Canal Corporation hereby reviews and approves the Guidelines for the Disposal of Canal Corporation's Personal Property, as set forth in Exhibit "4b ii-A," and attached hereto; 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 Canal Corporation are, and each of them hereby is, authorized on behalf of the Canal Corporation 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.

iii. **Annual Review and Approval of Guidelines and Procedures for the Disposal of Real Property, Guidelines and Procedures for the Acquisition of Real Property, and Annual Reports for the Disposal and Acquisition of Real Property**

The President and Chief Executive Officer submitted the following report:

SUMMARY

The Directors are requested to review and approve the following, which comply with the requirements of the Public Authorities Accountability Act of 2005 ('PAAA') as amended by the Public Authorities Reform Act, Chapter 506 of the Laws of 2009:

- (1) 2018 Guidelines and Procedures for the Disposal of Canal Corporation's Real Property ('Real Property Disposal Guidelines') for transfers of land or interests in land, set forth in Exhibit '4b iii-A';
- (2) 2018 Guidelines and Procedures for the Acquisition of Real Property by the Canal Corporation ('Real Property Acquisition Guidelines') set forth in Exhibit '4b iii-B';
- (3) 2017 Annual Report of the Disposal of Real Property set forth in Exhibit '4b iii-C'; and
- (4) 2017 Annual Report of the Acquisition of Real Property set forth in Exhibit '4b iii-C-1'.

BACKGROUND

On January 13, 2006, the 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.

The 2017 Real Property Disposal Guidelines and the 2017 Real Property Acquisition Guidelines set forth the methodology detailing the Corporation's policy 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 Corporation's compliance with, and enforcement of, such Guidelines. At their meeting of September 26, 2017, the Directors reviewed and approved the Corporation's 2017 Real Property Disposal Guidelines and Real Property Acquisition Guidelines. In 2018, formatting changes were made to both of these Guidelines as set forth in Exhibits '4b iii-A' and '4b iii-B' attached hereto, however, no substantive changes were made to these Guidelines.

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 Corporation. 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 Corporation. During this reporting period, there were no disposals or acquisitions of real property with an estimated market value in excess of \$15,000.

The Directors are now requested to review and approve the 2018 Real Property Disposal Guidelines (Exhibit '4b iii-A'), the 2018 Real Property Acquisition Guidelines (Exhibit '4b iii-B'), the Corporation's 2017 Annual Report of the Disposal of Real Property (Exhibit '4b iii-C') and the Corporation's 2017 Annual Report of the Acquisition of Real Property (Exhibit '4b iii-C-1').

Both Guidelines, if approved, will be posted on the Corporation's internet website, as will be the 2017 Annual Reports. On or before the 31st day of March, the Real Property Disposal Guidelines, the Real Property Acquisition Guidelines and the corresponding 2017 Annual Reports, as reviewed and approved by the 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.

FISCAL INFORMATION

There will be no financial impact on the Corporation.

RECOMMENDATION

The Vice President – Enterprise Shared Services recommends that the Directors approve the 2018 Real Property Disposal Guidelines, the 2018 Real Property Acquisition Guidelines, the 2017 Annual Report of the Disposal of Real Property and the 2017 Annual Report of the Acquisition of Real Property as set forth in the attached Exhibits.

For the reasons stated, 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 pursuant to the provisions of the Public Authorities Accountability Act of 2005, as amended by the Public Authorities Reform Act, Chapter 506 of the Laws of 2009, the Corporation hereby reviews and approves the 2018 Guidelines and Procedures for the Disposal of Canal Corporation Real Property and the 2018 Guidelines and Procedures for the Acquisition of Real Property by the Canal Corporation as set forth in Exhibits "4b iii-A" and "4b iii-B," respectively, attached hereto; and be it further

RESOLVED, That pursuant to the provisions of the Public Authorities Accountability Act of 2005, as amended by the Public Authorities Reform Act, Chapter 506 of the Laws of 2009, the Corporation hereby reviews and approves the 2017 Annual Report for the Disposal of Real Property and the 2017 Annual Report of the Acquisition of Real Property as set forth in Exhibits "4b iii-C" and "4b iii-C-1," respectively, attached hereto; and be it further

RESOLVED, That the Corporation's staff may take any and all steps necessary or convenient to implement such Guidelines; and be it further

RESOLVED, That the Chairman, the Vice Chairman, the President and Chief Executive Officer, the Director of Canals, the Vice President - Enterprise Shared Services and all other officers of the Canal Corporation are, and each of them hereby is, authorized on behalf of the 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.

**iv. Annual Report of Procurement Contracts,
Guidelines for Procurement Contracts and Annual
Review of Open Procurement Service Contracts**

The President and Chief Executive Officer submitted the following report:

SUMMARY

The Directors are requested to approve the 2017 Annual Report of Procurement Contracts ('Annual Report') (Exhibit '4b iv-A-3') and the Canal Corporation's Guidelines for Procurement Contracts ('Guidelines') (Exhibit '4b iv-A-2') and to review open service contracts exceeding one year that were active in 2017 as detailed in the Annual Report (Exhibit '4b iv-A-3'). An Executive Summary is set forth in Exhibit '4b iv-A-1.'

BACKGROUND

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 Canal Corporation Guidelines are being proposed here for adoption for the first time. Until this time, Canal Corporation has been following NYPA's Guidelines.

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 Canal Corporation'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 Directors of open service contracts exceeding one year, which are also included in the Annual Report.

DISCUSSION

The 2017 Annual Report is attached for the Directors' review and approval (Exhibit '4b iv-A-3'). The Annual Report reflects activity for all procurement contracts equal to, or greater than, \$5,000, as identified by the SAP Enterprise Resource Planning ('ERP') system, that were open, closed or awarded in 2017, including contracts that were extended into 2018 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. The Directors are requested to approve the attached Annual Report pursuant to § 2879 of the PAL prior to submittal thereof to 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.

A copy of the Canal Corporation's Guidelines effective March 31, 2018 (Exhibit '4b iv-A-2') 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 '4b iv-A-1.'

The Canal Corporation's Guidelines generally describe the 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 Canal Corporation.

RECOMMENDATION

The Vice President – Strategic Supply Management recommends that the Board of Directors approve the 2017 Annual Report of Procurement Contracts, the Canal Corporation's Guidelines for Procurement Contracts and the review of open service contracts as attached hereto in Exhibits '4b iv-A-1' through '4b iv-A-3.'

For the reasons stated, 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 pursuant to Section 2879 of the Public Authorities Law, the Annual Report of Procurement Contracts, as listed in Exhibit "4b iv-A-3," and the Guidelines for the use, awarding, monitoring and reporting of Procurement Contracts (Exhibit "4b iv-A-2"), as amended and attached hereto, be, and hereby are, approved; and be it further

RESOLVED, That the open service contracts exceeding one year be, and hereby are, reviewed and 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 Canal Corporation are, and each of them hereby is, authorized on behalf of the Canal Corporation 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.

v. **2017 Annual Board of Directors Evaluation Pursuant to Sections 2800 and 2824 of the Public Authorities Law and Guidance of the Authorities Budget Office**

The Chair of the Governance Committee submitted the following report:

SUMMARY

The Canal Corporation Board of Directors are requested to approve the annual Board of Directors evaluation summary for 2017 and authorize the Corporate Secretary to submit this report 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.

DISCUSSION

The Governance Committee considered the 2017 Board evaluation at its meeting of March 20, 2018, and voted to recommend that Authority and Canal Corporation Boards approve the summary of the 2017 evaluation and authorize the Corporate Secretary to submit this evaluation 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.

FISCAL INFORMATION

There is no anticipated fiscal impact.

RECOMMENDATION

The Governance Committee recommends that the Board of Directors approve the attached 2017 evaluation summary (Exhibit '4b v-A') and authorize its submittal as discussed herein.

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

The following resolution, as submitted by the Chair of the Governance Committee, was unanimously adopted.

WHEREAS, pursuant to Sections 2800(1)(a)(15) and 2800(2)(a)(15) and Section 2824(7) of the Public Authorities Law and Guidance of the Authorities Budget Office, the Corporation is required to annually submit a summary of the Board of Directors Evaluation 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 Authorities Budget Office, within 90 days after the end of its fiscal year;

NOW THEREFORE BE IT RESOLVED, That pursuant to Sections 2800(1)(a)(15) and 2800(2)(a)(15) and Section 2824(7) of the Public Authorities Law and Guidance of the Authorities Budget Office, the 2017 Annual Board Member Evaluation Summary is hereby adopted and the Corporate Secretary is hereby authorized to submit 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 Authorities Budget the adopted 2017 summary; and be it further

RESOLVED, That the Chairman, the Vice Chairman, the President and Chief Executive Officer, the Chief Operating Officer, the Executive Vice President and Chief Financial Officer and all other officers of the Corporation are, and each of them hereby is, authorized on behalf of the Authority 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.

c. Procurement (Services) Contracts

**i. Procurement (Services) Contract –
Flood Warning and Optimization System –
Operations Staff and Support for 2018 –
Contract Award**

The President and Chief Executive Officer submitted the following report:

SUMMARY

The Board of Directors ('Board') are requested to approve a single-source contract award for operations staff and support for the Canal Flood Warning and Optimization System ('FWOS'), for an aggregate amount of \$500,000, with Gomez & Sullivan Engineers ('G & S'), 399 Albany Shaker Road, Suite 203, Loudonville, NY 12211 with its main office at 288 Genesee Street, Utica, NY 13502.

In accordance with the Canal Corporation's Expenditure Authorization Procedure, the award of services and/or Purchase Order in excess of \$250,000.00 in value to a single-source requires approval of the Board. An interim approval with a value of \$100,000.00 was granted by the Vice President of Procurement to maintain services and prevent a lapse in service.

BACKGROUND

G & S has been providing operational support for the FWOS throughout 2017 and the services were extended until February 28, 2018. G & S is selected as the single-source contractor for this work because of its satisfactory performance supporting the FWOS since 2015 and its expertise in actual-built FWOS and involvement in the system's development, migration from NYSTA to NYPA and roll-out of key features, including text alert system, refinement of models, and updating communications with GOES Satellite updates.

G & S would have the least disruptive on-boarding process because of its familiarity with Canals/NYPA IT processes and would provide seamless support for the FWOS as it has for the past several years. As the support contractor, G & S would also be able to provide significant assistance to the GAP analysis contractor who will need to analyze past vs actual system performance of forecasts. Continued support of the system is required until a GAP analysis is completed and a plan is developed for the next steps. In order to retain continuity of operations for this critical system, it is recommended that G&S be retained through December 31, 2018, with the understanding their services will be billed as they are rendered and could be terminated early, if the GAP analysis and plan provides clearer direction on the operational support needed, going forward.

DISCUSSION

G & S submitted a detailed scope-of-services and proposal which was reviewed and approved by Canal Corporation's engineering staff.

With the Board's approval, Inquiry K18-10267050SN for Flood Warning and Optimization System Operations Staff and Support for 2018 will be advertised in the *NYS Contract Reporter*.

With the Board's approval, G & S will be awarded a value contract expiring December 31, 2018. Individual tasks will be assigned by issuance of a Purchase Order Release ('POR') against the established value contract.

FISCAL INFORMATION

Services under these contracts will be provided on an as-needed basis and/or availability. Payments associated with this project will be made from the Canal Corporation's Capital or Operating Fund, as appropriate.

RECOMMENDATION

The Deputy Director of Engineering and Maintenance recommend that the Board of Directors approve the award of a single-source contract for Flood Warning and Optimization System Operations Staff and Support for 2018 in the aggregate amount of \$500,000.00 to Gomez & Sullivan Engineers.

For the reasons stated, 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 pursuant to the Canal Corporation's Expenditure Authorization Procedures, approval is hereby granted to award a Contract, expiring on December 31, 2018, for the aggregate total amount of \$500,000, to Gomez & Sullivan Engineers for operations staff and support for the Canal Flood Warning and Optimization System, as recommended in the foregoing report of the President and Chief Executive Officer:

<u>Contractor</u>	<u>Location</u>	<u>\$500,000</u>
Gomez & Sullivan Engineers Loudonville, NY	Utica, NY	aggregate

K18-10267050SN

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 Canal Corporation are, and each of them hereby is, authorized on behalf of the Canal Corporation 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.

ii. **Procurement (Services) Contract -
Construction of Canalway Trail from
Amherst to Lockport - Phase II
On The Erie Canal - Contract Award**

The President and Chief Executive Officer submitted the following report:

“SUMMARY

The Board of Directors ('Board') is requested to approve the award of a contract related to Inquiry No. K17-10255674WC to Edbauer Construction, Inc. of West Seneca, New York for the construction of the Canalway Trail from Amherst to Lockport – Phase II – on the Erie Canal, in the Town of Pendleton, Niagara County, New York, in the bid amount of \$3,961,000.00. This construction contract has a requested start date on or about April 1, 2018 and a completion date of June 28, 2019. All associated expenditures will be paid from the Canal Corporation's capital fund.

In accordance with the Canal Corporation's Procurement Guidelines and current Expenditure Authorization Procedures, the Board's approval is required when the award of Contracts and/or Purchase Order Releases exceeds one year in term or the value of such contracts exceeds \$500,000.

BACKGROUND

This project will construct a 2.1-mile segment of the Erie Canalway Trail linking Lake Erie and the Hudson River. The project is entirely within the limits of the Town of Pendleton, Niagara County, with a southern terminus at Tonawanda Creek Road, an alignment on the east bank of the Erie Canal, and a northern terminus at Feigle Road. The Canal System, as a whole, is a listed National Historic Landmark. This project enhances and expands the prominence of the system considering recreational and economic impacts on the Empire State as the original historic Erie Canal had on previous generations.

Construction activities will include installing temporary erosion and sediment control devices, work zone traffic control, clearing brush and removing tree stumps, removing invasive plant species, excavating and grading for a 10-foot wide asphalt shared use path, constructing railing systems, swales and other drainage structures, constructing a short multi-girder pedestrian bridge, a new parking lot, paving an existing parking lot, installing picnic tables, benches and bike racks, placing stone protection and constructing two retaining walls along the eastern bank of the Erie Canal, and placing pavement striping and landscaping.

DISCUSSION

In response to an advertisement issued on January 29, 2018 for the Construction of the Canalway Trail from Amherst to Lockport – Phase II, Inquiry No. K17-10255674WC, five (5) proposals ('bids') were received and publicly opened and read on February 20, 2018. The bids were reviewed by an Evaluation Committee consisting of Corporation staff from Design, Construction and Procurement.

FISCAL INFORMATION

Expenditures for the identified application will be paid from the Canal Corporation's Capital Fund, as appropriate.

RECOMMENDATION

The Evaluation Committee recommends that the Board of Directors approve and award the contract related to Inquiry No. K17-10255674WC to Edbauer Construction, Inc. of West Seneca, New York for the construction of the Canalway Trail from Amherst to Lockport – Phase II – on the Erie Canal, in the bid amount of \$3,961,000.00.

For the reasons stated, 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 pursuant to the Canal Corporation’s Procurement Guidelines and current Expenditure Authorization Procedures, approval is hereby granted to award a 15-month construction Contract, with a start date on or about April 1, 2018, for the total amount of \$3,961,000.00, to Edbauer Construction, Inc. for the construction of the Canalway Trail from Amherst to Lockport – Phase II – on the Erie Canal, in the Town of Pendleton, Niagara County, New York as recommended in the foregoing report of the President and Chief Executive Officer;

<u>Contractor</u>	<u>Location</u>	<u>Contract Award</u>
Edbauer Construction, Inc. K17-10255674WC	West Seneca New York	<u>\$3,961,000.00</u>

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 Canal Corporation are, and each of them hereby is, authorized on behalf of the Canal Corporation 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.

**iii. Collective Bargaining Agreement Between
the Canal Corporation and Unit III,
Civil Service Employees Association,
Local 1000, AFSME, AFL-CIO**

The President and Chief Executive Officer submitted the following report:

SUMMARY

The Board of Directors are requested to approve the Collective Bargaining Agreement ('Agreement') (Exhibit '4c iii-A'), dated January 25, 2018, between the Canal Corporation and Unit III, Civil Service Employees Association, Local 1000, AFSME, AFL-CIO ('CSEA'). The term of the Agreement, if approved, will have an effective date of July 1, 2012 and will expire on June 30, 2022. It covers employees at the Canal Corporation's facilities throughout the state.

BACKGROUND

The Canal Corporation and CSEA have been parties to collective bargaining agreements prior to Canal Corporation's transfer to the Power Authority effective January 1, 2017. This Agreement is the successor collective bargaining agreement which expired in 2012 and was negotiated by the parties.

The Canal Corporation's negotiating committee consisted of Joseph Bress, Consultant; Authority representatives Carol Geiger-Wank, Chief of Staff and Vice President - Labor, and Lori Alesio, Assistant General Counsel, Human Resources & Labor Relations; and Canal Corporation's staff Lisa Wright, Manager, Administrative Services, Nancy Bowen, Director of Human Resources, Joseph Moloughney, Eastern Division Canal Engineer, and David Lamphere, Fonda Section Superintendent. The CSEA was represented by CSEA Inc. as well as Canal Local Presidents.

A tentative agreement was reached by the parties on January 25, 2018, six years after the expiration of the 2009-2012 Agreement. This new Agreement, which pending approval of the Board of Directors, has a retroactive effective date of July 1, 2012. CSEA ratified the Agreement on March 6, 2018.

DISCUSSION

The term of the Agreement runs from July 1, 2012 through June 30, 2022.

I. Wage Increases

The Agreement provides for a \$1,000 non-pensionable lump-sum payment to be paid to employees who were on the payroll on January 1, 2017 and on the date of the contract ratification.

The Agreement provides for a general wage increase of 2% effective July, 2015; 2.0% effective July 1, 2016; 2.0% effective July, 2017; 2.0% effective July 1, 2018; 2.0% effective July 1, 2019; 2.0% effective July, 2020; and 2.0% effective July 1, 2021. There were no negotiated wage increases for the years 2012 through 2014.

II. Medical and Other Benefits

The parties built upon escalating employee monthly health insurance contribution amounts for benefits upon the Board's ratification and continuing throughout the contract term as follows:

Hired on or before 11/14/2005 – currently not contributing

<u>Year</u>	<u>Individual / Family</u>
Upon Board ratification	7% / 9%
1/1/19	8% / 12%
1/1/20	9% / 15%
1/1/21	10% / 20%
1/1/22	10% / 25%

Hired after 11/14/2005 - Currently Contributing

<u>Year</u>	<u>Individual / Family</u>
Upon Board ratification	10% / 20%
1/1/19	10% / 25%
1/1/20	10% / 25%
1/1/21	10% / 25%
1/1/22	10% / 25%

New Hires Upon Board Ratification

16% / 31% Above Grade 9 and 12% / 27% for Grade 9 and under

Other benefit plan changes include domestic partner coverage benefits, provisions for opting out of the health care plan, and an expanded provision for an exchange of employee vacation, personal leave or comp time credits to be applied towards health insurance premiums.

III. Retiree Medical Coverage

The Agreement provides significant changes in the area of retiree medical benefits which include a change from a current contribution of 0% for some for individual coverage:

- After Board ratification and June 30, 2018, retirees medical contribution in retirement shall be 6% / 25%
- Effective January 1, 2022, active employee medical contribution in retirement shall be 10% / 25%
- Those hired into Canals after Board ratification who retire shall pay 16% / 31% for those Above Grade 9 in retirement and 12% / 27% for those in Grade 9 and under.

The combined changes to retiree benefits are expected to decrease GASB 75 Other Post-Employment Benefits ("OPEB") expense by under \$1M in 2018. The expense provided before these changes was \$21M.

IV. Work Rules and other Changes

Several work rule changes were effectuated to include increased reimbursement for safety boots, drug testing requirements, pay rates for seasonal staff and those on shift, and license requirements. The parties agreed to a number of housekeeping items that update the terms of the contract.

FISCAL INFORMATION

The 2015, 2016 and 2017 retro wage increase, 2018 lump-sum payments amounts and general wage increases for the 2015 - 2021 period are consistent with the Canal Corporation's long-term financial forecast.

The estimated incremental annual costs are:

2017-2018	\$1.9M
2018-2019	\$1.9M
2019-2020	\$1.8M
2020-2021	\$2.1M
2021-2022	\$2.5M

Payments will be made from the Operating Fund.

RECOMMENDATION

The Executive Vice President and Chief Operations Officer recommends that the Board of Directors approve the Collective Bargaining Agreement between the Canal Corporation and Unit III, Civil Service Employees Association, Local 1000, AFSME, AFL-CIO ('CSEA'), effective July 1, 2012.

For the reasons stated, 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 Manager, Administrative Services be, and hereby is, authorized on behalf of the Canal Corporation to execute a Collective Bargaining Agreement with Unit III, Civil Service Employees Association, Local 1000, AFSME, AFL-CIO, effective July 1, 2012 and with an expiration date of June 30, 2022, covering specified operating and maintenance employees of the Canal Corporation facilities with changes to that Agreement as described in the attached summary (Exhibit "4c iii-A"), subject to approval of the form thereof by the Chief Operating Officer and the Executive Vice President and General Counsel; 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 Canal Corporation are, and each of them hereby is, authorized on behalf of the Canal Corporation 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. DISCUSSION AGENDA

a. Strategic Initiatives

i. President and Chief Executive Officer's Report

President Quiniones provided highlights of the Authority's performance to date (Exhibit "5a i-A").

NYPA Digital Strategy

Digital Transformation Office

As part of the efforts to make NYPA the first end-to-end digital utility, NYPA is starting up a Digital Transformation office ("DTO"). To that end, Ms. Daniella Piper the Authority's Vice President of Digital Transformation and Chief-of-Staff is leading the team to build that office. The DTO is task with delivering the outcomes that the Authority is seeking in its digital strategy and ensuring that the Authority has uniformity in crosscutting issues such as its enterprise digital architecture, governance of the data across the organization, as well as development of various software applications.

NYPA has created eight work streams or portfolios to support its digital strategy ranging from its workers in the field, its power plants and customers. Over time, staff will report to the Board on the status of the various projects under each of the digital work streams.

Asset Management and Smart Generation & Transmission

The Integrated Smart Operating Center ("iSOC"), opened last December, enables predictive modeling to optimize maintenance and detect potential outages before they occur. It also creates a hub where the Authority can co-develop new applications with its partners. The Authority is now managing its power plants and transmission system using the iSOC and has started to develop sophisticated machine learning and artificial intelligence applications to help it in managing its assets.

To date, the Authority has created 500 digital replicas or digital twins of its assets, and 450 "use cases" since it opened the iSOC in December. In addition, the Authority has identified, through those "use cases," savings and/or avoided costs of more than \$3 million in its asset-management activities.

New York Energy Manager

The Authority is making progress with its New York Energy Manager. It is in the process of digitizing approximately 11,000 state-owned buildings across New York State. The Authority plans to create the required digital twins or digital replicas of the energy systems of its customers so that it can help them optimize the way they use energy. When they start installing distributed energy resources, such as solar and other types of technology, e.g. storage and electric vehicle, they will have much more flexibility in managing their demand to match their electricity supply needs.

NYPA's Overall Performance

Based on the Corporate Performance scorecard, the Authority's performance across all business units, to date, is positive. The team is inspired and working hard to accelerate the implementation of the Authority's existing strategic initiatives, across the board.

b. Risk Management

i. Chief Risk Officer's Report

Mr. Soubhagya Parija, Chief Risk Officer, provided highlights of the report to the Board (Exhibit 5b i-A). He said Risk Management is positioning itself as an enabler of the business by identifying and mitigating unrewarded risks so that the Authority can take on more of the rewarded risks such as the implementation of Phase 1 of the Energy Commodity Risk Management System. He continued that Risk Management has completed a comparative analysis and have obtained some insights about the health of the cost structure of the Authority's assets. Risk Management will continue to do a deep dive on the advancement of portfolio analytics and optimization.

In addition, Risk Management has been challenged to embed itself in different parts of the business, e.g. Customer businesses. To that end, in 2018, Risk Management will focus on value added activities for customers.

2018 NYPA Risk Assessment Plan

In order to ensure optimal resource allocation and minimize adverse impacts, Risk Management will conduct Risk Assessment workshops; begin work on its annual Risk Assessment Plan with a focus on alignment with the Authority's strategic objective and report on its risk assessment results to the Board in July.

Business Resiliency Stress Testing

As NYPA begins to digitize the organization, and to ensure that NYPA's vision of resiliency is in alignment with its Digital Utility strategy, Risk Management is conducting stress testing of the Authority's resiliency posture.

Last year, Risk Management presented its business resiliency framework to the Board which consist of three pillars: 1) Emergency / Crisis Management; 2) Incident Response and Disaster Recovery; and 3) Business Continuity Planning. Risk Management continues to work in all of those areas.

Risk Management also plans to conduct scenario analyses based on how it sees the organization in the future and how prepared it is with regard to the Authority's business resiliency.

c. Operations & Finance

i. Financial Report

Mr. Thomas Concadoro, Vice President and Controller, provided highlights of the financial report to the Board (Exhibit 6c i-A).

Net Income

Net income through the end of February was \$17 million, which is about \$6.5 million ahead of the budget of \$10.5 million.

The primary components of the variance include:

1. Margins on Transmission -- margins on the Authority's transmission sales were higher for the reporting period, January and February. This was primarily due to the Authority not being billed for certain costs at this time as a result of the renegotiated agreement with Hudson Transmission Partners (HTP), part of the intention of that renegotiation.
2. Margins on Energy Sales -- margins on energy sales were lower through the first two months of the year. This was primarily due to lower hydro production and lower prices on merchant sales.

In January, there were icing conditions at Niagara; this resulted in a negative variance in the Authority's Niagara production of about 4 percent.

In February, production was on target and as budgeted.

Staff is projecting that the Authority's hydropower production will be ahead of the budget, going forward.

3. Operating Expenses -- These variances were primarily due to the result of timing differences between the budget and actual expenses. This includes deferrals on vegetation management and other projects at Canals and delays in some of NYPA's programs, e.g. the Five-Cities Master Plans. The projection is that the Authority will get closer to the budget in those areas.
4. Non-Operating Income -- Market interest rates went up and this resulted in the Authority having a paper loss of about \$6 million on the fixed-income securities in its investment portfolio.

ii. Utility Operations Report

Mr. Joseph Kessler, Chief Operations Officer, provided an update of the Utility Operations' activities to the Trustees (Exhibit "5c ii-A").

Performance Measures

Generation Market Readiness

- Generation Market Readiness factor was at 99.79%. This is above the target of 99.40%.

Transmission reliability

- Transmission reliability factor was 95.84%. This is above the target of 94.25%.

Environmental Incidents

- Year-to-date, there were 5 incidents. The Annual Target is not to exceed 32 incidents.

Safety

DART (Days Away, Restricted or Transferred) is the Authority's safety metrics.

- The year-to-date DART Rate is 1.39. This is below the target of 0.78.

Digitization

Utility operations is working to support NYPA's goal of becoming the first end-to-end digital utility, allowing insight into energy supply and demand; lowering costs through better energy management and new technologies to improve energy productivity.

Of the eight work streams created to support NYPA's digital strategy, Utility Operations' will be supporting three of those workflows:

1. Asset Management which includes processes and procedures for the iSOC and Data Analytics.
2. The Intelligent Grid focusing on Communications Backbone, Sensor Deployment, NYPA's investments and capital projects that will be undertaken.
3. Plant and Field Work which includes Control Room Upgrades -- STL and B-G; Niagara Controls; STL Headgate Automation and the Drone Program.

NYPA successfully launched its Drone program with two sophisticated drones in its fleet. The drones will provide video and imagery of NYPA's assets in the field. The Transmission group and staff from Clarke Energy Center are working on Operator training and NYPA's policy for the drone program.

Emergency management

Puerto Rico Recovery

- NYPA staff continues its recovery efforts in Puerto Rico. However, some of the staff had to return to NYS to support the utilities in the emergency operating centers because of power outages caused by the recent Nor'easter.
- The New York contingent (NYPA and other Utilities) to Puerto Rico was successful in restoring power in San Juan. They have been asked to maintain a workforce of approximately 200-250 Line personnel, in addition to Incident Management staff, to assist with distribution restoration in the "hard-hit" areas surrounding San Juan.
- To maintain the remaining workforce, NYPA contracted with Haugland Energy to provide distribution restoration resources. Reimbursement of these costs will be sought through the Emergency Management Assistance Compact (EMAC).
- NYPA will provide up to 100 Line personnel to maintain the requested workforce on the island.

President Quiniones added that the goal of the utilities from the U.S. mainland is the immediate restoration of power. To that end, the utilities are planning to work in Puerto Rico until about the first week of April. The utilities are projecting that, by that time, Puerto Rico will have reached 95 percent restoration. The utilities will then transfer the remaining work to PREPA, Puerto's utility, and its contractors to finish the last 5 percent. The contract with Haugland Energy will bridge the gap for expenses for the workforce between now and the first week of April.

iii. **Commercial Operations Report**

Mr. Paul Belnick, Senior Vice President of Commercial Operations, provided an update of Commercial Operations' year-to-date activities to the Trustees (Exhibit "5c iii-A"). He said that Commercial Operations' activities for the first two months of the year were somewhat abnormal for the Authority. However, it is expected that all of the measures will moderate over the year and within budget.

WHOLESALE

○ Customer usage

Customer usage for the reporting period was on target.

○ Generation

Generation was down by approximately 12 percent. This was due primarily to the weather. By order of magnitude, more water was used to flush the facilities in January than had been used in the past three winters combined.

○ Fuel and Electric Prices

In January, fuel prices rose approximately 37 percent over projection.

By order of magnitude, fuel prices in January of '18 were 150 percent higher than they were in January of 2017.

Electric prices are higher due to the increase in fuel.

ECONOMIC DEVELOPMENT

○ Project and Business Development

NYPA plans to file an application with the PSC for the Moses-Adirondack Rebuild ("Smart Path") project by the end of March.

○ Economic Development

NYPA continues to award megawatts of power for jobs and capital commitments.

○ Energy Efficiency

NYPA is 39 percent over the target for energy efficiency projects for January and February. The team was able to accelerate construction at a number of facilities at SUNY, CUNY and the New York City DEP.

CUSTOMER

- Higher Customer Investments resulted in NYPA's Net Revenues rising to a corresponding level.
- NYPA's Operating Expenses were approximately as predicted for January and February.

6. Board Committee Reports

a. Finance Committee Report

Chair McKibben reported that the members of the Finance Committee held an executive session and the Chief Financial Officer and the Treasurer reported on the financial and credit history of a particular corporation.

In open session, the committee voted to recommend to the full Board the release of funds in support of the Residential Consumer Discount Program that was created in connection with the Recharge New York Power Program. The members also voted to recommend to the Board approval of the release of funds in support of the ongoing operating and capital expenses of the New York State Canal Corporation.

b. Governance Committee Report

Acting Chair Nicandri reported that the Governance Committee met earlier and received the 2017 Procurement and Real Estate activity reports and associated guidelines for such activities, as well as the Ethics and Compliance report. The committee also considered and adopted a policy and procedure update and the Board of Directors' Evaluation.

c. Audit Committee Report

Chairman Nicandri said that the Audit Committee conducted an executive session to discuss the financial and credit history of a particular corporation. In addition, the Committee approved the minutes, received an Internal Audit update and reviewed the 2017 Financial Report and the 2017 Annual Audit of Financial Statements.

7. **Next Meeting**

Acting Chair Nicandri said that the Regular meeting of the Boards would be held on May 22, 2018 **at the Clarence D. Rappleyea Building, White Plains, New York**, unless otherwise designated by the Chair with the concurrence of the Trustees.

Closing

Upon motion made by Trustee Trainor and seconded by Trustee McKibben, the meeting was adjourned at approximately 12:45 p.m.

Karen Delince

Karen Delince
Corporate Secretary

March 20, 2018

EXHIBITS

For

March 20, 2018

Annual Meeting

Minutes

Policy Title:

Guidelines for the Disposal of Canal Corporation Personal Property

Policy Number:
25-6-02CPage:
1 of 13

Title: Guidelines for the Disposal of Canal Corporation Personal Property

Revision Date(For BCG Use Only)	Revision #	Description/Modification	Revision Section (s)	Author
7/30/2017	0	Policy for the Disposal of Canal Corporation Personal Property	N/A	Kevin King Director Transactional Procurement

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.

Guidelines for the Disposal of Canal Corporation Personal Property

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.

The powers and duties relating to the New York State canal system, which were transferred to and merged with the New York Power Authority ("Authority") pursuant to Canal Law Section 5, may be exercised by the 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 personal property owned by the New York State Canal Corporation.

3 INITIALISMS (ACRONYMS) AND DEFINITIONS

Abandoned Motor Vehicles – An Abandoned Motor Vehicle is 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 – Abandoned, Lost or Found Personal Property that remains unclaimed after notification to an owner, if known, and/or after being held for the required holding periods as prescribed by statute. This includes all lost or mislaid property found on Corporation property/premises, as well as property which is knowingly abandoned.

Contracting Officer – Shall mean the officer or employee of the Corporation who shall be appointed by resolution of the Canal Board to be responsible for the disposition of Personal Property. The "Contracting Officer" is hereby designated to be the Authority's Vice President - Procurement or equivalent(s) by law.

Corporation – Canal Corporation

Disposals – Disposals include 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.

Guidelines for the Disposal of Canal Corporation Personal Property

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, contracting 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.

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 (Canal Corporation Warehouse controlled inventory and Direct Turnover Materials DTO), tools, equipment or vehicles. Section 2895 of the Public Authorities Law defines property as Personal Property in excess of \$5,000 and does not include the transfer of Personal Property secured by a loan or other financial obligation of another party.

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.

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 RESPONSIBILITY

The Board shall adopt by resolution, this Policy for the Disposal of Canal Corporation Personal Property and by such resolution, designate a Contracting Officer who is responsible for compliance with and enforcement of this Policy.

All Transactions shall comply fully with applicable state, federal and local laws, rules and regulations as well as policies, procedures and executive orders including, but not limited to, the Canal Law, the Abandoned Property Law, the Personal Property Law, the Public Authorities Law, the Vehicle and Traffic Law and any subsequently enacted statutes, rules and/or regulations.

The Corporation Deputy Director is authorized to interpret, implement, and administer this Policy and shall develop procedures necessary to carry out its intent, as well as to delegate such authority to members of his/her staff. These procedures should identify the roles and responsibilities of Corporation personnel who implement and administer this Policy and define the manner in which those responsibilities are to be fulfilled. The Deputy Director is also

Guidelines for the Disposal of Canal Corporation Personal Property

authorized to oversee the actions of Corporation staff to ensure compliance with applicable laws, rules and regulations, and with this Policy.

The Deputy Director may delegate, expressly in writing, directly to the Contracting Officer, the authority to sign and execute any and all documents related to any form of property auction or other disposal methods and may also authorize the Contracting Officer to further delegate such authorization to other members of his/her staff in order to carry out the intent of this current Policy.

The Manager, Administrative Services ensures that Personal Property is disposed of in accordance with this Policy and that each disposal is documented, including photo(s) of material/item, fair market evaluation, environmental documentation, accounting records, RFQs and bid abstracts, award documents, copies of payment check or wire service receipts, and signed sales agreements.

5 POLICY IMPLEMENTATION

5.1 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 below. 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:

Guidelines for the Disposal of Canal Corporation Personal Property

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 a below fair market value asset transfer is proposed, the following information must be provided to the Corporation Board 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 any property 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.

Guidelines for the Disposal of Canal Corporation Personal Property

- H. The Corporation must use a competitive process as required by the Public Authorities Law and 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 Public Authorities Law §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.

5.2 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 Troop T 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

Guidelines for the Disposal of Canal Corporation Personal 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) will provide the (Deputy Director) or designee with information on all items of Personal Property declared surplus.

5.3 Disposal Process

The (Manager, Administrative Services) 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;
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 (the "Bid Due Date") 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

Guidelines for the Disposal of Canal Corporation Personal Property

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 Public Authorities Law §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 designee. If the (Manager, Administrative Services) or designee 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 Public Authorities Law and/or other applicable statutes.

5.4 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 Property disposed of by the Corporation during such period as required by law. The report shall be delivered to the comptroller, the director of the budget, the commissioner of general services, the legislature and the authorities budget office.

Guidelines for the Disposal of Canal Corporation Personal Property

5.5 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.

5.6 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 \$500,000.00.
3. The (Deputy Director) if the Fair Market Value is up to \$100,000.00.
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 Power 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.

5.7 The President and Chief Executive Officer issues and approves all Company Policies and policy revisions.

5.8 The Executive Vice President and General Counsel, as delegated by the President and Chief Executive Officer, coordinates and administers the Company Policy Program.

5.9 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.

Guidelines for the Disposal of Canal Corporation Personal Property

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 Corporation 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

Abandoned Property Law
Canal Law
Canal Personal Property Disposal Policy 25-6-02C
Personal Property Law
Public Authorities Accountability Act
Title 5-A, Article 9 of the 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

Guidelines for the Disposal of Canal Corporation Personal Property

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.

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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

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.

Policy Title:

Guidelines for the Disposal of Canal Corporation Personal Property

Policy Number:
25-6-02CPage:
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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 Procurement Department at the New York State Canal Corp Corporate Office.

Document Title:



Guidelines and Procedures for the Disposal of Canal Corporation Real Property

Guidelines and Procedures 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



Document Title:
Guidelines and Procedures for the Disposal
of Canal Corporation Real Property

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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

Guidelines and Procedures for the Disposal of Canal Corporation Real Property

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

Guidelines and Procedures for the Disposal of Canal Corporation Real Property

- 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



Guidelines and Procedures for the Disposal of Canal Corporation Real Property

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



Guidelines and Procedures for the Disposal of Canal Corporation Real Property

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.



Guidelines and Procedures for the Disposal of Canal Corporation Real Property

- 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

Guidelines and Procedures for the Disposal of Canal Corporation Real Property

REDLINE CHANGES

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 ("eEligible eContract"), must be reported in advance of execution to the OSC. Upon execution, all such eEligible eContracts must be filed with the OSC within 60 days.

- c) If the OSC has previously identified a contract or category of contract as “reviewable” (“~~r~~Reviewable ~~e~~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 eContract 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.



Document Title:
**Guidelines and Procedures for the
Acquisition of Real Property by the Canal
Corporation**

Exhibit 4b iii - B
March 20, 2018

Document Number
Real Pro Acq 1 - 2018
Page:
1 of 7

**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

Document Title:
**Guidelines and Procedures for the
Acquisition of Real Property by the Canal
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Document Title:
**Guidelines and Procedures for the
Acquisition of Real Property by the Canal
Corporation**

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

Guidelines and Procedures for the Acquisition of Real Property by the Canal 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 – 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.

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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

Guidelines and Procedures for the Acquisition of Real Property by the Canal Corporation

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



**Guidelines and Procedures for the
Acquisition of Real Property by the Canal
Corporation**

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

Guidelines and Procedures for the Acquisition of Canal Corporation Real Property

REDLINE CHANGES

- 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 ("eEligible eContract"), must be reported in advance of execution to the OSC. Upon execution, all such eEligible eContracts must be filed with the OSC within 60 days.
 - b) If the OSC has previously identified a contract or category of contract as "reviewable" ("Rreviewable eContract"), such Reviewable eContract must include language stating that it is subject to OSC approval and the executed Reviewable eContract must be submitted to the OSC for review. If the OSC does not act to disapprove the Reviewable eContract 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

NEW YORK STATE CANAL CORPORATION
2017 ANNUAL REPORT OF DISPOSAL (CONVEYANCE) OF REAL PROPERTY OVER \$15,000 IN VALUE

<u>Purchaser's Name</u>	<u>Price Realized by the Authority</u>	<u>Parcel Acres</u>	<u>Transfer Date</u>
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None this Reporting Period.

Exhibit C-1

NEW YORK STATE CANAL CORPORATION
2017 ANNUAL REPORT OF ACQUISITIONS OF REAL PROPERTY OVER \$15,000 IN VALUE

<u>Seller's Name</u>	<u>Price Paid by the Authority</u>	<u>Parcel Acres</u>	<u>Transfer Date</u>
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None this Reporting Period.

CANAL CORPORATION OF THE STATE OF NEW YORK
2017 ANNUAL REPORT OF PROCUREMENT CONTRACTS

EXECUTIVE SUMMARY

The Canal Corporation (Canals) runs the New York State Canal System, which includes the Erie, Champlain, Oswego and Cayuga-Seneca canals. Spanning 524 miles, the waterway links the Hudson River with the Great Lakes, the Finger Lakes and Lake Champlain. In 2017, the Canal Corporation celebrated the 200th anniversary of the groundbreaking for the Erie Canal, which occurred in the city of Rome on July 4, 1817. The Canal System includes the Erie Canalway Trail, a multi-use trail designed to accommodate pedestrians, bicyclists, and cross-country skiers. Together, the canals and trail create a world-class recreation way that is a vibrant, scenic and unique New York resource.

The Canal Corporation has been fully integrated into the NYPA procurement process and all related contracts for goods and services.

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 for Canals detailing its operative policy and instructions concerning the use, awarding, monitoring and reporting of procurement contracts. The Guidelines describe the Canal’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 mirror the Authority’s Guidelines. The Authority Guidelines which are approved by their Trustees, were initially implemented on January 1, 1990, amended as deemed advisable and necessary, and reviewed and approved by the Board annually since that date, most recently on March 21, 2017.

Staff has reviewed the Procurement Guidelines and recommends several changes to make them more consistent with the law or to improve or clarify the Canal’s procurement process. These Guidelines, as reviewed by the Governance Committee on March 20, 2018, are now presented to the full Board for review and approval at this annual meeting of the same date. The approved Guidelines will become effective on March 31, 2018 and will be posted on the Canal’s internet website. The Authority’s 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 2017 include Lock 07 Rehabilitation, May's Point Movable Dam 18 Rehabilitation Seneca County, Statewide Canal Structures Dam Safety Inspections, and the Canal Trail Way projects.

SUPPLIER DIVERSITY PROGRAM ("SDP")

Canal reporting for Supplier Diversity reporting is incorporated in the Authority's submission. From January to December 2017, the Authority and the Canal Corporation expended \$64.7 million or 18% of its reportable expenditures to New York State-certified MWBEs. Service-Disabled Veteran-Owned Business (SDVOB) utilization for the period January – December 2017 is approximately \$ 2.4 million or 13% of designated spend for both the Authority and Canal.

CREDIT CARD PROCUREMENT SYSTEM (CCPS)

With the integration of the Canal Corporation (Canals) in 2017, the CCPS program expanded by approximately 97 cardholders and totaled more than \$2 million for the year 2017. Canals averaged 886 transactions per month. A single transaction averaged approximately \$188 per month with a monthly average value of \$166,938.

2017 ANNUAL REPORT OF PROCUREMENT CONTRACTS (Exhibit "A-1")

The Annual Report of Procurement Contracts includes Authority, Canal, Fuel and Financial contracts. The Annual Report includes specific details for procurements with a value of \$5,000 or greater that were open, completed or awarded in 2017, including contracts that were extended into 2018 or beyond. There were 394 such Canal contracts with an estimated value of more than \$218 million, with a total procurement expenditures in 2017 exceeded \$28 million.

The following is a breakdown of the total value of active contracts illustrated on Attachment II:

- 61% Construction Services;
- 6% Equipment and Commodities;
- 1% Architectural and Engineering Services and Legal Services;
- 19% Personal Service contracts such as professional consulting services;
- 13% Non-Personal Service contracts such as maintenance, repairs, technicians and contingent workforce

Additional illustrations are based on the total value of the contracts reported (\$218 million), that approximately 99% of contracts were competitively bid. In 2017, approximately 1% of contracts were sole/single-source 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, procurements required on an emergency basis and New York Thruway support agreements of which only one remains open.

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. “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 offices, facilities, operations and maintenance (“O&M”) and capital projects (as defined in Section 2.O. and 2. P., 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.C below.
- B. “Non-Procurement Contracts” include contracts valued under \$5,000 and contracts for the direct 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 Canal Corporation participates.
- C. “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 Canal Corporation) 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 consultant for the Canal Corporation) 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 Canal Corporation 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 Canal Corporation 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 these factors.

- D. 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
- E. “Evaluation of Proposals,” as further set forth in Section 4 below, includes as evaluating factors the Canal Corporation consideration of a bidder’s skill, judgment and business integrity.
- F. “Contact” is any oral, written or electronic communication with the Canal Corporation under circumstances where a reasonable person would infer that the communication was intended to influence the Canal Corporation conduct or decision regarding the procurement.
- G. “Relative” is any person living in the same household as the Canal Corporation employee and any person who is a direct descendant of the Canal Corporation employee’s grandparents or the spouse of such descendant, as referred to in Subsection 9.E.1 of these Guidelines.
- 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 Canal Corporation Supplier Diversity Program Policy and Procedures and Executive Law Article 15-A, and pursuant to the definition found in Executive Law § 310.
- I. “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.
- J. “Single Source” is a procurement in which the 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.

- K. “Sole Source” is a procurement in which only one offeror is capable of supplying the required goods or services.
- L. “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.
- M. “Discretionary Purchase” is a procurement made below statutorily established monetary threshold amounts (e.g., not exceeding \$200,000 for the purchase of commodities and/or services from Small Businesses or NYS-certified MWBE or SDVOB firms, and as further set forth in Sections 3.D and 3.K.5-7) and at the discretion of the Canal Corporation, 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 \$200,000, pursuant to State Finance Law § 163.
- N. “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.
- O. “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.

- P. “Capital projects” generally refers 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.

3. SOLICITATION REQUIREMENTS

- A. Preparation of the solicitation of proposals for Procurement Contracts is the joint responsibility of the White Plains Procurement Department (rebranded Strategic Supply Management, hereinafter “SSM”), or the Canal Corporation Procurement 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. Whenever possible and practicable, notification of the availability of an RFP and RFQ through the Canal Corporation’s website and/or NYPA’s website should be sent to more than five providers.
- 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, SDVOBs and SBEs, a single proposal may be sought, negotiated and accepted for discretionary purchases of goods and/or services

not exceeding \$200,000, in the aggregate including all amendments, from a NYS-certified MWBE or SDVOB firm or an SBE that offers a reasonable price for such goods and/or services. The award of such proposal requires the written approval of the Vice President of Procurement. 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 of Procurement. 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 Procurement 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 Procurement 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

Procurement 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; 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 the following 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): (1) the Canal's Corporation name and address; (2) the solicitation number; (3) a brief description of the goods and/or services sought, the location where goods are to be delivered and/or services provided and the contract term; (4) the address where bids or proposals are to be submitted; (5) the due date for bids or proposals; (6) a description of any eligibility or qualification requirements or preferences; (7) a statement as to whether the contract requirements may be fulfilled by a subcontracting, joint venture or coproduction arrangement; (8) any other information deemed useful to potential contractors; (9) the name, address, and phone number of the person to be contacted for additional information and (10) a statement as to whether the goods and/or services sought have, in the immediately preceding three-year period, been supplied by a Foreign Business Enterprise. 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 Procurement 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 \$200,000 awarded to Small Businesses or NYS-certified SDVOB or MWBE firms, or for the purchase of goods and/or technology that are recycled or remanufactured, 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 not exceeding \$200,000 in the aggregate. 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 Procurement 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 or to a NYS-certified SDVOB or MWBE firm for discretionary purchases not exceeding \$200,000, pursuant to Section 3.D and as further set forth in Section 2.M.
 6. The contract is for the discretionary purchase of goods and/or technology that are recycled or remanufactured, in an amount not exceeding \$200,000, as further set forth in Section 2.M and subject to the approvals stated in Section 3.D.
 7. 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 \$200,000, as further set forth in Section 2.M and subject to the approvals stated in Section 3.D.
 8. 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 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 Procurement 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 definitions shall apply:

1. A “Procurement Contract” is any contract or other agreement for a commodity, service, technology, public work, construction, revenue contract, the purchase, sale or lease of real property or an acquisition or granting of other interest in real property that is the subject of a governmental procurement, with an estimated annualized expenditure in excess of \$15,000. Grants, contracts between the Canal Corporation and non-profit organizations pursuant to Article 11-B of the State Finance Law, intergovernmental agreements, railroad and utility force accounts, utility relocation project agreements or orders and eminent domain transactions are not Procurement Contracts.
 2. 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/contractors) 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.
 3. 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 him/herself, 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.

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 Procurement 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 equivalent(s) 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 Supplier Diversity Program 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.C 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 other than Personal Services (as defined in Section 2.C 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 will be transitioning to a "Best Value" basis for awarding contracts for services 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 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. 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.
- B. 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.
- C. 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.

- D. The term of a Personal Services contract is limited to a maximum of five (5) years, including any extensions.
- E. 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.
- F. 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.
- G. 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.
- H. The NYPA SSM or the Canal Corporation Procurement 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.
- I. 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 Procurement 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 Procurement 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.G 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.H 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.L 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 Procurement 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:

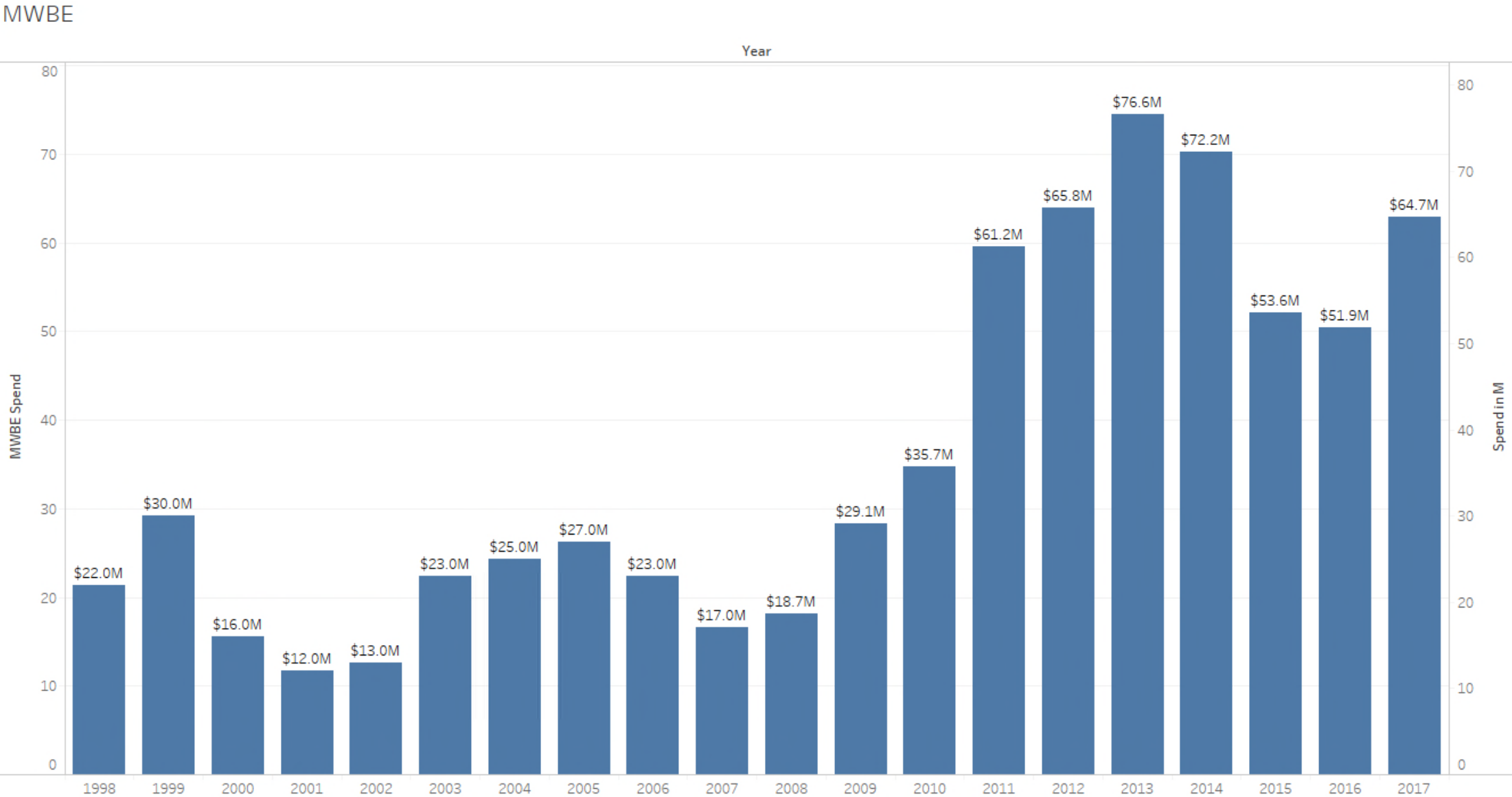
1. A copy of the Guidelines;
2. An explanation of the Guidelines and any amendments thereto since the last annual report;
3. A list of all Procurement Contracts entered into since the last annual report, including all contracts entered into with New York State Business Enterprises and the subject matter 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.

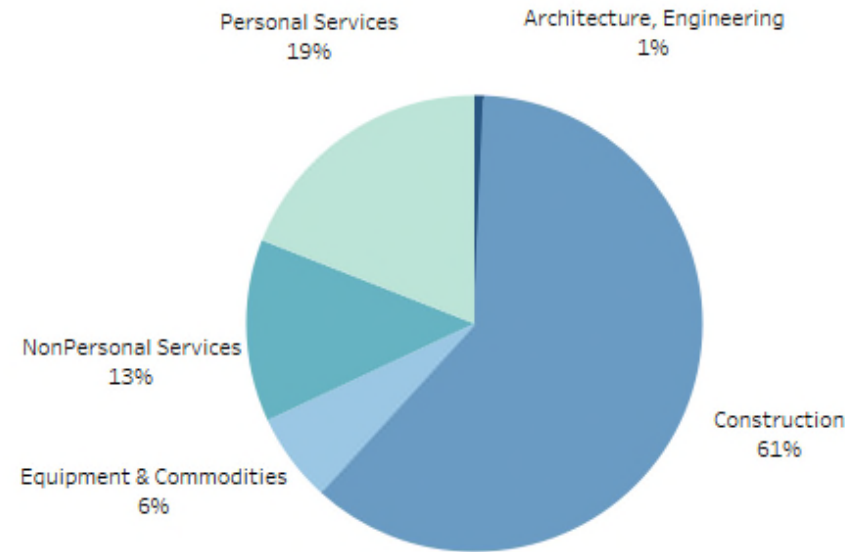
14. THIRD PARTY RIGHTS: VALIDITY OF CONTRACTS

- 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.

In 2017, NYPA and the Canal Corporation expended \$64.7M or 18% of its reportable expenditures to NYS certified MWBEs.

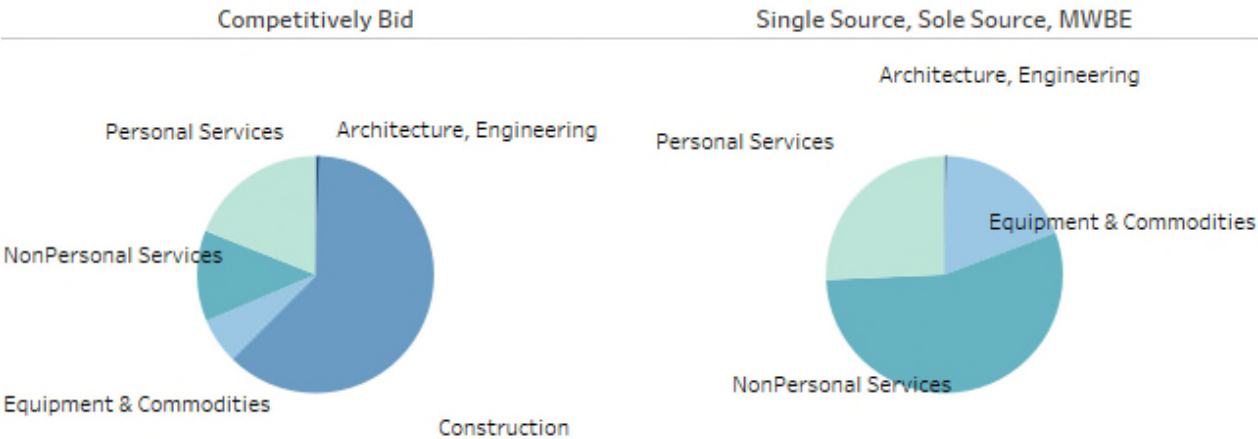


\$218M of contracts were active in 2017



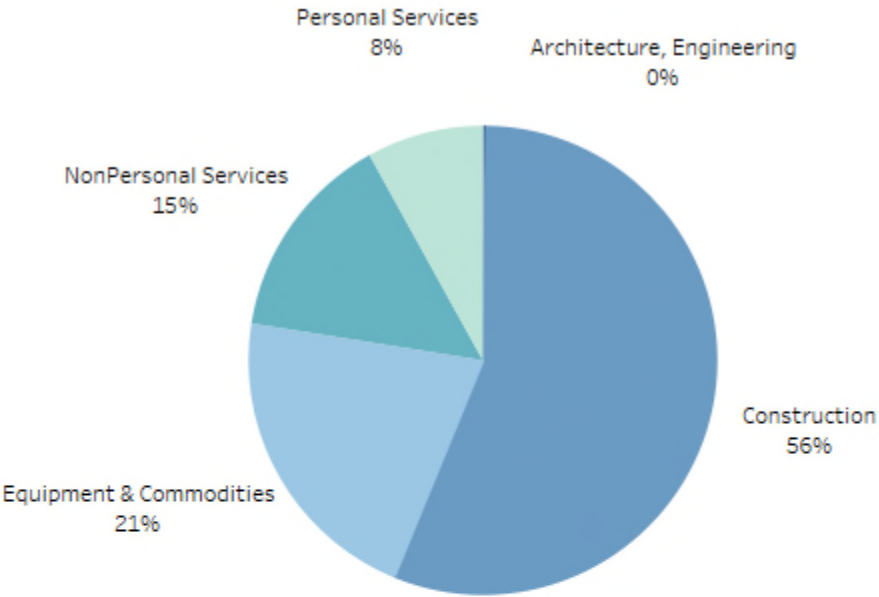
	% of Total	Count	Contract Amount
Architecture, Engineering	1%	2	\$1M
Construction	61%	49	\$134M
Equipment & Commodities	6%	246	\$14M
NonPersonal Services	13%	63	\$28M
Personal Services	19%	34	\$41M
Grand Total	100%	394	\$218M

Method of Award: \$216M (99%) of 2017 active contracts were competitively bid



Competitively Bid		Single Source, Sole Source, MWBE	
% Contract Amount by Type	Contract Amount	% Contract Amount by Type	Contract Amount
99%	\$1M	1%	\$0M
100%	\$134M		
97%	\$14M	3%	\$0M
95%	\$27M	5%	\$1M
98%	\$40M	2%	\$1M
99%	\$216M	1%	\$2M

\$29M in expenditures in 2017



	% of Spend	Spend 2017
Architecture, Engineering	0%	\$0M
Construction	56%	\$16M
Equipment & Commodities	21%	\$6M
NonPersonal Services	15%	\$4M
Personal Services	8%	\$2M
Grand Total	100%	\$29M

2017 Annual Report of Procurement Contracts



**NY Power
Authority**

Cover – Highlights of 2017 contracts, clockwise from top left:

- Integrated Smart Operations Center in White Plains
- Turbine removal at the Lewiston Pump-Generating Plant in Lewiston
- Switchyard Automated Monitoring and Controls system at the St. Lawrence-Franklin D. Roosevelt Power Project in Massena
- LED streetlighting installation in White Plains
- Erie Canal lock in Lockport

2017 ANNUAL REPORT OF PROCUREMENT CONTRACTS

FIELD EXPLANATION GUIDE

ARRANGEMENT: Listed by the generating facility. Abbreviations are Headquarters White Plains Office (WPO), Blenheim Gilboa Power Project (BG), Clark Energy Center (CEC), Niagara Power Project (NIA), South Eastern New York including POLETTI, FLYNN, 500MW and Small Clean Power Plants (SENY), St. Lawrence/FDR Power Plant (STL), NYS Canal Corporation (CANALS), Fossil Fuels (FF), Corporate Finance. Within each site, listed in ascending order by CONTRACT NUMBER.

SCOPE: All procurement contracts (for goods or services) with a value of \$5,000 or greater that were open, completed or awarded in 2017, including contracts that were extended into 2018 or beyond.

FIELD NAMES

TYPE: COMMITMENT TYPE, Indicating the major category of goods or kind of services provided. Architectural & Engineering Services, Construction, Equipment, Legal Services, Personal Services, Other Services. {A,C,E,L,P,S}

MOA: METHOD OF AWARD, Indicating the basis of vendor selection. Competitive Bid (B), Competitive Search (C), Discretionary Spend SBE/MWBE/SDVOB (M), Sole Source (1), Single Source (2). {B,C,M,1,2,}

RNA: REASON NOT ADVERTISED, Indicating the reason a notice was not published in the Contract Reporter. {1-9}

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. {N,F}

SD: SUPPLIER DIVERSITY INDICATOR, Small Business Enterprise (SBE) (1), Service Disabled Veteran Owned Business (SDVOB) (2) NY Certified Women Owned Business Enterprise (WBE) (3), NYS Certified Minority Owned Business Enterprise (MBE) (4), Minority Women Owned Business Enterprise (MWBE) (7), Disadvantaged Business Enterprise (DBE) (8), DBE & WBE (9), DBE & MBE (10) **{1-4,7-10}**

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, 2017, 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, 2017 as reported from SAP system.

AMOUNT EXPENDED IN 2017: Total amount expended during the report year, January 1, 2017 through December 31, 2017, as reported by 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, 2017. 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.

**Contract re-opened in 2017.

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.

2017 ANNUAL REPORT OF PROCUREMENT CONTRACTS

TABLE FOR PROCUREMENT CONTRACT SUMMARY SCREENS

COMMITMENT TYPE

A = ARCHITECTURAL & ENGINEERING SERVICES
C = CONSTRUCTION
E = EQUIPMENT/COMMODITIES
L = LEGAL SERVICES
P = PERSONAL SERVICES
S = OTHER (NON-PERSONAL) SERVICES

METHOD OF AWARD

B = COMPETITIVE BID
C = COMPETITIVE SEARCH
M = MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISE / SMALL BUSINESS ENTERPRISE VALUE < \$200,000 / SERVICE-DISABLED VETERAN-OWNED BUSINESS
1 = SOLE SOURCE
2 = SINGLE SOURCE

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 = THE GOODS WERE SUBSTANTIALLY PRODUCED OR SERVICES SUBSTANTIALLY PERFORMED IN NEW YORK STATE EXCEPT FOR CONSTRUCTION CONTRACTS.
F = THE GOODS WERE SUBSTANTIALLY PRODUCED OR SERVICES SUBSTANTIALLY PERFORMED OUTSIDE NEW YORK STATE (FOREIGN)

MWBE: MINORITY- AND WOMEN-OWNED BUSINESS ENTERPRISE

1 = NEW YORK STATE SMALL BUSINESS ENTERPRISE (SBE)
2 = NEW YORK STATE-CERTIFIED SERVICE-DISABLED VETERAN-OWNED BUSINESS (SDVOB)
3 = NEW YORK STATE-CERTIFIED WOMEN-OWNED BUSINESS ENTERPRISE (WBE)
4 = NEW YORK STATE-CERTIFIED MINORITY-OWNED BUSINESS ENTERPRISE (MBE)
7 = NEW YORK STATE CERTIFIED MINORITY WOMEN OWNED BUSINESS ENTERPRISE (MWBE)
8 = DISADVANTAGED BUSINESS ENTERPRISE (DBE)
9 = 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
2017 ANNUAL REPORT OF PROCUREMENT CONTRACTS
REQUIRED BY N.Y. PUBLIC AUTHORITIES LAW, SECTION 2879

CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	T Y P E	M O A	R N A	O P A	M W B E	B I D S	F R T	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2017	CONTRACT BALANCE	DATE OF CONTRACT	O C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
4400000003	GLOBAL MONTELLO GROUP CORP 800 SOUTH ST WALTHAM, MA 02454 US	GASOLINE	E	B	7	N	N	1		20,000	15,856	15,856	4,144	1/3/2017	O	12/18/2018	
4400000004	MAIN BROTHERS OIL CO INC MAIN - CARE ENERGY 1 BOOTH LANE PO BOX 11029 ALBANY, NY 12211 US	FUEL	E	B	7	N	N	1		20,000	10,810	10,810	9,190	1/1/2017	O	12/18/2018	
4400000018	WCNY DBA FOR PUBLIC BROADCASTING COUNCIL 415 W FAYETTE ST SYRACUSE, NY 13204-2941 US	CANAL DOCUMENTARY	P	1		N	N	1		70,471	70,471	70,471	0	1/6/2017	C		8/4/2017
4400000024	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 760 BROOKS AVE ROCHESTER, NY 14619 US	FUEL	E	B	7	N	N	1		10,000	6,748	6,748	3,252	1/1/2017	O	12/18/2018	
4400000027	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 760 BROOKS AVE ROCHESTER, NY 14619 US	KERO	E	B	7			0		10,000	3,101	3,101	6,899	1/1/2017	O	12/15/2018	
4400000028	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 760 BROOKS AVE ROCHESTER, NY 14619 US	FUEL	E	B	7	N	N	1		15,000	10,774	10,774	4,226	1/1/2017	O	12/31/2018	
4400000034	MIRABITO FUEL GROUP PO BOX 5306 BINGHAMTON, NY 13902-5306 US	FUEL	E	B	7	N	N	1		6,000	5,721	5,721	279	1/9/2017	O	12/31/2018	
4400000036	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 760 BROOKS AVE ROCHESTER, NY 14619 US	FUEL OIL/KERO	E	B	7			0		60,000	32,843	32,843	27,157	1/9/2017	O	12/31/2018	
4400000038	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 760 BROOKS AVE ROCHESTER, NY 14619 US	FUEL	E	B	7			0		12,000	7,313	7,313	4,687	1/9/2017	O	8/30/2018	
4400000039	GLOBAL MONTELLO GROUP CORP 800 SOUTH ST WALTHAM, MA 02454 US	GAS	E	B	7	N	N	1		15,000	13,070	13,070	1,930	1/9/2017	O	12/18/2018	
4400000040	GLOBAL MONTELLO GROUP CORP 800 SOUTH ST WALTHAM, MA 02454 US	FUEL	E	B	7	N	N	1		15,000	9,707	9,707	5,293	1/9/2017	O	12/18/2018	
4400000041	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 760 BROOKS AVE ROCHESTER, NY 14619 US	GASOLINE	E	B	7	N	N	1		45,000	28,725	28,725	16,275	1/9/2017	O	12/18/2018	

POWER AUTHORITY OF THE STATE OF NEW YORK
2017 ANNUAL REPORT OF PROCUREMENT CONTRACTS
REQUIRED BY N.Y. PUBLIC AUTHORITIES LAW, SECTION 2879

CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	T Y P E	M O A	R N A	O P A	M W B E	B I D S	F R T	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2017	CONTRACT BALANCE	DATE OF CONTRACT	O C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
4400000042	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 1870 WINTON RD S - STE 200 ROCHESTER, NY 14618-3960 US	GASOLINE	E	B	7	N	N	1		20,000	10,720	10,720	9,280	1/9/2017	O	12/18/2018	
4400000043	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 1870 WINTON RD S - STE 200 ROCHESTER, NY 14618-3960 US	UNLEADED FUEL ON STATE CONTRACTS	E	B	7	N	N	3		30,000	19,217	19,217	10,783	1/2/2017	O	12/31/2018	
4400000044	NOCO ENERGY CORP 2440 SHERIDAN DR - STE 202 TONAWANDA, NY 14150-9493 US	GASOLINE	E	B	7	N	N	1		30,000	24,424	24,424	5,576	1/9/2017	O	12/18/2018	
4400000045	NOCO ENERGY CORP 2440 SHERIDAN DR - STE 202 TONAWANDA, NY 14150-9493 US	UNLEADED FUEL ON STATE CONTRACT	E	B	7	N	N	3		15,000	11,409	11,409	3,591	10/30/2017	C		12/31/2017
4400000046	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 1870 WINTON RD S - STE 200 ROCHESTER, NY 14618-3960 US	GAS	E	B	7			0		10,000	6,634	6,634	3,366	1/9/2017	O	12/19/2018	
4400000047	MAIN BROTHERS OIL CO INC MAIN - CARE ENERGY 1 BOOTH LANE PO BOX 11029 ALBANY, NY 12211 US	DIESEL FUEL	E	B	7	N	N	1		15,000	3,771	3,771	11,229	1/10/2017	O	8/30/2018	
4400000048	MAIN BROTHERS OIL CO INC MAIN - CARE ENERGY 1 BOOTH LANE PO BOX 11029 ALBANY, NY 12211 US	DIESEL OVER WATER WASHINGTON CTY	E	B	7	N	N	1		5,000	0	0	5,000	1/3/2017	O	8/30/2018	
4400000049	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 760 BROOKS AVE ROCHESTER, NY 14619 US	FUEL OIL - NYS CONTACT	E	B	7			0		10,000	2,379	2,379	7,621	1/1/2017	O	8/30/2018	
4400000050	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	4,890	4,890	20,110	1/3/2017	O	8/30/2018	
4400000057	GLOBAL MONTELLO GROUP CORP 800 SOUTH ST WALTHAM, MA 02454 US	FUEL	E	B	7	N	N	1		25,000	8,838	8,838	16,162	1/1/2017	O	12/18/2018	
4400000059	MIRABITO FUEL GROUP PO BOX 5306 BINGHAMTON, NY 13902-5306 US	DIESEL FUEL	E	B	7	N	N	1		20,000	2,252	2,252	17,748	1/3/2017	O	12/18/2018	
4400000061	GLOBAL MONTELLO GROUP CORP 800 SOUTH ST WALTHAM, MA 02454 US	FUEL	E	B	7			0		20,000	2,235	2,235	17,765	1/11/2017	O	8/30/2018	
4400000065	MIRABITO FUEL GROUP PO BOX 5306 BINGHAMTON, NY 13902-5306 US	FUEL	E	B	7	N	N	1		10,000	0	0	10,000	1/1/2017	O	12/18/2018	

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4400000066	MIRABITO FUEL GROUP PO BOX 5306 BINGHAMTON, NY 13902-5306 US	FUEL	E	B	7	N	N	1		200,000	55,870	55,870	144,130	1/1/2017	O	12/18/2018	
4400000067	MIRABITO FUEL GROUP PO BOX 5306 BINGHAMTON, NY 13902-5306 US	DIESEL ON STATE CONTRACT	E	B	7	N	N	1		15,000	7,847	7,847	7,153	7/5/2017	O	12/31/2018	
4400000068	MIRABITO FUEL GROUP PO BOX 5306 BINGHAMTON, NY 13902-5306 US	DIESEL FUEL	E	B	7			0		10,000	4,773	4,773	5,227	1/11/2017	O	3/1/2018	
4400000071	KURK FUEL OIL CO DBA FOR GOETZ ENERGY CORP PO BOX A BUFFALO, NY 14217-0305 US	DIESEL FUEL	E	B	7			0		10,000	5,885	5,885	4,115	1/11/2017	O	3/1/2018	
4400000076	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 760 BROOKS AVE ROCHESTER, NY 14619 US	FUEL	E	B	7	N	N	1		20,000	17,259	17,259	2,741	1/1/2017	O	12/18/2018	
4400000077	SUPERIOR PLUS ENERGY SERVICES INC DBA GRIFFITH ENERGY 760 BROOKS AVE ROCHESTER, NY 14619 US	DIESEL	E	B	7			0		10,000	9,194	9,194	806	1/12/2017	O	8/30/2018	
4400000107	COUNTY WASTE & RECYCLING SERVICE IN 1927 ROUTE 9 PO BOX 431 CLIFTON PARK, NY 12065 US	RUBBISH	S	B	7	N	N	1		6,000	4,381	4,381	1,619	1/1/2017	C		12/31/2017
4400000111	ENVIRONMENTAL SYSTEMS RESEARCH INSTITUTE INC 380 NEW YORK ST REDLANDS, CA 92373-8100 US	ARCGIS DESKTOP	E	B	7	N	N	1	*	11,539	11,539	11,539	0	1/27/2017	C		8/4/2017
4400000128	GRAYBAR ELECTRIC CO INC 229 CHURCH ST ALBANY, NY 12202-1060 US	ELECTRICAL SUPPLIES	E	B	7	N	N	3		8,289	5,227	5,227	3,062	1/24/2017	C		8/4/2017
4400000140	HANSON AGGREGATES NEW YORK LLC 4800 JAMESVILLE RD PO BOX 513 JAMESVILLE, NY 13078 US	FINE AND COARSE AGGREGATES BULK STATE CONTRACT	E	B	7	N	N	1		20,000	18,241	18,241	1,759	1/26/2017	O	4/18/2018	
4400000141	PUMP SERVICE AND SUPPLY OF TROY INC 1 REGATTA PLACE TROY, NY 12180-1229 US	PUMP RENTAL	E	C	5	N	1	1		5,400	5,400	5,400	0	1/1/2017	C		8/4/2017
4400000143	ELLCOTT DREDGES LLC ELLCOTT DREDGE ENTERPRISES LLC, EL 1425 WICOMICO ST BALTIMORE, MD 21230 US	SOLE SOURCE FOR DREDGE PARTS (OEM)	E	1	5	F	N	1	*	6,229	6,229	6,229	0	1/26/2017	O	1/25/2018	
4400000145	ELLCOTT DREDGES LLC ELLCOTT DREDGE ENTERPRISES LLC, EL 1425 WICOMICO ST BALTIMORE, MD 21230 US	DREDGE PARTS OEM	E	1	9	F	N	1		15,223	15,201	15,201	22	1/26/2017	C		8/4/2017

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4400000150	ADMAR SUPPLY CO INC 7800 BREWERTON RD CICERO, NY 13039 US	RENTALS	E	B	7	N	N	1		9,500	8,935	8,935	565	10/1/2016	C		12/31/2017
4400000166	BAUMS CASTORINE CO INC 200 MATTHEW ST PO BOX 230 ROME, NY 13442 US	MOTOR OIL	E	B	7	N	N	1		5,245	5,245	5,245	0	2/1/2017	C		8/4/2017
4400000201	AAMSTRAND ROPES & TWINES INC 711 GROVE ST MANTENO, IL 60950 US	POLYXTRA	E	1	6	F	N	1	*	5,257	5,257	5,257	0	2/6/2017	C		8/4/2017
4400000203	BONDED CONCRETE INC PO BOX 189 303 WATERVLIT RD WATERVLIT, NY 12189 US	CONCRETE - WATERFORD	E	B	7	N	N	1	*	5,402	5,402	5,402	0	2/6/2017	C		2/6/2017
4400000230	AIRGAS USA LLC DBA FOR AIRGAS INC 84 KARNER RD ALBANY, NY 12205-4730 US	COMPRESSED	E	B	5	N	N	1		5,000	741	741	4,259	10/19/2017	O	2/7/2018	
4400000271	STONE INDUSTRIES LLC STONE PORTABLE TOILET RENTALS 4305 ROUTE 50 SARATOGA SPRINGS, NY 12866- 2914 US	PORTABLE TOILETS	E	B	7	N	N	2		6,500	5,625	5,625	875	2/1/2017	C		12/31/2017
4400000273	STONE INDUSTRIES LLC STONE PORTABLE TOILET RENTALS 4305 ROUTE 50 SARATOGA SPRINGS, NY 12866- 2914 US	PORT O JOHN RENTAL	E	B	7			0		5,883	5,655	5,655	228	1/3/2017	C		12/31/2017
4400000274	JGB ENTERPRISES INC 115 METROPOLITAN DR - PO BOX 209 LIVERPOOL, NY 13088-9000 US	DREDGE HOSES	E	C	6	N	N	3	*	7,822	7,822	7,822	0	2/13/2017	C		8/4/2017
4400000279	STONE INDUSTRIES LLC STONE PORTABLE TOILET RENTALS 4305 ROUTE 50 SARATOGA SPRINGS, NY 12866- 2914 US	PORT O JOHN RENTAL	E	B	7			0		13,033	10,920	10,920	2,113	1/3/2017	C		12/31/2017
4400000283	MAIN BROTHERS OIL CO INC MAIN - CARE ENERGY 1 BOOTH LANE PO BOX 11029 ALBANY, NY 12211 US	DIESEL FUEL	E	B	7	N	N	1		30,000	10,005	10,005	19,995	2/14/2017	O	12/18/2018	
4400000285	MAIN BROTHERS OIL CO INC MAIN - CARE ENERGY 1 BOOTH LANE PO BOX 11029 ALBANY, NY 12211 US	DIESEL OVER WATER	E	B	7	N	N	1		50,000	22,638	22,638	27,362	2/14/2017	O	12/18/2018	
4400000303	MIRABITO FUEL GROUP PO BOX 5306 BINGHAMTON, NY 13902-5306 US	FUEL OIL	E	B	7	N	N	1		5,000	0	0	5,000	2/17/2017	O	8/30/2018	
4400000320	PECKHAM MATERIALS CORP PECKHAM INDUSTRIES INC (PARENT) UNION ST ATHENS, NY 12015 US	FINE AND COARSE AGGREGATES	E	B	7	N	N	1		40,000	18,792	18,792	21,208	2/21/2017	O	4/14/2018	

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4400000326	PUMP SERVICE AND SUPPLY OF TROY INC 1 REGATTA PLACE TROY, NY 12180-1229 US	PUMP RENTAL	E	2	5	N	1	1		6,000	6,000	6,000	0	1/1/2017	C		8/4/2017
4400000337	NOBLE GAS SOLUTIONS AWESCO - FORMERLY 20 CENTER ST ALBANY, NY 12204 US	GAS O2 AND ACETYLENE	E	B	7			0		10,097	4,429	4,429	5,668	11/30/2017	O	12/31/2018	
4400000342	NOBLE GAS SOLUTIONS AWESCO - FORMERLY 20 CENTER ST ALBANY, NY 12204 US	GAS	E	C	5	N	N	2		5,390	2,700	2,700	2,690	1/1/2017	C		12/31/2017
4400000343	NOBLE GAS SOLUTIONS AWESCO - FORMERLY 20 CENTER ST ALBANY, NY 12204 US	COMPRESSED GAS	E	B	7	N	N	1		6,258	3,023	3,023	3,235	11/27/2017	C		12/31/2017
4400000363	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	CANAL LAYER 3 SOLUTIONS FOR DR SITE	E	B	5	N	4	3		18,910	18,910	18,910	0	2/28/2017	C		7/10/2017
4400000371	MODERN DISPOSAL SERVICES INC PO BOX 209 MODEL CITY, NY 14107-0209 US	DUMPING CHARGES	E	B	5			0		6,236	6,136	6,136	100	2/28/2017	O	2/27/2018	
4400000373	BENTLEY SYSTEMS INC 685 STOCKTON DR EXTON, PA 19341-1151 US	STAAD SOFTWARE MAINTENANCE	S	B	6	N	N	1	*	10,442	10,442	10,442	0	1/31/2017	O	1/30/2018	
4400000404	JOHNSTOWN AUTO PARTS JFL INC OF FULTON COUNTY 208 N PERRY ST JOHNSTOWN, NY 12095 US	CAR PART	E	B	5	N	N	1		5,200	4,504	4,504	696	1/1/2017	C		12/31/2017
4400000406	SHI INTERNATIONAL CORP 5 W BANK ST COLD SPRING, NY 10516-2219 US	ADOBE SOFTWARE	E	B	7	N	N	2		7,392	5,174	5,174	2,218	3/4/2017	C		3/15/2017
4400000413	COMPULINK TECHNOLOGIES INC 260 W 39TH ST - STE 302 NEW YORK, NY 10018-4434 US	NEW TABLEAU DESKTOP SOFTWARE	E	B	5	N	4	5		5,473	5,473	5,473	0	3/10/2017	C		8/4/2017
4400000422	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	THRUWAY TSA OPS-7 - EMERGENCY SUPPORT OF INCIDENTS	S	1	5	N	N	1		12,000	0	0	12,000	1/1/2017	C		12/31/2017
4400000423	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	THRUWAY TSA OPS-6 - FIRE INSPECTIONS, BUILDING PERMITS AND BUILDING COMPLIANCE	S	1	9	N	N	1		240,000	0	0	240,000	1/1/2017	C		12/31/2017
4400000424	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	THRUWAY TSA OPS-1 - IN PROGRESS PROJECTS UNTIL CLOSED OUT	S	1	9	N	N	1		228,000	0	0	228,000	1/1/2017	C		12/31/2017
4400000426	SHI INTERNATIONAL CORP 290 DAVIDSON AVE SOMERSET, NJ 08873-4145 US	NEW SERVER SOFTWARE AND MAINTENANCE	E	B	7	N	N	4	*	369,663	369,663	369,663	0	3/20/2017	C		8/4/2017
4400000437	AMSEC ENGINEERING OF NEW YORK PC DBA AENY 112 W 34TH ST FL 18 NEW YORK, NY 10120-0001 US	VESSEL ASSESSMENT AND LONG RANGE PLANNING	P	B		N	N	3		299,724	299,724	299,724	0	3/10/2017	O	3/9/2018	

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4400000456	STONE INDUSTRIES LLC STONE PORTABLE TOILET RENTALS 4305 ROUTE 50 SARATOGA SPRINGS, NY 12866- 2914 US	PORTA JOHN SERVICES FOR SYRACUSE DIVISION WESTERN SIDE	S	B	7	N	N	1		17,500	10,750	10,750	6,750	3/16/2017	O	3/15/2018	
4400000463	RICOH USA INC 2500 WESTCHESTER AVE - STE 113 PURCHASE, NY 10577-2515 US	COPIER EXCHANGE FOR CANAL COPIER PROJECT	E	B	7	N	N	1		6,869	6,869	6,869	0	3/17/2017	C		12/30/2017
4400000475	ENTERPRISE HOLDINGS INC DBA ENTERPRISE RENT A TRUCK 1320 BROOKS AVE ROCHESTER, NY 14624-3116 US	AUTO RENTALS	E	B	7	N	N	1		55,000	48,660	48,660	6,340	10/13/2017	C		12/31/2017
4400000493	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	THRUWAY TSA IT-16 REMOTE PC ACCESS	S	1	9	N	N	1		10,500	0	0	10,500	1/1/2017	C		12/31/2017
4400000494	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	TSA IT-15 TERMINAL SERVER ACCESS	S	2	9	N	N	1		7,000	0	0	7,000	1/2/2017	C		2/28/2017
4400000496	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	THRUWAY TSA IT-14 ACTIVE DIRECTORY ACCESS	S	1	9	N	N	1		12,000	0	0	12,000	1/1/2017	C		12/31/2017
4400000498	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	THRUWAY TSA IT-13 VPN ACCESS	S	1	9	N	N	1		15,000	0	0	15,000	1/1/2017	C		12/31/2017
4400000499	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	THRUWAY TSA IT-9, FLOOD WARNING	S	1	9	N	N	1		28,500	0	0	28,500	1/1/2017	C		12/31/2017
4400000501	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	THRUWAY TSA IT-7, POST CLOSE IT SUPPORT	S	1	9	N	N	1		48,000	0	0	48,000	1/1/2017	C		12/31/2017
4400000502	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	TSA IT-6, CANAL PC HARD DRIVE RETRIEVAL	S	1	9	N	N	1		12,000	0	0	12,000	1/1/2017	C		12/31/2017
4400000503	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	TSA IT-5A, SHARED SITE PHONE# FORWARD	S	1	9	N	N	1		6,000	0	0	6,000	1/1/2017	C		12/31/2017
4400000504	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	TSA IT-4, EMAIL FORWARD	S	1	9	N	N	1		6,000	0	0	6,000	1/1/2017	C		12/31/2017
4400000514	BARRE STONE PRODUCTS INC 14120 W LEE RD ALBION, NY 14411 US	STONE	E	B	7	N	N	1		75,000	60,720	60,720	14,280	1/1/2017	O	12/18/2018	

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4400000515	NORTH EAST APPRAISALS & MGM CO INC PO BOX 4805 ITHACA, NY 14852-4805 US	REAP PROP APPRAISAL	P	C	5	N	N	1		5,000	5,000	5,000	0	3/1/2017	C		3/1/2017
4400000537	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	THRUWAY TSA, IT-2, CONTRACT MANAGEMENT SYSTEM	S	1	9	N	N	1		12,000	0	0	12,000	1/1/2017	C		12/31/2017
4400000538	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	THRUWAY TSA, IT-1, ORACLE LICENSES	E	1	9	N	N	1		21,000	0	0	21,000	1/1/2017	C		12/31/2017
4400000540	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	THRUWAY TSA, HR-8, E-ZPASS PLUS COST OF TOLLS	S	1	9	N	N	1		9,996	0	0	9,996	1/1/2017	O	12/31/2018	
4400000543	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	THRUWAY TSA, HR-7	S	1	9	N	N	1		19,500	0	0	19,500	1/1/2017	C		12/31/2017
4400000547	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	THRUWAY TSA, HR-5 PERSONAL HISTORY FILES	E	1	9	N	N	1		6,000	0	0	6,000	1/1/2017	C		12/31/2017
4400000550	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	THRUWAY TSA, EHS 2A, MANAGE OCCUPATIONAL MEDICAL RECORDS	S	1	9	N	N	1		25,000	0	0	25,000	1/1/2017	C		10/31/2017
4400000551	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	THRUWAY TSA, EHS 1, MS4 SVCS PLU COST	S	1	9	N	N	1		72,000	0	0	72,000	1/1/2017	C		9/30/2017
4400000562	PEAK TRADING CORP CONSTRUCTION TOOL WAREHOUSE 1 TOMSONS RD STE 100 SAUGERTIES, NY 12477-5121 US	WIRE ACCESSORIES	E	C	5	N	N	2		5,480	5,480	5,480	0	3/30/2017	C		8/4/2017
4400000563	RIG ALL INC 2322 BROAD ST FRANKFORT, NY 13340 US	CRANE WITH CREW	E	C	5	N	N	3		41,000	41,000	41,000	0	3/8/2017	C		3/8/2017
4400000590	MIDWAY INDUSTRIAL SUPPLY INC 505 N FRENCH RD AMHERST, NY 14228 US	PAINT	S	B	7	N	N	1	*	5,310	5,310	5,310	0	4/4/2017	C		8/4/2017
4400000602	MIDWAY INDUSTRIAL SUPPLY INC 51 WURZ AVE UTICA, NY 13503 US	PAINT ON T-15000	E	B	7	N	N	1	*	14,211	14,211	14,211	0	4/5/2017	C		8/4/2017
4400000614	PARKS & TRAILS NEW YORK 29 ELK ST ALBANY, NY 12207 US	PROMOTION AND SUPPORT FOR NYS CANALS - PARKS AND TRAILS NY	S	2	3	N	N	1		99,791	57,664	57,664	42,127	11/15/2017	C		12/31/2017
4400000627	RICKS SANDBLASTING 680 ST HWY 29 BROADALBIN, NY 12025 US	SANDBLASTING WORK COMPLETED	E	2	5	N	N	1		5,300	5,300	5,300	0	4/10/2017	C		8/4/2017
4400000633	WOODS CRW CORP 751 COUNTY RTE 37 CENTRAL SQUARE, NY 13036 US	PARTS	E	B	5	F	N	1	*	5,868	5,868	5,868	0	4/27/2017	C		8/4/2017

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4400000642	EMPIRE CRANE CO LLC 7021 PERFORMANCE DR NORTH SYRACUSE, NY 13212 US	CRANE REPAIRS	E	2	5	N	N	1		6,887	0	0	6,887	4/14/2017	O	4/13/2018	
4400000661	CDW G INC 230 N MILWAUKEE AVE VERNON HILLS, IL 60061-4304 US	HARDWARE NEEDED FOR END- USERS AT CANAL FOR REMOTE WORK	E	B	7	N	N	1		11,202	11,202	11202	0	4/17/2017	C		12/30/2017
4400000668	CAPPELLINO CHEVROLET INC 9000 BOSTON STATE RD BOSTON, NY 14025 US	IMPALAS	E	B	7	N	N	1	*	42,727	42,727	42,727	0	10/12/2017	C		12/31/2017
4400000669	DELL COMPUTER CORP ONE DELL WAY ROUND ROCK, TX 78682 US	DELL MONITORS FOR CANALS	E	B	7	N	N	4		11,400	11,400	11,400	0	4/17/2017	C		12/30/2017
4400000674	MIDWAY INDUSTRIAL SUPPLY INC 51 WURZ AVE UTICA, NY 13503 US	CANAL PAINT, T-15000	E	B	7	N	N	1	*	8,759	8,759	8,759	0	4/18/2017	C		8/4/2017
4400000685	SOUDER'S LLC SOUDERS PROMOTIONS 26 F CONGRESS ST NO 263 SARATOGA SPRINGS, NY 12866 US	MARKETING ITEMS	E	M	6	N	N	1		5,465	5,415	5,415	50	4/20/2017	O	4/19/2018	
4400000708	FISHER ASSOCIATES PE LS LA DPC 135 CALKINS RD ROCHESTER, NY 14623-4255 US	WATER SAMPLING AT UPLAND DISPOSAL SITES	S	C		N	N	8		35,842	14,689	14,689	21,153	5/1/2017	C		12/31/2017
4400000709	HANSON AGGREGATES NEW YORK LLC 4800 JAMESVILLE RD PO BOX 513 JAMESVILLE, NY 13078 US	SAND STONE AND GRAVEL	C	B	7	N	N	1		5,000	212	212	4,788	1/1/2017	C		12/31/2017
4400000710	CLARK RIGGING & RENTAL CORP PO BOX 15124 LOCKPORT, NY 14094 US	CRANE RENTAL	E	C	5	N	N	3		14,500	12,000	12,000	2,500	4/25/2017	C		5/10/2017
4400000715	E J WARD INC 8801 TRADEWAY ST SAN ANTONIO, TX 78217-6197 US	CANAL'S FUEL MANAGEMENT	P	B	7	N	N	1		211,183	86,238	86,238	124,945	4/25/2017	O	4/24/2018	
4400000716	UNITED RENTALS (NORTH AMERICA) INC UNITED RENTALS 7178 SCHUYLER RD EAST SYRACUSE, NY 13057-9743 US	PORTABLE TOILET RENTALS	E	C	5	N	N	1		5,000	2,620	2,620	2,380	4/1/2017	C		12/31/2017
4400000720	DIVAL SAFETY EQUIPMENT INC 1721 NIAGARA ST BUFFALO, NY 14207-3108 US	HEALTH AND SAFETY	E	B	7	N	N	1		5,025	4,516	4,516	509	5/1/2017	C		12/31/2017
4400000728	AUTOMOTIVE RENTALS INC 40001 LEADENHALL RD MOUNT LAUREL, NJ 08054-4611 US	ARI FLEET MAINTENANCE SERVICE CANALS	S	B	7	F	N	1		621,662	46,866	46,866	574,796	12/27/2016	C		12/26/2017
4400000749	CDW G INC 230 N MILWAUKEE AVE VERNON HILLS, IL 60061-4304 US	RSA LICENSES AND SUPPORT	S	B	7	N	N	1		9,585	9,585	9,585	0	5/3/2017	O	1/31/2018	
4400000764	J C EHRLICH CO INC BUFFALO EXTERMINATING - RENTOKIL-IN 6300 COLLETT RD W FARMINGTON, NY 14425 US	PESTICIDE APPLICATION/EXTERMINATION SERVICES	S	C	5	N	N	3		10,000	8,179	8,179	1,821	5/8/2017	C		12/31/2017

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4400000777	NAVISTAR INC INTERNATIONAL TRUCK & ENGINE CORP 399 ALBANY SHAKER RD SUITE 202 LOUDONVILLE, NY 12211 US	INTERNATIONAL TRUCK	E	B	7	N	N	1		134,592	134,592	134,592	0	10/13/2017	C		12/31/2017
4400000778	VIKING-CIVES (USA) RR#2 BOX 36-1/2 HARRISVILLE, NY 13648-9519 US	UPFITTING	E	B	7	N	N	1		67,670	0	0	67,670	5/18/2017	C		12/31/2017
4400000784	DEERE & COMPANY AG & TURF CBD & GOVERNMENT SALES 2000 JOHN DEERE RUN CARY, NC 27513-2789 US	TRACTOR	E	B	7	N	N	1		74,434	74,434	74,434	0	5/10/2017	C		12/31/2017
4400000789	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	RAM 5500 WITH PLOW	E	B	7	N	N	1	*	67,542	67,542	67,542	0	12/8/2017	C		12/31/2017
4400000790	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	TRADESMAN 2500 TRUCK	E	B	7	N	N	1	*	30,038	30,038	30,038	0	11/8/2017	C		11/9/2017
4400000791	MICROSOFT CORP 3000 BAYPORT DR - STE 480 TAMPA, FL 33607 US	MICROSOFT SUPPORT - CANAL	S	B	7	N	N	1		32,920	32,920	32,920	0	6/28/2017	C		8/4/2017
4400000797	CLARK RIGGING & RENTAL CORP PO BOX 15124 LOCKPORT, NY 14094 US	CRANE WITH OPERATOR ON STATE CONTRACT	E	B	7	N	N	3		6,400	0	0	6,400	10/24/2017	C		12/31/2017
4400000801	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	TRADESMAN 1500	E	B	7	N	N	2		114,333	114,333	114,333	0	5/15/2017	C		12/31/2017
4400000816	CLEMENTE LATHAM CONCRETE PO BOX 15097 ALBANY, NY 12212 US	CONCRETE	E	B	7	N	N	1		10,000	7,918	7,918	2,082	3/1/2017	C		12/31/2017
4400000823	HANSON AGGREGATES NEW YORK LLC 4800 JAMESVILLE RD PO BOX 513 JAMESVILLE, NY 13078 US	SAND STONE AND GRAVEL	E	B	7	N	N	1		10,000	6,151	6,151	3,849	1/1/2017	O	5/19/2018	
4400000824	SOUTHWORTH-MILTON INC 500 COMMERCE DR CLIFTON PARK, NY 12065 US	WHEEL LOADER	E	B	7	N	N	1		298,910	298,910	298,910	0	10/30/2017	C		12/31/2017
4400000827	BRIGGS & STRATTON POWER PRODUCTS GR FERRIS INDUSTRIES DBA 5375 N MAIN ST MUNNSVILLE, NY 13409 US	ZERO TURN MOWERS	E	B	6	N	N	1		17,050	17,050	17,050	0	1/1/2017	C		12/31/2017

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4400000849	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	CARGO VAN	E	B	7	N	N	1		63,486	0	0	63,486	5/23/2017	C		12/31/2017
4400000865	BETTER POWER INC 508 WHITE SPRUCE BLVD SOUTHVIEW COM ROCHESTER, NY 14623 US	TOWABLE GENERATOR	E	B	7	N	N	1		46,707	46,707	46,707	0	5/25/2017	O	5/24/2018	
4400000866	BETTER POWER INC 508 WHITE SPRUCE BLVD SOUTHVIEW COM ROCHESTER, NY 14623 US	GENERATOR	E	B	7	N	N	1		24,407	24,407	24,407	0	5/25/2017	C		12/31/2017
4400000870	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	RAM 5500	E	B	7	N	N	1		58,723	0	0	58,723	5/25/2017	C		12/31/2017
4400000872	NEW YORK STATE THRUWAY AUTHORITY 200 SOUTHERN BLVD ALBANY, NY 12209-2018 US	COMPUTERIZED DATA RETENTION AND MIGRATION SUPPORT	S	2	9	N	N	1		48,000	0	0	48,000	1/2/2017	C		12/31/2017
4400000878	BISHOP LIFTING PRODUCTS INC 125 MCCARTY DR HOUSTON, TX 77029-1135 US	CRANE BASKET FOR PERSONNEL	E	C	5	N	N	3		5,587	0	0	5,587	5/30/2017	C		12/31/2017
4400000880	MOFFETT TURF EQUIPMENT INC 33 THRUWAY PARK DR WEST HENRIETTA, NY 14586-9702 US	MOWERS	E	B	7	N	N	1		28,797	0	0	28,797	5/1/2017	C		12/31/2017
4400000881	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	5500 TRUCK	E	B	7	N	N	1		58,723	0	0	58,723	5/1/2017	C		12/31/2017
4400000885	BENTLEY SYSTEMS INC 685 STOCKTON DR EXTON, PA 19341-1151 US	BENTLEY PROJECTWISE SOFTWARE SUBSCRIPTION AND PROFESSIONAL SVC	S	B	7	F	N	1		13,215	0	0	13,215	12/28/2016	C		12/31/2017
4400000886	TRADEBE TREATMENT & RECYCLING NORTH TRADEBE ENVIRONMENTAL SERVICES LLC 47 GRACEY AVE MERIDEN, CT 06450-0902 US	HAZ WASTE REMOVAL	E	B	5	F	N	1		5,100	5,066	5,066	34	10/11/2017	O	1/31/2018	
4400000892	VIKING-CIVES (USA) RR#2 BOX 36-1/2 HARRISVILLE, NY 13648-9519 US	UPFITTING	E	B	7	N	N	1		79,410	0	0	79,410	5/1/2017	C		12/31/2017
4400000898	THE EMPIRE CRANE CO LLC 7021 PERFORMANCE DR NORTH SYRACUSE, NY 13212 US	CRANE REPAIR	E	2	6	N	N	1	*	6,381	6,381	6,381	0	8/1/2017	C		8/10/2017
4400000899	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	5 PCs FOR CANALS	E	B	7	N	4	4		11,545	11,545	11,545	0	6/2/2017	C		12/30/2017

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4400000909	BOBCAT COMPANY CLARK EQUIPMENT - PARENT 250 E BEATON DR PO BOX 6000 WEST FARGO, ND 58078-6000 US	EXCAVATOR	E	B	7	N	N	1	*	161,078	161,078	161,078	0	5/1/2017	C		12/31/2017
4400000917	ARCADIS OF NEW YORK INC 44 S BROADWAY - FL 15 WHITE PLAINS, NY 10601-4411 US	D214283 SYRACUSE INNER HARBOR THRUWAY HOLDOVER	A	1	9	N	N	1		11,428	11,428	11,428	0	1/2/2017	C		8/4/2017
4400000919	JOE BASIL CHEVROLET INC 5111 TRANSIT RD DEPEW, NY 14043-4466 US	IMPALAS	E	B	7	N	N	5	*	232,221	232,221	232,221	0	5/1/2017	C		12/31/2017
4400000920	JOSEPH M BRESS PO BOX 5680 WASHINGTON, DC 20016-1280 US	LABOR NEGOTIATION SERVICES	P	1	5	F	N	1		35,000	245	245	34,755	6/1/2017	O	5/31/2018	
4400000922	CARASOFT TECHNOLOGY CORP 1860 MICHAEL FARADY DR - STE 100 RESTON, VA 20190-5328 US	ACCELA SOFTWARE, MAINTENANCE. SERVICES-	S	B	7	N	N	1		270,223	36,370	36,370	233,853	10/20/2016	C		10/19/2017
4400000934	FREEMPORT MARINE SUPPLY CO INC 47 W MERRICK RD PO BOX 111 FREEMPORT, NY 11520-0111 US	PERSONAL FLOTATION	E	B	5	N	N	1	*	6,122	6,122	6,122	0	6/1/2017	C		12/31/2017
4400000935	MIDWAY INDUSTRIAL SUPPLY INC 505 N FRENCH RD AMHERST, NY 14228 US	PAINTS	E	B	5	N	N	1	*	6,275	6,275	6,275	0	1/1/2017	C		12/31/2017
4400000942	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	RAM 1500	E	B	7	N	N	1	*	28,826	28,826	28,826	0	11/27/2017	C		12/31/2017
4400000954	MOFFETT TURF EQUIPMENT INC 33 THRUWAY PARK DR WEST HENRIETTA, NY 14586-9702 US	MOWERS	E	B	7	N	N	1		7,199	0	0	7,199	6/1/2017	C		12/31/2017
4400000956	SENTRY AIR SYSTEMS INC 21221 FM 529 RD CYPRESS, TX 77433-5139 US	AIR SYSTEM	E	B	5	F	N	3	*	9,513	9,513	9,513	0	6/1/2017	C		12/31/2017
4400000957	FIVE STAR EQUIPMENT INC 6500 E TAFT RD EAST SYRACUSE, NY 13057 US	PARTS FOR PAD SWAP	E	C	5	N	N	3		11,152	10,208	10,208	944	6/16/2017	O	6/15/2018	
4400000958	CRYO WELD CORP 564 BROADWAY ALBANY, NY 12204-2802 US	BOBCATS	E	B	7	N	N	4		33,883	33,883	33,883	0	6/22/2017	C		12/31/2017
4400000959	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	RAM 5500	E	B	7	N	N	1		72,650	0	0	72,650	6/1/2017	C		12/31/2017
4400000960	CLARK EQUIPMENT CO DBA BOBCAT CO 250 EAST BEATON DR - PO BOX 6000 WEST FARGO, ND 58078-2656 US	BOBCAT	E	B	7	N	N	1	*	62,293	62,293	62,293	0	6/1/2017	C		12/31/2017

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4400000961	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	UTILITY WELDING 5500	E	B	7	N	N	1		52,182	0	0	52,182	6/1/2017	C		12/31/2017
4400000962	FLEET MAINTENANCE INC 67 RANSIER DR WEST SENECA, NY 14224-2290 US	WESTERN STAR	E	B	7	N	3	1		136,724	136,724	136,724	0	12/6/2017	C		12/31/2017
4400000964	CLARK RIGGING & RENTAL CORP 500 OHIO ST LOCKPORT, NY 14094-4222 US	RIGGING	E	B	7			0		8,900	8,900	8,900	0	6/16/2017	C		12/31/2017
4400000968	FORT MILLER CO INC PO BOX 98 SCHUYLERVILLE, NY 12871 US	JERSEY BARRIER	E	B	5	N	N	3		16,000	16,000	16,000	0	6/1/2017	C		12/31/2017
4400000980	RICOH USA INC 2500 WESTCHESTER AVE - STE 113 PURCHASE, NY 10577-2515 US	RICOH MP 4504 PRINTER	E	B	7	F	N	1		11,172	0	0	11,172	6/19/2017	O	3/30/2018	
4400000981	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	WELDING TRUCK	E	B	7	N	N	1		62,145	0	0	62,145	6/1/2017	C		12/31/2017
4400000982	TRACEY ROAD EQUIPMENT INC 6803 MANLIUS CENTER RD EAST SYRACUSE, NY 13057-3912 US	TRAILER	E	B	7	N	N	1		32,739	0	0	32,739	6/1/2017	C		12/31/2017
4400000983	TRACEY ROAD EQUIPMENT INC 6803 MANLIUS CENTER RD EAST SYRACUSE, NY 13057-3912 US	TRAILER	E	B	7	N	N	1		8,485	8,485	8,485	0	11/6/2017	C		12/31/2017
4400000984	MILLER MARQUART LUMBER CO LLC THOMAS MARQUART 35 INDUSTRIAL DR NORTH TONAWANDA, NY 14120- 3244 US	WHITE OAK	E	B	5	N	N	1		8,107	8,107	8,107	0	1/1/2017	O	12/31/2018	
4400001004	LAKE SHORE METAL OF WESTERN NY LLC LAKE SHORE METAL LLC 10694 RIDGE RD MEDINA, NY 14103-9406 US	ROOF REPAID	E	B	5	N	N	3		6,308	6,308	6,308	0	6/22/2017	C		12/31/2017
4400001005	KINETICS INDUSTRIES INC 140 STOKES AVE TRENTON, NJ 08638 US	DIODE	E	B	5	F	N	3	*	15,812	15,812	15,812	0	6/22/2017	C		8/4/2017
4400001014	CLARK EQUIPMENT CO DBA BOBCAT CO 250 EAST BEATON DR - PO BOX 6000 WEST FARGO, ND 58078-2656 US	MOWER ATTACHMENT	E	B	7	N	N	1	*	6,884	6,884	6,884	0	6/1/2017	C		12/31/2017

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4400001020	TRAIL KING INDUSTRIES INC 300 E NORWAY MITCHELL, SD 57301-4777 US	TRAILER	E	B	7	F	N	1		69,945	69,945	69,945	0	12/5/2017	C		12/31/2017
4400001021	SOUTHWORTH-MILTON INC 500 COMMERCE DR CLIFTON PARK, NY 12065 US	BACKHOE	E	B	7	N	N	1		99,216	99,216	99,216	0	11/21/2017	C		12/31/2017
4400001022	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	5500 TRUCK	E	B	7	N	N	1		51,408	0	0	51,408	6/27/2017	C		12/31/2017
4400001040	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	CARGO VAN	E	B	7	N	N	2		26,185	0	0	26,185	6/1/2017	O	12/31/2018	
4400001043	J C EHRlich CO INC BUFFALO EXTERMINATING - RENTOKIL-IN 6300 COLLETT RD W FARMINGTON, NY 14425 US	VEG. MGMT & EXTERMINATION - SYRACUSE	S	C	5	N	N	3		7,500	7,171	7,171	329	11/15/2017	C		12/31/2017
4400001046	NORTH ATLANTIC POWER GREAT LAKES POWER SERVICE 15 CONTINENTAL DR EXETER, NH 03833 US	MOUNTAIN GOAT CHIPPER REPAIRS	E	C	5	F	N	2	*	6,577	6,577	6,577	0	6/30/2017	O	6/19/2018	
4400001049	ELLCOTT DREDGES LLC ELLCOTT DREDGE ENTERPRISES LLC, EL 1425 WICOMICO ST BALTIMORE, MD 21230 US	ELECTRICAL WORK FOR ELLCOTT DREDGE	S	1	5	F	N	1		39,074	39,074	39,074	0	7/6/2017	O	7/5/2018	
4400001056	THE CARLYLE JOHNSON MACHINE COMPANY LLC 291 BOSTON TPKE BOLTON, CT 06043-7252 US	MECHANICAL CLUTCH	E	2	5	F	N	1		14,200	14,200	14,200	0	7/1/2017	C		12/31/2017
4400001061	BARTON & LOGUIDICE DPC 443 ELECTRONICS PKWY LIVERPOOL, NY 13088-6056 US	MS4 STORMWATER PROJECT	P	B		N	N	7		64,300	24,415	24,415	39,885	11/20/2017	O	11/19/2018	
4400001065	TRACEY ROAD EQUIP INC 6803 MANLIUS CENTER RD EAST SYRACUSE, NY 13057 US	EXCAVATOR RENTAL	E	B	5	N	N	3		16,450	16,366	16,366	84	12/8/2017	C		12/31/2017
4400001067	HANSON AGGREGATES NEW YORK LLC 4800 JAMESVILLE RD PO BOX 513 JAMESVILLE, NY 13078 US	GABION STONE	E	B	7	N	N	1		45,000	22,768	22,768	22,232	7/1/2017	O	7/11/2018	
4400001069	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	RAM 3500 W/PLOW	E	B	7	N	N	1		120,429	120,429	120,429	0	12/4/2017	C		12/31/2017

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4400001099	MAWHINEY TRUCKING INC 425 LAKE ST WILSON, NY 14172-9798 US	CLAY	E	B	5	N	N	3		14,413	14,413	14,413	0	7/14/2017	C		9/30/2017
4400001109	FLEET MAINTENANCE INC 67 RANSIER DR WEST SENECA, NY 14224-2290 US	WESTERN STAR 4900	E	B	7	N		3	1	272,911	0	0	272,911	7/20/2017	C		12/31/2017
4400001110	BEDFORD BLACKTOP LLC 7361 WHEELER RD LOCKPORT, NY 14094-9418 US	BLACKTOP AT LOCK 34/35	C	B	5	N	N	3		9,450	9,450	9,450	0	7/20/2017	C		12/31/2017
4400001114	BARRETT PAVING MATERIALS INC 4530 WETZEL RD LIVERPOOL, NY 13090-2517 US	STONE	E	B	7	N	N	1		7,000	5,282	5,282	1,718	11/21/2017	O	6/30/2018	
4400001115	PRESIDIO NETWORKED SOLUTIONS GROUP DBA FOR PRESIDIO HOLDINGS INC 30 STANFORD DR - STE 2 FARMINGTON, CT 06032-2453 US	CISCO SMARTNET CANAL MAINTENANCE	S	B	7	N	N	1	*	68,235	68,235	68,235	0	1/1/2017	C		8/4/2017
4400001119	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	LICENSES FOR VSP-G400-G600 REPLICATION AND SOFTWARE SUPPORT	E	B	7	N	4	3		14,026	14,026	14,026	0	7/24/2017	O	7/23/2018	
4400001136	CORE & MAIN LP 14 ARCH ST WATERVLIET, NY 12189 US	HDPE PIPE	E	B	6	N	N	3		33,250	0	0	33,250	7/31/2017	C		9/30/2017
4400001156	CRANE-HOGAN STRUCTURAL SYSTEMS INC 3001 BROCKPORT RD SPENCERPORT, NY 14559 US	LOCK O-7 REHABILITATION	C	B		N	N	6		24,888,446	1,272,105	1,272,105	23,616,341	7/25/2017	O	6/26/2020	
4400001158	CALLAHAN WEBER HYDRAULICS 10751 ALLEGHANY RD DARIEN CENTER, NY 14040 US	GASPORT BRIDGE REPAIRS	E	2	8	N	N	1		93,974	70,684	70,684	23,290	8/7/2017	C		9/29/2017
4400001165	DHI WATER AND ENVIRONMENT 141 UNION BLVD STE 250 LAKEWOOD, CO 80228-2206 US	MAINTENANCE-MIKE OPERATIONS SOFTWARE - CANALS	S	1		N	N	1	*	53,487	53,487	53,487	0	7/1/2017	O	6/30/2018	
4400001167	ROME AREA CHAMBER OF COMMERCE INC 139 W DOMINICK ST ROME, NY 13440-5809 US	TENT RENTAL FOR BICENTENNIAL EVENT ON 7.22.17	E	B	6	N	N	1		5,123	5,123	5,123	0	8/7/2017	C		8/7/2017
4400001168	CITY OF LOCKPORT ONE LOCKS PLZ LOCKPORT, NY 14094 US	FIREWORK DISPLAY ON 7/8/2017	S	B	6	N	N	1		5,000	5,000	5,000	0	8/7/2017	C		8/7/2017
4400001178	MILLER MARQUART LUMBER CO LLC THOMAS MARQUART 35 INDUSTRIAL DR NORTH TONAWANDA, NY 14120- 3244 US	WHITE OAK	E	B	5	N	N	1		10,868	0	0	10,868	1/1/2017	O	9/30/2018	
4400001179	SISCO MARINE LLC MARINE INLAND FABRICATIONS 1725 BUCHANAN ST PANAMA CITY, FL 32409-1482 US	PUSH BOATS	E	B		F	N	1		564,602	375,000	375,000	189,602	10/13/2017	O	5/31/2018	
4400001188	COMET FLASHER INC 1 BABCOCK ST BUFFALO, NY 14210-2250 US	SIGNAGE FOR GASPORT	E	B	5	N	N	3		5,260	0	0	5,260	8/9/2017	O	7/31/2018	

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4400001195	KLEIN STEEL SERVICE INC 105 VANGUARD PKWY ROCHESTER, NY 14606-3100 US	STEEL	E	B	5	N	N	1	*	7,004	7,004	7,004	0	7/1/2017	C		8/30/2017
4400001207	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	RAM 3500	E	B	7	N	N	1		50,504	0	0	50,504	8/10/2017	O	2/28/2018	
4400001208	FLEET MAINTENANCE INC 67 RANSIER DR WEST SENECA, NY 14224-2290 US	WESTERN STAR	E	B	7	N	3	1		177,827	0	0	177,827	7/25/2017	O	2/28/2018	
4400001220	CORE & MAIN LP 14 ARCH ST WATERVLIET, NY 12189 US	HDPE PIPE	E	B	5	N	N	3		32,250	0	0	32,250	8/11/2017	O	1/1/2018	
4400001226	MOHAWK VALLEY MATERIALS INC 9788 RIVER RD MARCY, NY 13403-2049 US	VEGETATION MANAGEMENT	C	B		N	N	2		2,386,382	1,145,299	1,145,299	1,241,083	10/16/2017	O	6/30/2018	
4400001234	SOUVENIR FARMS INC DBA KNIGHTES FARM 7160 STATE ROUTE 158 SCHENECTADY, NY 12306 US	MOWERS	E	B	7	N	N	1		16,509	16,509	16,509	0	6/1/2017	C		12/31/2017
4400001235	SOUVENIR FARMS INC DBA KNIGHTES FARM 7160 STATE ROUTE 158 SCHENECTADY, NY 12306 US	MOWERS	E	B	5	N	N	1		16,500	16,500	16,500	0	6/1/2017	C		12/31/2017
4400001240	MILLER MARQUART LUMBER CO LLC THOMAS MARQUART 35 INDUSTRIAL DR NORTH TONAWANDA, NY 14120-3244 US	WHITE OAK	E	B	5	N	N	1		7,478	0	0	7,478	1/1/2017	O	12/31/2018	
4400001243	ABELE TRACTOR & EQUIP CO INC 72 EVERETT RD ALBANY, NY 12205-1499 US	GRAPPLE	E	B	5	N	N	1	*	13,755	13,755	13,755	0	7/1/2017	O	1/31/2018	
4400001244	TIME WARNER CABLE INC 20 CENTURY HILL DR LATHAM, NY 12110-2116 US	TIME WARNER ETHERNET FOR CANAL LOCATIONS	S	B	7	N	N	1		1,034,051	61,355	61,355	972,696	8/18/2017	O	7/30/2023	
4400001245	C H BURKDORF & SON INC 35 HOUGH ST ST JOHNSVILLE, NY 13452-1241 US	ROOFING SUPPLIES	E	B	5	N	N	3		6,527	6,527	6,527	0	8/18/2017	O	12/31/2018	
4400001251	SOUTHWORTH-MILTON INC 500 COMMERCE DR CLIFTON PARK, NY 12065 US	WHEEL LOADER	E	B	7	N	N	1		448,365	0	0	448,365	8/18/2017	O	12/31/2018	
4400001252	TRAIL KING INDUSTRIES INC 300 E NORWAY MITCHELL, SD 57301-4777 US	BEAM TRAILER	E	B	7	N	N	1		89,480	0	0	89,480	8/16/2017	C		12/31/2017
4400001253	TRAIL KING INDUSTRIES INC 300 E NORWAY MITCHELL, SD 57301-4777 US	TRAILER	E	B	7	N	N	1		69,945	0	0	69,945	8/1/2017	C		12/31/2017

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4400001254	GOMEZ AND SULLIVAN ENGINEERS DPC 288 GENESEE ST UTICA, NY 13502 US	GOMEZ AND SULLIVAN FLOOD WARNING OPTIMIZATION SYSTEM SUPPORT	P	2	8	N	N	1		443,991	258,842	258,842	185,149	1/1/2017	O	2/28/2018	
4400001258	ABSCOPE ENVIRONMENTAL INC 7086 COMMERCIAL DR CANASTOTA, NY 13032-4763 US	ASBESTOS REMOVAL AND REPAIR FOR LYONS CANAL	C	B	7	N	N	1		6,200	6,200	6,200	0	8/21/2017	C		12/31/2017
4400001261	DELOITTE & TOUCHE LLP 4022 SELLS DR HERMITAGE, TN 37076-2903 US	INTERNAL AUDIT COSOURCE	P	B		N	N	4		549,070	466,986	466,986	82,084	8/22/2017	O	3/6/2018	
4400001262	BRIGGS & STRATTON POWER PRODUCTS GR FERRIS INDUSTRIES DBA 5375 N MAIN ST MUNNSVILLE, NY 13409 US	FERRIS MOWERS	E	B	7	N	N	1		25,575	25,575	25,575	0	10/26/2017	C		12/31/2017
4400001264	SOUTHWORTH-MILTON INC 500 COMMERCE DR CLIFTON PARK, NY 12065 US	BACKHOE	E	B	7	N	N	1		104,406	104,406	104,406	0	10/30/2017	C		12/31/2017
4400001270	DELL MARKETING LP C/O DELL USA LP ONE DELL WAY MS RR3-58 ROUND ROCK, TX 78664-7000 US	MICROSOFT TRUE-UP LICENSES	E	B	7	N	N	1		59,874	0	0	59,874	8/23/2017	C		8/31/2017
4400001274	GCOM SOFTWARE INC 24 MADISON AVE EXT ALBANY, NY 12203-5396 US	HISTORICAL SCANNING	S	B	1	N	4	3		104,192	28,434	28,434	75,758	11/20/2017	C		12/31/2017
4400001276	GOMEZ AND SULLIVAN ENGINEERS DPC 288 GENESEE ST UTICA, NY 13502 US	CANAL FWOS MIGRATION SERVICES	P	2	8	N	N	1		77,586	0	0	77,586	8/25/2017	C		12/31/2017
4400001277	GOMEZ AND SULLIVAN ENGINEERS DPC 288 GENESEE ST UTICA, NY 13502 US	MIGRATE, ENHANCE, AND HOST CANAL AUTOMATED EARTHQUAKE RESPONSE	S	2	8	N	N	1		154,617	105,175	105,175	49,442	8/25/2017	C		12/31/2017
4400001278	GOMEZ AND SULLIVAN ENGINEERS DPC 288 GENESEE ST UTICA, NY 13502 US	CANAL GIS INTEGRATION AND HOSTING SERVICES	S	2	8	N	N	1		185,921	3,342	3,342	182,579	8/25/2017	O	12/31/2019	
4400001284	DELL MARKETING LP C/O DELL USA LP ONE DELL WAY MS RR3-58 ROUND ROCK, TX 78664-7000 US	MICROSOFT TRUE-UP LICENSES	E	B	7	F	N	1		561,670	185,892	185,892	375,778	8/28/2017	O	8/31/2020	
4400001288	SOURCE IT TECHNOLOGIES LLC KARA HOMAN 24 EAST AVE - STE 244 NEW CANAAN, CT 06840-5529 US	FWOS VIRTUALIZATION	E	B	7	F	3	3		42,354	42,354	42,354	0	11/8/2017	C		12/31/2017
4400001290	WAYPOINT TECHNOLOGY GROUP LLC 17 COMPUTER DR E ALBANY, NY 12205 US	TRIMBLE YUMA 2/R2 ROVER MAPPING SYSTEM	E	B	7	N	N	1		31,994	31,994	31,994	0	8/31/2017	C		12/31/2017
4400001303	CLARK EQUIPMENT CO DBA BOBCAT CO 250 EAST BEATON DR - PO BOX 6000 WEST FARGO, ND 58078-2656 US	COMPACT EXCAVATORS	E	B	7	N	N	1	*	238,162	238,162	238,162	0	11/15/2017	C		12/31/2017

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4400001305	DEERE & COMPANY AG & TURF CBD & GOVERNMENT SALES 2000 JOHN DEERE RUN CARY, NC 27513-2789 US	MOWERS	E	B	7	N	N	1		50,012	0	0	50,012	8/25/2017	C		12/31/2017
4400001306	CLARK EQUIPMENT CO DBA BOBCAT CO 250 EAST BEATON DR - PO BOX 6000 WEST FARGO, ND 58078-2656 US	BOBCATS	E	B	7	N	N	1		219,908	0	0	219,908	9/1/2017	C		12/31/2017
4400001321	MORBARK LLC PO BOX 1000 WINN, MI 48896-1000 US	WOOD CHIPPER	E	B	7	N	N	1		38,447	0	0	38,447	9/1/2017	C		12/31/2017
4400001334	A E Y ENTERPRISES INC 1607 COMMONS PKWY MACEDON, NY 14502-9191 US	PAVING	E	B	5	N	N	3		37,368	37,368	37,368	0	9/8/2017	O	3/31/2018	
4400001351	CORPORATE COUNSELING ASSOCIATES INC 475 PARK AVE S - FL 5 NEW YORK, NY 10016 US	EMPLOYEE ASSISTANCE PROGRAM	S	B		N	N	4		10,000	4,000	4,000	6,000	9/12/2017	C		11/28/2017
4400001375	SHELBY CRUSHED STONE INC 10830 BLAIR RD MEDINA, NY 14103 US	CRUSHED STONE	E	B	7	N	N	1		9,250	333	333	8,917	9/15/2017	O	9/14/2018	
4400001376	WALTER S PRATT & SONS INC 317 COLUMBIA ST - PO BOX 170 RENSSELAER, NY 12144-2920 US	AIR COMPRESSOR	E	B	7	N	1	1		19,849	19,849	19,849	0	11/3/2017	C		12/31/2017
4400001382	BONDED CONCRETE INC PO BOX 189 303 WATERVLIET RD WATERVLIET, NY 12189 US	CONCRETE	E	B	7	N	N	1	*	25,921	25,921	25,921	0	11/30/2017	O	11/29/2018	
4400001383	BONDED CONCRETE INC PO BOX 189 303 WATERVLIET RD WATERVLIET, NY 12189 US	BONDED CONCRETE	E	B	7	N	N	1	*	7,006	7,006	7,006	0	7/1/2017	C		12/31/2017
4400001387	TRACEY ROAD EQUIPMENT INC 6803 MANLIUS CENTER RD EAST SYRACUSE, NY 13057-3904 US	EXCAVATOR RENTAL	E	B	7	N	N	1		6,691	0	0	6,691	8/1/2017	O	1/31/2018	
4400001394	MILLER MARQUART LUMBER CO LLC THOMAS MARQUART 35 INDUSTRIAL DR NORTH TONAWANDA, NY 14120- 3244 US	HARDWOODS	E	B	5	N	N	1		7,460	7,460	7,460	0	12/6/2016	O	12/31/2018	
4400001405	UNITED WELDING SUPPLY CO INC 170 FREEMANS BRIDGE RD SCOTIA, NY 12302-3508 US	BIG BLUE	E	B	5	N	N	3		16,800	16,800	16,800	0	12/7/2017	C		12/31/2017
4400001409	NAUTILUS FLOATS 4000 W 106 ST #125-254 CARMEL, IN 46032-7720 US	LINE FLOATS WITH HARDWARE TO BE DELIVERED TO UTICA CANAL SHOP AND WATERFORD CANAL SHOP	E	B		F	N	3		116,072	116,072	116,072	0	11/20/2017	C		12/31/2017
4400001416	HP INC 1501 PAGE MILL RD PALO ALTO, CA 94304-1126 US	LAPTOPS	E	B	5	N	N	1		19,667	19,641	19,641	26	11/20/2017	C		12/31/2017
4400001417	HP INC 1501 PAGE MILL RD PALO ALTO, CA 94304-1126 US	ELITEBOOKS	E	B	5	N	N	2		5,079	5,079	5,079	0	9/1/2017	C		12/31/2017

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4400001429	LITHIA OF YORKVILLE-2 LLC CARBONE CHRYSLER DODGE JEEP RAM 5017 COMMERCIAL DR YORKVILLE, NY 13495-1105 US	DURANGO	E	B	7	N	N	2		31,354	0	0	31,354	9/1/2017	C		12/31/2017
4400001433	ELDCO LLC CABS-ROPS & ATTACHMENTS PO BOX 158 IRON RIVER, WI 54847-0158 US	MAN BASKETS	E	C	5	F	N	3		6,425	0	0	6,425	9/25/2017	C		12/31/2017
4400001438	TRACEY ROAD EQUIPMENT INC 6803 MANLIUS CENTER RD EAST SYRACUSE, NY 13057-3912 US	TRAILER	E	B	7	N	N	1		9,592	0	0	9,592	9/1/2017	C		12/31/2017
4400001454	TRACEY ROAD EQUIPMENT INC 6803 MANLIUS CENTER RD EAST SYRACUSE, NY 13057-3912 US	TRAILER	E	B	7	N	N	1		8,767	0	0	8,767	9/1/2017	C		12/31/2017
4400001467	TRACEY ROAD EQUIPMENT INC 6803 MANLIUS CENTER RD EAST SYRACUSE, NY 13057-3912 US	TRAILER	E	B	7	N	N	1		10,927	0	0	10,927	9/1/2017	C		12/31/2017
4400001468	SOUTHWORTH-MILTON INC 500 COMMERCE DR CLIFTON PARK, NY 12065 US	EXCAVATOR	E	B	7	N	N	1		310,391	0	0	310,391	9/1/2017	C		12/31/2017
4400001469	SOUTHWORTH-MILTON INC 500 COMMERCE DR CLIFTON PARK, NY 12065 US	EXCAVATOR	E	B	7	N	N	1		314,460	0	0	314,460	10/16/2017	C		12/31/2017
4400001474	WAYPOINT TECHNOLOGY GROUP LLC 17 COMPUTER DR E ALBANY, NY 12205 US	DAM SAFETY EQ	E	B	7	N	N	1		8,361	8,361	8,361	0	9/1/2017	C		12/31/2017
4400001475	MILLER MARQUART LUMBER CO LLC THOMAS MARQUART 35 INDUSTRIAL DR NORTH TONAWANDA, NY 14120- 3244 US	WHITE OAKS	E	B	5	N	N	1		24,428	0	0	24,428	1/1/2017	O	12/31/2018	
4400001480	RIBERDY CONTRACTING CORP 27 BUTTON RD WATERFORD, NY 12188-1211 US	FIRE HYDRANT INSTALL	E	B	5	N	N	3		9,200	9,200	9,200	0	9/1/2017	C		12/31/2017
4400001491	BRAEMAR TECHNICAL SERVICES INC 5 HANOVER SQ - STE 202 NEW YORK, NY 10004-2660 US	TUGBOAT ASSESSMENT	P	C	6	N	N	3		6,520	0	0	6,520	10/9/2017	C		12/31/2017
4400001493	ANTHONY BOGAN A & A ELECTRIC 8568 THOMPSON STATION RD LYONS, NY 14489-9740 US	REPLACE MAIN ELECTRICAL SERVICE AT LYONS SHOP	C	B	6	N	N	3		24,400	0	0	24,400	10/9/2017	C		10/31/2017
4400001495	HP INC 1501 PAGE MILL RD PALO ALTO, CA 94304-1126 US	HP ELITEDESK 800	E	B	7	F	N	1		16,994	0	0	16,994	10/9/2017	C		12/4/2017
4400001501	TRACEY ROAD EQUIP INC 6803 MANLIUS CENTER RD EAST SYRACUSE, NY 13057 US	TRAILER RENTAL	E	B	5	N	N	3		16,000	0	0	16,000	10/11/2017	O	4/30/2018	

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4400001515	MACLEODS LUMBER & HARDWARE INC PO BOX 217 WHITEHALL, NY 12887-0217 US	LUMBER	E	B	5	N	N	3		8,314	0	0	8,314	10/13/2017	O	1/31/2018	
4400001533	LYRIS INC 401 CONGRESS AVE - STE 2650 AUSTIN, TX 78701-3708 US	SOFTWARE	E	2	5	F	N	1		34,940	34,940	34,940	0	10/18/2017	O	9/30/2018	
4400001566	C P WARD INC 100 RIVER RD PO BOX 900 SCOTTSVILLE, NY 14546 US	ALBION WEST CULVERT CLEANING & INSPECTION	C	B		N	N	2		374,739	301,776	301,776	72,963	11/30/2017	O	2/28/2018	
4400001571	C P WARD INC 100 RIVER RD PO BOX 900 SCOTTSVILLE, NY 14546 US	CULVER CLEANING & INSPECTION ALBION CENTRAL	C	B		N	N	2		347,984	136,988	136,988	210,996	11/30/2017	O	2/28/2018	
4400001573	C P WARD INC 100 RIVER RD PO BOX 900 SCOTTSVILLE, NY 14546 US	CULVERT CLEANING & INSPECTION ALBION EAST	S	B		N	N	2		306,110	284,248	284,248	21,862	11/30/2017	C		12/1/2017
4400001577	KIVORT STEEL INC #380 HUDSON RIVER RD WATERFORD, NY 12188 US	STEEL BARS	E	B	5	N	N	3		45,368	28,355	28,355	17,013	10/26/2017	C		12/30/2017
4400001590	MILLER MARQUART LUMBER CO LLC THOMAS MARQUART 35 INDUSTRIAL DR NORTH TONAWANDA, NY 14120- 3244 US	WHITE OAK	E	B	7	N	N	3		7,906	0	0	7,906	10/31/2017	O	7/31/2018	
4400001592	ELLCOTT DREDGES LLC ELLCOTT DREDGE ENTERPRISES LLC, EL 1611 BUSH ST BALTIMORE, MD 21230 US	DREDGE PARTS	E	1	6	F	N	1		46,613	0	0	46,613	11/1/2017	C		12/31/2017
4400001593	ABELE TRACTOR & EQUIP CO INC 72 EVERETT RD ALBANY, NY 12205-1499 US	EXCAVATOR RENTAL	E	B	7	N	N	1		15,325	0	0	15,325	11/1/2017	C		12/31/2017
4400001594	VANTAGE EQUIPMENT LLC 5985 COURT STREET RD SYRACUSE, NY 13206-1707 US	HAUL TRUCK RENTAL	E	B	7	N	N	1		9,700	0	0	9,700	11/1/2017	O	1/31/2018	
4400001601	KEYSTONE PRECISION INSTRUMENTS DBA FOR KMEL CORP 1670 E RACE ST ALLEN TOWN, PA 18109-9580 US	ECHOSOUND DEVICE FOR CANALS	E	B	5	F	N	3		6,274	0	0	6,274	12/7/2017	C		12/31/2017
4400001602	STEPHENSON EQUIPMENT INC 6018 DROTT DR EAST SYRACUSE, NY 13057-2998 US	CRANE RENTAL	E	B	7	N	N	4		36,400	0	0	36,400	11/1/2017	O	4/30/2018	
4400001606	ELLCOTT DREDGES LLC ELLCOTT DREDGE ENTERPRISES LLC, EL 1425 WICOMICO ST BALTIMORE, MD 21230 US	HYDRAULIC DREDGE	E	B		F	N	2		2,595,650	1,000,000	1,000,000	1,595,650	11/6/2017	O	6/30/2018	
4400001635	ABELE TRACTOR & EQUIP CO INC 72 EVERETT RD ALBANY, NY 12205-1499 US	DOZER RENTAL	E	B	7	N	N	1		15,750	0	0	15,750	11/7/2017	C		12/31/2017

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4400001638	ELLICOTT DREDGES LLC ELLICOTT DREDGE ENTERPRISES LLC, EL 1425 WICOMICO ST BALTIMORE, MD 21230 US	ELLICOTT PARTS	E	2	5	F	N	1		45,478	0	0	45,478	11/7/2017	O	1/30/2018	
4400001640	MOHAWK VALLEY MATERIALS INC 9788 RIVER RD MARCY, NY 13403-2049 US	BOND PAYMENT	E	B	5	N	N	1		24,562	24,562	24,562	0	11/8/2017	O	7/31/2018	
4400001649	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	FLEET	E	B	7	N	N	1		36,188	36,188	36,188	0	12/4/2017	O	12/3/2018	
4400001650	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	1500 QUAD	E	B	7	N	N	2	*	30,340	30,340	30,340	0	12/4/2017	C		12/31/2017
4400001653	Y S I INC ATTN: ORDER ENTRY 9843 18TH ST N STE 1200 ST PETERSBURG, FL 33716-4208 US	XYLEM PARTS	E	2	5	F	N	1		7,094	0	0	7,094	11/13/2017	C		12/31/2017
4400001659	PITTSBURGH FOUNDRY & MACHINE CO 20 36TH ST PITTSBURGH, PA 15201 US	STEEL CASTINGS	E	B	7	F	N	1		56,545	0	0	56,545	11/15/2017	O	6/1/2018	
4400001662	EGGAN EXCAVATING EQUIPMENT CO INC 7439 TOWNLINE RD ROME, NY 13440-1450 US	EMERGENCY SPILL CLEANUP	S	C	5	N	1	1		12,737	12,587	12,587	150	11/14/2017	C		11/15/2017
4400001666	ATLANTIC FLUID POWER INC ATLANTIC INDUSTRIAL TECH INC 90 PRECISION DR SHIRLEY, NY 11967-4702 US	HYDRAULIC PARTS	E	B		N	N	5		24,636	0	0	24,636	11/16/2017	O	1/31/2018	
4400001673	NRC NY ENVIRONMENTAL SERVICES INC 1260 SCOTTSVILLE RD STE 102 ROCHESTER, NY 14624 US	EMERGENCY SPILL CLEANUP - NYPA CONTRACT	S	C	1	N	N	1		30,000	0	0	30,000	11/16/2017	O	1/30/2018	
4400001675	ATLANTIC FLUID POWER INC ATLANTIC INDUSTRIAL TECH INC 90 PRECISION DR SHIRLEY, NY 11967-4702 US	VALVE HPU	E	B		N	N	5		24,636	0	0	24,636	11/16/2017	O	1/31/2018	
4400001676	DIVAL SAFETY EQUIPMENT INC 1721 NIAGARA ST BUFFALO, NY 14207-3108 US	PC 66731 AED	E	B	7	N	N	1	*	61,123	61,123	61,123	0	11/20/2017	O	1/31/2018	
4400001679	ATLANTIC FLUID POWER INC ATLANTIC INDUSTRIAL TECH INC 90 PRECISION DR SHIRLEY, NY 11967-4702 US	GATE HPU	E	B		N	N	4		203,491	0	0	203,491	11/16/2017	O	1/31/2018	

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4400001680	ATLANTIC FLUID POWER INC ATLANTIC INDUSTRIAL TECH INC 90 PRECISION DR SHIRLEY, NY 11967-4702 US	GATE HPU	E	B	8	N	N	4		203,491	0	0	203,491	11/16/2017	O	1/31/2018	
4400001686	FIVE STAR EQUIPMENT INC 6500 E TAFT RD EAST SYRACUSE, NY 13057 US	TRACK REPAIRS	E	2	5	N	N	1		8,405	0	0	8,405	11/20/2017	C		12/31/2017
4400001687	POSEIDON BARGE LTD 3101 NEW HAVEN AVE FORT WAYNE, IN 46803-2744 US	PRE ENGINEERED BARGE SYSTEM FOR THE UTICA CANAL CORP	E	B		F	N	2		101,573	0	0	101,573	12/8/2017	O	3/31/2018	
4400001690	ABELE TRACTOR & EQUIPMENT CO INC 72 EVERETT RD ALBANY, NY 12205 US	CAT RENTAL	E	B	7	N	N	1		6,500	0	0	6,500	11/20/2017	C		12/31/2017
4400001693	POSEIDON BARGE LTD 3101 NEW HAVEN AVE FORT WAYNE, IN 46803-2744 US	FLEXIFLOATS FOR FONDA CANAL LOCATION	E	B		F	N	2		438,453	0	0	438,453	12/5/2017	O	4/1/2018	
4400001694	STEPHENSON EQUIPMENT INC 1886 DUANESBURG RD DUANESBURG, NY 12056 US	CRANE RENTAL	E	B	7	N	N	1		35,400	13,800	13,800	21,600	11/20/2017	O	3/30/2018	
4400001707	ADMAR SUPPLY CO INC STE 1 1950 BRIGHTON HENRIETTA TL RD ROCHESTER, NY 14623-2597 US	TERRAIN BOOM LIFT 4WD RENTAL FOR 6 MONTHS FOR SYRACUSE CANAL SHOP	E	B	7	N	N	1		8,700	0	0	8,700	11/27/2017	C		11/30/2017
4400001710	ENVIRONMENTAL SYSTEMS RESEARCH INSTITUTE INC 380 NEW YORK ST REDLANDS, CA 92373-8100 US	SOFTWARE MAINTENANCE	S	B	7	N	N	1		18,506	0	0	18,506	11/18/2017	O	11/17/2018	
4400001715	ELLCOTT DREDGES LLC ELLCOTT DREDGE ENTERPRISES LLC, EL 1425 WICOMICO ST BALTIMORE, MD 21230 US	HD6 PARTS	E	2	5	F	N	1		7,747	0	0	7,747	11/27/2017	O	4/30/2018	
4400001716	CARAHSOFT TECHNOLOGY CORP 1860 MICHAEL FARADY DR - STE 100 RESTON, VA 20190-5328 US	ACCELA SOFTWARE MAINTENANCE	S	B	7	N	N	1		65,303	0	0	65,303	11/8/2017	O	11/7/2018	
4400001734	HP INC 1501 PAGE MILL RD PALO ALTO, CA 94304-1126 US	HP ELITEBOOK LAPTOPS W/MAINTENANCE, CASES	E	B	7	F	N	1		62,604	320	320	62,284	12/1/2017	O	1/31/2018	
4400001739	HYPACK INC 56 BRADLEY ST MIDDLETOWN, CT 06457 US	DREDGEPAK MONITORING SOFTWARE	E	1	6	F	N	1		33,045	0	0	33,045	12/4/2017	O	12/3/2018	
4400001741	STRATEGIC RESPONSE INITIATIVES LLC 44 DALLIBA AVE STE 204 WATERVLIET, NY 12189-4017 US	FLAMMABLE CABINETS - PC67235	E	B	7	N	2	1	*	46,082	46,082	46,082	0	12/4/2017	O	12/31/2018	
4400001764	DLT SOLUTIONS LLC 2411 DULLES CORNER PARK - STE 800 HERNDON, VA 20171-6168 US	SOFTWARE LICENSES AND MAINTENANCE	E	B	6	N	N	3		13,335	0	0	13,335	12/8/2017	O	12/7/2018	
4400001769	RIG ALL INC 2322 BROAD ST FRANKFORT, NY 13340 US	CRANE RENTAL	E	C	5	N	N	1		7,420	0	0	7,420	12/7/2017	O	1/31/2018	

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4400001770	RIG ALL INC 2322 BROAD ST FRANKFORT, NY 13340 US	CRANE RENTAL	E	C	5	N	N	1		7,420	0	0	7,420	12/7/2017	O	4/30/2018	
4400001775	QUALITY TOOL & EQUIPMENT INC BEST BUY AUTO EQUIPMENT 42660 RIO NEDO TEMECULA, CA 92590-3710 US	TIRE BALANCER FOR ALBION	E	B	5	F	N	3		8,150	0	0	8,150	12/8/2017	O	7/31/2018	
4400001777	CS BUSINESS SYSTEMS INC 1236 MAIN ST BUFFALO, NY 14209-0069 US	FUJITSU SCANSNAP IX500 SCANNER	E	B	6	F	4	7		10,425	0	0	10,425	12/9/2017	C		12/27/2017
4400001778	ATLANTIC FLUID POWER INC ATLANTIC INDUSTRIAL TECH INC 90 PRECISION DR SHIRLEY, NY 11967-4702 US	VALVE CYLINDERS	E	C		N	N	5		10,029	0	0	10,029	12/11/2017	C		12/31/2017
4400001782	HANES SUPPLY INC RAILROAD AVE COLONIE, NY 12205 US	PORTABLE GANTRY	E	B	5	N	N	3		5,478	0	0	5,478	12/11/2017	O	1/31/2018	
4400001789	PUMP SERVICE AND SUPPLY OF TROY INC 1 REGATTA PLACE TROY, NY 12180-1229 US	DEWATERING PUMP OUT	E	C	5	N	1	3		9,000	0	0	9,000	12/12/2017	O	5/30/2018	
4400001791	MOBILE MINI INC 1353 INDIAN FIELDS RD FEURA BUSH, NY 12067-1707 US	MINI STORAGE	E	C	5	N	N	3		16,146	0	0	16,146	12/12/2017	O	1/31/2018	
4400001792	MOBILE MINI INC 1353 INDIAN FIELDS RD FEURA BUSH, NY 12067-1707 US	MOBIL MINI	E	C	5	N	N	3		16,146	0	0	16,146	12/12/2017	O	1/31/2018	
4400001795	HP INC 1501 PAGE MILL RD PALO ALTO, CA 94304-1126 US	HP PRO	E	B	7	N	N	2		47,949	0	0	47,949	12/14/2017	C		12/31/2017
4400001797	ALL SEASONS EQUIPMENT INC 60 FREEMANS BRIDGE RD SCOTIA, NY 12302 US	SNOW BLOWERS	E	C	5	N	N	3		6,950	0	0	6,950	12/15/2017	C		12/31/2017
4400001804	FREEPORT MARINE SUPPLY CO INC 47 W MERRICK RD PO BOX 111 FREEPORT, NY 11520-0111 US	FLOAT COATS	E	B	5	N	N	3		12,147	0	0	12,147	12/18/2017	C		12/31/2017
4400001809	MILLERS ISLAND PROPELLER INC 2200 SPARROWS POINT RD BALTIMORE, MD 21219-1743 US	PROPELLER FOR SYRACUSE CANAL	E	B	5	F	N	3		5,947	0	0	5,947	12/19/2017	O	12/18/2018	
4400001824	ADMAR SUPPLY CO INC STE 1 1950 BRIGHTON HENRIETTA TL RD ROCHESTER, NY 14623-2597 US	4 MONTH RENTAL AGREEMENT FOR BOOM LIFT AND AIR COMPRESSOR LOCKE 4	E	B	7	N	N	1		10,480	0	0	10,480	12/27/2017	O	4/29/2018	
4400001838	FRONTIER HEATING CHIMNEY & A/C SERV FRONTIER HEATING CHIMNEY & A/C SERV 115 E BANK ST ALBION, NY 14411 US	EMERGENCY FURNACE REPAIR	S	C	5			0		8,967	0	0	8,967	12/14/2017	C		12/31/2017
4400001840	ABELE TRACTOR & EQUIPMENT CO INC 72 EVERETT RD ALBANY, NY 12205 US	EXCAVATOR RENTAL	E	B	7			0		9,500	0	0	9,500	8/30/2017	C		9/26/2017

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4400001844	US DEPT OF AGRICULTURE ANIMAL & PLANT HEALTH INSPECTION PO BOX 979043 SAINT LOUIS, MO 63197-9000 US	USDA WILDLIFE	S	B	7			0		243,516	0	0	243,516	1/1/2017	O	12/31/2019	
4700000000	AECOM USA INC 605 3RD AVE NEW YORK, NY 10158-0180 US	CONSTRUCTION MANAGEMENT/INSPECTION SERVICES NYS CANAL CORP	P	B		N	N	5		782,525	0	0	782,525	1/2/2017	O	12/31/2021	
4700000001	ARCADIS OF NEW YORK INC 44 S BROADWAY - FL 15 WHITE PLAINS, NY 10601-4411 US	CANAL CORP CONSTRUCTION MGMT&INSPEC SVCS	S	C	8	N	N	18		3,509,475	10,917	10,917	3,498,558	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	S	C	8	N	N	18		782,525	0	0	782,525	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	C	8	N	N	18		3,000,000	47,078	47,078	2,952,922	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	C	8	N	4	18		3,904,582	0	0	3,904,582	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 FOR NYS CANAL CORPORATION	P	C	8	N	N	18		2,000,000	115,245	115,245	1,884,755	1/2/2017	O	12/31/2021	
4700000006	CHA CONSULTING INC III WINNERS CIRCLE ALBANY, NY 12205-0269 US	ENGINEERING SERVICES FOR NYS CANAL CORPORATION	P	C	8	N	N	18		2,000,000	0	0	2,000,000	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 FOR CANALS	P	C	8	N	N	18		2,000,000	0	0	2,000,000	1/2/2017	O	12/31/2021	
4700000008	GILMAN CORPORATION PO BOX 68 GILMAN, CT 06336-0068 US	CUSTOM BUOYS	E	2	8	F	1	1		73,370	42,740	42,740	30,630	3/20/2017	O	12/31/2018	
4700000009	O'BRIEN & GERE ENGINEERS INC 333 W WASHINGTON ST - STE 610 SYRACUSE, NY 13202-9203 US	ENGINEERING SERVICES FOR CANALS	P	C	8	N	N	18		2,000,000	0	0	2,000,000	1/2/2017	O	12/31/2021	
4700000010	PAUL C RIZZO ENGINEERING - NEW YORK PLLC 580 WHITE PLAINS RD - STE 4250 TARRYTOWN, NY 10591-5189 US	ENGINEERING SERVICES FOR NYS CANAL CORPORATION	P	C	8	N	N	18		2,000,000	923,101	923,101	1,076,899	1/2/2017	O	12/31/2021	
4700000011	FISHER ASSOCIATES PE LS LA DPC 135 CALKINS RD ROCHESTER, NY 14623-4255 US	WATER QUALITY SAMPLING AT UPLAND DISPOSAL SITES	S	C		N	N	8		35,842	0	0	35,842	4/25/2017	C		5/5/2017
4700000012	NRC NY ENVIRONMENTAL SERVICES INC 6392 DEERE RD - STE 1 SYRACUSE, NY 13206-1323 US	EMERGENCY SPILL AND RESPONSE SERVICES	P	B		N	N	3		3,000,000	0	0	3,000,000	12/12/2017	O	12/31/2020	

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4700000013	CLEAN HARBORS ENVIRONMENTAL SERVICES INC 761 MIDDLE ST BRISTOL, CT 06010-7442 US	EMERGENCY SPILL RESPONSE AND RECOVERY	P	B		N	N	3		3,000,000	0	0	3,000,000	12/12/2017	O	12/31/2020	
4700000014	KLEINSCHMIDT ASSOCIATES PA PC PO BOX 650 PITTSFIELD, ME 04967-0650 US	GENERAL ENVIRONMENTAL SERVICES	P	B		F	N	29		3,000,000	0	0	3,000,000	12/14/2017	O	12/31/2020	
4700000015	LABELLA ASSOCIATES PC 300 STATE ST ROCHESTER, NY 14614 US	GENERAL ENVIRONMENTAL	P	B		N	N	29		3,000,000	0	0	3,000,000	12/14/2017	O	12/31/2020	
4700000016	LOUIS BERGER & ASSOC PC 48 WALL ST - FL 16 NEW YORK, NY 10005-2927 US	GENERAL ENVIRONMENTAL	P	B		N	N	29		3,000,000	0	0	3,000,000	12/14/2017	O	12/31/2020	
4700000017	LIRO ENGINEERS INC 3 AERIAL WAY SYOSSET, NY 11791-5501 US	GENERAL ENVIRONMENTAL SERVICES	P	B		N	N	29		3,000,000	0	0	3,000,000	12/14/2017	O	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		3,000,000	0	0	3,000,000	12/14/2017	O	12/31/2020	
4700000019	LOUIS BERGER & ASSOC PC 48 WALL ST - FL 16 NEW YORK, NY 10005-2927 US	CULTURAL RESOURCES	P	B		N	N	10		100,000	0	0	100,000	12/15/2017	O	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		100,000	0	0	100,000	12/15/2017	O	12/14/2020	
4700000021	LANDMARK ARCHAEOLOGY INC 6242 HAWES RD ALTAMONT, NY 12009-4606 US	CULTURAL RESOURCES	P	B		N	3	10		100,000	0	0	100,000	12/17/2017	O	12/14/2020	
4700000025	RICHARD GRUBB AND ASSOCIATES INC 259 PROSPECT PLAINS RD - BLDG D CRANBURY, NJ 08512-3706 US	CULTURAL RESOURCES CONSULTATION	P	B		F	N	10		100,000	0	0	100,000	12/20/2017	O	12/14/2020	
4700000026	AECOM TECHNICAL SERVICES INC 257 W GENESEE ST - STE 400 BUFFALO, NY 14202-2657 US	CULTURAL RESOURCES	P	B		N	N	10		100,000	0	0	100,000	12/30/2017	O	12/14/2020	
4700000029	HARTGEN ARCHEOLOGICAL ASSOCIATES INC 1744 WASHINGTON AVE EXT RENSSELAER, NY 12144-9510 US	CULTURAL RESOURCES VALUE CONTRACT FOR NYS CANAL	P	B				0		100,000	0	0	100,000	10/2/2017	O	10/1/2022	
C010238	JOSEPH M BRESS PO BOX 5680 WASHINGTON, DC 20016-1280 US	ASSISTANCE WITH NEGOTIATION OF LABOR AGREEMENTS	P	B		N	N	1		183,854	0	0	183,854	5/23/2012	O	9/1/2018	
C010242	ROSE & KIERNAN INC 99 TROY RD EAST GREENBUSH, NY 12061-1027 US	HEALTH INSURANCE BROKER	P	B		N	N	1		390,000	0	0	390,000	1/1/2014	O	12/31/2018	

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C010243	ROSE & KIERNAN INC 99 TROY RD EAST GREENBUSH, NY 12061-1027 US	INSURANCE BROKER SERVICES	S	B		N	N	1		210,000	0	0	210,000	11/7/2013	O	11/6/2018	
C010259	PROFESSIONAL HEALTH SERVICES INC 83 S EAGLE RD HAVERTOWN, PA 19083 US	ON SITE OCCUPATIONAL MEDICAL SERVICES	S	B		N	N	1		164,276	22,195	22,195	142,081	12/1/2013	O	10/31/2018	
C010281	ENERGETIX CORPORATION 87 SAINT PAULS RD N HEMPSTEAD, NY 11550 US	EMPLOYEE DRUG & ALCOHOL TESTING	S	B	1	N	N	1		133,501	4,662	4,662	128,839	1/1/2015	O	12/31/2019	
C010290	DAVIS VISION INC PO BOX 848376 DALLAS, TX 75284-8376 US	EMPLOYEE VISION CARE SERVICES	S	B		N	N	1		1,453,551	11,827	11,827	1,441,724	3/1/2015	O	2/28/2020	
C010306	BUFFALO NIAGARA RIVERKEEPER 721 MAIN ST BUFFALO, NY 14203 US	SCAJAQUADA CREEK PADDLESPORT LAUNCH	C	B		N	N	1		150,000	42,109	42,109	107,891	5/1/2015	O	12/31/2018	
C010308	VILLAGE OF MONTOUR FALLS 408 WEST MAIN ST MONTOUR FALLS, NY 14865 US	CATHERINE TRAIL CONNECTOR PROJECT	C	B		N	N	1		30,000	0	0	30,000	12/12/2014	O	12/31/2018	
C010311	FAIRPORT INDUSTRIAL DEVELOPMENT AGE 31 SOUTH MAIN ST FAIRPORT, NY 14450 US	THOMAS CREEK WETLAND PHASE II	C	B		N	N	1		50,000	0	0	50,000	12/12/2014	O	12/31/2018	
C010318	N Y S OFFICE OF GENERAL SERVICES OGS - AGENCY 01050 EMPIRE STATE PLZ PO BOX 2166 ALBANY, NY 12220 US	MEDIA SERVICES	C	B		N	N	1		104,387	0	0	104,387	11/14/2014	O	11/13/2020	
C010324	WAGEWORKS INC 29 COUNTRY FAIR FL 2 TALLAHASSEE, FL 32303 US	EMPLOYEE FLEXIBLE SPENDING PROGRAM	C	B		N	N	1		33,498	826	826	32,672	8/1/2015	O	4/30/2021	
C010343	ERIE CANALWAY HERITAGE FUND INC PO BOX 219 WATERFORD, NY 12188 US	COMMUNITY AND MARKETING SERVICES	S	B	7	N	N	1		205,000	152,290	152,290	52,710	1/1/2016	O	12/31/2018	
C010351	TOWN OF HALFMOON 2A HALFMOON TOWN PLZ HALFMOON, NY 12065-6550 US	CRESCENT PARK BOAT LAUNCH PROJECT	C	B		N	N	1		100,000	0	0	100,000	12/10/2015	O	12/31/2018	
C010352	TOWN OF NISKAYUNA 1 NISKAYUNA CIRCLE NISKAYUNA, NY 12309 US	AQUEDUCT PARK ACCESS IMPROVEMENT PROJECT	C	B		N	N	1		150,000	0	0	150,000	12/10/2015	O	12/31/2018	
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	12/10/2015	O	12/31/2018	
C010354	VILLAGE OF GREEN ISLAND 20 CLINTON ST GREEN ISLAND, NY 12183 US	BLACK BRIDGE CONNECTOR TRAIL PROJECT	C	B		N	N	1		44,000	0	0	44,000	12/10/2015	O	12/31/2018	
C010356	VILLAGE OF BROCKPORT 49 STATE ST BROCKPORT, NY 14420 US	BROCKPORT CANAL IMPROVEMENT PROJECT	C	B		N	N	1		75,000	0	0	75,000	12/10/2015	O	12/31/2018	
C010357	MONTGOMERY COUNTY 9 PARK ST FONDA, NY 12068 US	BIKE TRAIL RESTORATION PROJECT	C	B		N	N	1		100,000	0	0	100,000	12/10/2015	O	12/31/2018	

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C010358	VILLAGE OF FONDA PO BOX 447 8 E MAIN ST FONDA, NY 12068-9999 US	VILLAGE OF FONDA CANALSIDE PARK IMPROVEMENTS PROJECT	C	B		N	N	1	30,000	0	0	30,000	12/10/2015	O	12/31/2018	
C010359	VILLAGE OF FULTONVILLE 10 ERIE ST PO BOX 337 FULTONVILLE, NY 12072-7507 US	VILLAGE OF FULTONVILLE DOCK PHASE 2	C	B		N	N	1	50,000	0	0	50,000	1/31/2016	O	12/31/2018	
C1163300	CIVES CORPORATION VIKING CIVES 14331 MILL ST HARRISVILLE, NY 13648 US	SNOW PLOW FRAME	E	B		N	N	1	69,670	69,670	69,670	0	4/12/2016	C		12/31/2017
C1163470	ROBERT GREEN AUTO & TRUCK INC ROBERT GREEN TRUCK DIVISION INC PO BOX 8002 ROCK HILL, NY 12775 US	TRUCK	E	B	8	N	N	1	46,191	0	0	46,191	4/14/2016	C		12/31/2017
C1169498	NETWORKFLEET INC 9868 SCRANTON RD SAN DIEGO, CA 92121 US	MONTHLY MONITORING FEE FOR NETWORK FLEET GPS	S	B		N	N	1	98,209	44,191	44,191	54,018	7/19/2016	C		12/31/2017
C1174082	MILLER MARQUART LUMBER CO LLC THOMAS MARQUART 455 MAIN ST GAINESVILLE, NY 14066 US	LUMBER	E	B		N	N	1	6,624	6,624	6,624	0	9/27/2016	C		8/4/2017
C1175393	HANES SUPPLY INC 55 JAMES E CASEY DR BUFFALO, NY 14206-2361 US	COUNTERWEIGHT CABLES	E	B		N	N	1	93,595	0	0	93,595	10/18/2016	O	12/31/2018	
C1175940	THE PROPELLER WORKS INC 53 LEICESTER ST CANANDAIGUA, NY 14424 US	PROPELLER FOR TUG	E	B		N	N	1	7,033	6,794	6,794	239	10/27/2016	C		8/4/2017
C1175941	THE PROPELLER WORKS INC 53 LEICESTER ST CANANDAIGUA, NY 14424 US	PROPELLER FOR TUG	E	B		N	N	1	7,033	6,794	6,794	239	10/27/2016	C		8/4/2017
C1176171	SYSTEMS MANAGEMENT PLANNING INC 1020 JOHN ST WEST HENRIETTA, NY 14586-9757 US	MIGRATION CONSULTING	P	B		N	N	1	13,542	3,386	3,386	10,156	10/31/2016	C		12/31/2017
C1176510	CLARK RIGGING & RENTAL CORP PO BOX 15124 LOCKPORT, NY 14094 US	ROUGH TERRAIN CRANE RENTAL	E	B		N	N	1	25,801	25,800	25,800	1	11/4/2016	C		12/31/2017
C1176585	MILLER MARQUART LUMBER CO LLC THOMAS MARQUART 455 MAIN ST GAINESVILLE, NY 14066 US	LUMBER	E	B		N	N	1	5,465	5,465	5,465	0	11/7/2016	C		8/4/2017
C1176664	PITTSBURGH FOUNDRY & MACHINE CO 20 36TH ST PITTSBURGH, PA 15201 US	GATE PARTS	E	B		N	N	1	39,660	39,660	39,660	0	11/8/2016	C		8/4/2017
D213915	BARTON & LOGUIDICE DPC 443 ELECTRONICS PKWY LIVERPOOL, NY 13088-6056 US	HUDSON RIVER SAMPLING	S	B		N	N	1	3,882,445	2,249	2,249	3,880,196	11/5/2009	C		12/31/2017

POWER AUTHORITY OF THE STATE OF NEW YORK
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CONTRACT NUMBER	PROVIDER NAME	CONTRACT DESCRIPTION	T Y P E	M O A	R O A	O P A	M W B E	B I D S	F R T	TOTAL CONTRACT AMOUNT	TOTAL EXPENDED TO DATE	AMOUNT EXPENDED 2017	CONTRACT BALANCE	DATE OF CONTRACT	O C	PROJ COMPLETE DATE	DATE CONTRACT COMPLETE
D214047	W S A GROUP PE-PC WILBUR SMITH ASSOCIATES 11 BRITISH AMERICAN BLVD SUITE 200 LATHAM, NY 12110 US	TROPICAL STORM LEE LOCK 8 SCOTIA/SCHENECTADY DAMAGES CAPITAL	C	B		N	N	1		6,648,048	0	0	6,648,048	1/18/2011	C		3/30/2017
D214129	U R S CORPORATION - NEW YORK PO BOX 116183 ATLANTA, GA 30368-6183 US	TROPICAL STORM IRENE LOCK 8 INCLUDING ALL INTERNAL LABOR, DESIGN CONTRACT AND INSPECTION CONTRACT COSTS	C	B		N	N	1		2,801,459	0	0	2,801,459	12/13/2012	C		4/15/2017
D214143	GREENMAN-PEDERSEN INC 80 WOLF RD STE 300 ALBANY, NY 12205 US	WHITEHALL NEW LOCK C12 UTILITY STRUCTURE	C	B		N	N	1		7,269,740	11,065	11,065	7,258,675	10/8/2012	C		3/17/2017
D214144	LABELLA ASSOCIATES PC 300 STATE ST ROCHESTER, NY 14614 US	FAIRPORT SPILLWAY WALL REHAB MONROE COUNTY	C	B		N	N	1		3,762,784	0	0	3,762,784	10/24/2012	C		9/17/2017
D214150	AMSEC ENGINEERING OF NEW YORK PC DBA AENY 112 W 34TH ST FL 18 NEW YORK, NY 10120-0001 US	MARINE ENGINEERING AND NAVAL ARCHITECTURE SERVICES FOR THE NEW YORK STATE CANAL SYSTEM STATEWIDE	A	B		N	N	1		1,500,000	53,276	53,276	1,446,724	5/30/2012	C		6/30/2017
D214152	SHUMAKER CONSULTING ENGINEERING & L 143 COURT ST BINGHAMTON, NY 13901 US	RELOCATE UTICA HARBOR CANAL FACILITIES ONEIDA COUNTY	C	B		N	3	1		563,711	0	0	563,711	12/18/2012	C		4/14/2017
D214153	RAVI ENGINEERING & LAND SURVEYING PC 2110 S CLINTON AVE STE 1 ROCHESTER, NY 14618 US	NEWARK MILITARY RUN STREAM CULVERT RPL WAYNE COUNTY	C	B		N	4	1		24,700	0	0	24,700	4/8/2013	C		4/7/2017
D214160	SJB SERVICES INC 5167 S PARK AVE HAMBURG, NY 14075 US	LOCKPORT LOCK E34 SHOTCRETE WALL REHAB	C	B		N	N	1		148,473	0	0	148,473	2/5/2013	C		8/30/2017
D214166	TIOGA CONSTRUCTION CO INC 333 GROS BLVD HERKIMER, NY 13350-1497 US	UPLAND DISPOSAL SITE CONSTRUCTION AT LOCK E-12	C	B		N	N	1		165,858	0	0	165,858	4/26/2013	C		8/4/2017
D214181	BERGMANN ASSOCIATES INC BERGMA 200 FIRST FEDERAL PLZ 28 E MAIN ST ROCHESTER, NY 14614 US	STATEWIDE CANAL STRUCTURES DAM SAFETY INSPECTION	S	B		N	N	1		3,503,628	1,470,429	1,470,429	2,033,199	4/15/2013	O	4/12/2018	
D214206	URBAN ENGINEERS OF NEW YORK PC 403 MAIN ST SUITE 530 BUFFALO, NY 14203 US	FAIRPORT SPILLWAY WALL REHAB MONROE COUNTY	C	B		N	N	1		760,060	0	0	760,060	4/5/2013	C		5/31/2017
D214233	K C I ENGINEERING OF NEW YORK PC PO BOX 791479 BALTIMORE, MD 21279-1479 US	Steel repairs & Painting of Towers	C	B		N	N	1		934,000	378,811	378,811	555,189	1/1/2014	O	1/23/2019	
D214251	D A COLLINS CONSTRUCTION CO INC 269 BALLARD RD WILTON, NY 12831-1357 US	MOVABLE DAM 7 AT LOCK E11 REHABILITATION	C	B		N	N	1		56,503,563	4,325,771	4,325,771	52,177,792	12/17/2013	C		12/1/2017
D214282	RAVI ENGINEERING & LAND SURVEYING PC 2110 S CLINTON AVE STE 1 ROCHESTER, NY 14618 US	TERM AGREEMENT FOR CONSTRUCTION INSPECTION SERVICES IN WESTERN NY	S	B		N	4	1		1,500,000	0	0	1,500,000	12/3/2013	O	3/31/2018	

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D214285	W S A GROUP PE-PC WILBUR SMITH ASSOCIATES 11 BRITISH AMERICAN BLVD SUITE 200 LATHAM, NY 12110 US	FORT HERKIMER CHURCH TO ERIE CANAL LOCK 18: CONSTRUCT CANALWAY TRAIL, HERKIMER COUNTY	C	B		N	N	1		2,000,000	114,580	114,580	1,885,420	1/2/2014	O	3/31/2018	
D214295	GREENMAN-PEDERSEN INC 80 WOLF RD STE 300 ALBANY, NY 12205 US	CLEAR AND GRUB FORT EDWARD TO FORT ANN TRAIL	C	B		N	N	1		325,000	46,443	46,443	278,557	5/21/2014	O	10/27/2018	
D214297	GANNETT FLEMING ENGINEERS & ARCHITE PO BOX 829160 PHILADELPHIA, PA 19182-9160 US	CURRENT Roof replacement canal section 5 office and shop Lysander	C	B		N	N	1		1,937,933	0	0	1,937,933	4/29/2014	O	6/6/2018	
D214309	C H A CONSULTING INC PO BOX 5269 ALBANY, NY 12205-0269 US	CANALWAY TRAIL PART 2 ERIE AND NIAGARA COUNTIES 8 MILES	C	B		N	N	1		1,057,000	271,190	271,190	785,810	12/1/2014	O	12/31/2019	
D214315	ATLANTIC TESTING LABORATORIES LTD 22 CORPORATE DR CLIFTON PARK, NY 12065 US	CANALWAY TRAIL AMHERST / LOCKPORT	C	B		N	N	1		888,405	9,139	9,139	879,266	5/21/2014	C		11/3/2017
D214316	URBAN ENGINEERS OF NEW YORK PC 403 MAIN ST SUITE 530 BUFFALO, NY 14203 US	CANALWAY TRAIL AMHERST / LOCKPORT	C	B		N	N	1		2,556,304	0	0	2,556,304	5/20/2014	C		12/31/2017
D214354	U S DEPARTMENT OF THE INTERIOR PO BOX 71362 PHILADELPHIA, PA 19176-1362 US	CANAL FLOOD WARNING SYSTEM	S	B		N	N	1		3,239,678	553,165	553,165	2,686,513	3/1/2014	O	9/30/2018	
D214370	TIOGA CONSTRUCTION CO INC 333 GROS BLVD HERKIMER, NY 13350-1497 US	ON-DEMAND INFRASTRUCTURE REPAIRS TO CANAL FACILITIES AND MARINE VESSEL RECOVERY CONTRACT	C	B		N	N	1		1,651,034	1,107,825	1,107,825	543,209	12/26/2014	O	4/15/2018	
D214389	C M E ASSOCIATES INC PO BOX 696 CENTRAL SQUARE, NY 13036 US	PUMP OUT LOCK O-3 FOR REHABILITATION OF THE MITTER GATES VALVES QUIONS AND ALL RELATED MACHINERY AND CONCRETE WORK AT STRIN 500L	C	B		N	3	1		197,605	5,259	5,259	192,346	3/18/2015	C		5/26/2017
D214393	C M E ASSOCIATES INC 402 VULCAN ST BUFFALO, NY 14207-1363 US	MOVABLE DAM 7 AT LOCK E11 REHABILITATION	C	B		N	3	1		200,000	16,980	16,980	183,020	5/31/2015	C		5/30/2017
D214395	POPLI ARCHITECTURE + ENGINEERING & LS DPC 555 PENBROOKE DR PENFIELD, NY 14526-2035 US	MAY'S POINT MOVABLE DAM 18 APRON REHABILITATION SENECA COUNTY	C	B		N	4	1		2,706,010	187,905	187,905	2,518,105	4/14/2015	O	6/30/2018	
D214401	COLD SPRING CONSTRUCTION CO 3 JACKSON ST - PO BOX 358 AKRON, NY 14001-1349 US	MONROE COUNTY LOCK 32 BYPASS CULVERT REPAIR	C	B	1	N	N	1		1,574,485	1,437,983	1,437,983	136,502	8/31/2016	C		6/9/2017
D214405	SHUMAKER CONSULTING ENGINEERING & L 143 COURT ST BINGHAMTON, NY 13901 US	NYSCC'S MS4 STORMWATER PROG YEAR 14, 2016-- CS8.1	C	B		N	3	1		1,000,000	10,965	10,965	989,035	7/6/2015	O	10/21/2019	

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D214406	AECOM USA INC AECOM TECHNOLOGY CORPORATION 1178 PAYSHERE CIRCLE CHICAGO, IL 60674 US	Amsterdam Pedestrian Bridge Mohawk Erie Canal	C	B		N	N	1		1,361,211	2,050	2,050	1,359,161	7/6/2015	O	12/6/2018	
D214410	D A COLLINS CONSTRUCTION CO INC 269 BALLARD RD WILTON, NY 12831-1357 US	MAY'S POINT MOVABLE DAM 18 APRON REHABILITATION SENECA COUNTY	C	B		N	N	1		4,646,231	3,855,381	3,855,381	790,850	10/28/2015	C		6/2/2017
D214420	RAVI ENGINEERING & LAND SURVEYING PC 2110 S CLINTON AVE STE 1 ROCHESTER, NY 14618 US	TERM AGREEMENT FOR CONSTRUCTION INSPECTION SERVICES IN THE BUFFALO DIVISION	S	B		N	4	1		1,500,000	219,026	219,026	1,280,974	7/16/2015	O	8/31/2018	
D214440	GREENMAN-PEDERSEN INC 80 WOLF RD STE 300 ALBANY, NY 12205 US	TERM AGREEMENT FOR SYSTEM- WIDE BELOW WATER INSPECTION SVCS. FOR NYS CANAL STRUCTURES	S	B		N	N	1		1,800,000	87,171	87,171	1,712,829	11/6/2015	O	9/8/2019	
D214441	COLLINS ENGINEERS INC 277 ALEXANDER ST - STE 307 ROCHESTER, NY 14607-1941 US	TERM AGREEMENT FOR SYSTEM- WIDE ABOVE WATER INSPECTION SVCS. FOR NYS CANAL STRUCTURES	S	B		N	N	1		1,930,000	652,245	652,245	1,277,755	11/6/2015	O	7/24/2019	
D214464	ERDMAN ANTHONY AND ASSOCIATES INC 145 CULVER RD STE 200 ROCHESTER, NY 14620-1679 US	REPLACEMENT OF THE LYONS DRY DOCK MITER GATES	C	B		N	N	1		1,494,777	26,895	26,895	1,467,882	3/10/2016	O	3/29/2019	
D214480	C P WARD INC 100 RIVER RD PO BOX 900 SCOTTSVILLE, NY 14546 US	FABRICATION OF NEW GATES LYONS SECTION DRY DOCK WAYNE COUNTY	C	B		N	N	1		824,468	811,370	811,370	13,098	7/14/2016	C		4/30/2017
D214542	KEELER CONST CO INC 13519 W LEE RD ALBION, NY 14411 US	REPLACE CANAL CULVERT 70	C	B		N	N	1		584,063	502,748	502,748	81,315	12/29/2016	C		7/4/2017
S-16077	NATIONAL INDUSTRIES FOR THE BLIND NYS PREFERRED SOURCES PROGRAM (NYSP 136 STATE ST 2ND FL ALBANY, NY 12207 US	CLOTHING ACCESSORIES (SEE CLASS 800 FOR SHOES AND	E	2	4	N	N	1		10,000	2,180	2,180	7,820	7/1/2016	C		3/8/2017

CANALS TOTALS

218,732,397 28,646,236 28,646,236 190,086,161

FACILITY: CANALS

POWER AUTHORITY OF THE STATE OF NEW YORK
2017 ANNUAL REPORT OF PROCUREMENT CONTRACTS
REQUIRED BY N.Y. PUBLIC AUTHORITIES LAW, SECTION 2879

TOTAL NUMBER OF CONTRACTS	394
TOTAL CONTRACT VALUE	\$218,732,397
TOTAL EXPENDED TO DATE	\$28,646,236
TOTAL EXPENDED IN REPORT YEAR	\$28,646,236

STATUS SUMMARY

TOTAL NUMBER OPEN CONTRACTS	185
TOTAL NUMBER CLOSED CONTRACTS	209

METHOD OF AWARD SUMMARY

TOTAL NUMBER COMP BID	309
TOTAL NUMBER SOLE SOURCE	28
TOTAL NUMBER SINGLE SOURCE	20
TOTAL NUMBER COMP SEARCH	36
TOTAL NUMBER MWBE/SBE	1

COMMITMENT TYPE SUMMARY

TOTAL NUMBER ARCHITECTURAL & ENGINEERING SERVICES	2
TOTAL NUMBER CONSTRUCTION	49
TOTAL NUMBER EQUIP/GOODS/COMMODITY	246
TOTAL NUMBER LEGAL SERVICES	0
TOTAL NUMBER PERSONAL SERVICES	34
TOTAL NUMBER OTHER NON PERSONAL SERVICES	63

January 25, 2018
MEMORANDUM OF AGREEMENT
BETWEEN
CANAL CORPORATION
And
UNIT III, CIVIL SERVICE EMPLOYEES ASSOCIATION
LOCAL 1000, AFSCME, AFL-CIO

The negotiating committees of the Canal Corporation and Local 1000 of the Civil Service Employees Association, AFSCME, AFL-CIO, after extensive negotiations have reached agreement, subject to the ratification of the memberships of the Union and the approval of the Canal Corporation's Trustees, on all of the following changed terms which will be incorporated in the successor collective bargaining agreement whose term shall run from July 1, 2012 through June 30, 2022.

TERMS

1) Term of Agreement - July 1, 2012 to June 30, 2022

Article 17.1.1

2) Wage Increases and Lump Sum Payment

Wage rates shall be increased as follows effective on the below-listed dates:

7/1/15	2.00%
7/1/16	2.00%
7/1/17	2.00%

Upon Ratification \$1,000 lump sum (not added to base) on payroll 1/1/17 and Board Approval

7/1/18	2.00%
7/1/19	2.00%
7/1/20	2.00%
7/1/21	2.00%

Since the transition in January, the Canal Corporation has hired five employees into CSEA items as transfers from state CSEA positions. At such time as a contract is ratified with Canal CSEA, these five individuals will need to be recalculated.

- 3) **Retroactivity** – Replace May 7, 2009 with “the date of Board ratification of this agreement.”
Article 9.1.10

- 4) **Health insurance** – Annual and Seasonal employee contribution amounts shall be changed as follows:

Hired before 11/14/2005

<u>Year</u>	<u>Individual / Family</u>
Upon Board ratification	7% / 9%
1/1/19	8% / 12%
1/1/20	9% / 15%
1/1/21	10% / 20%
1/1/22	10% / 25%

Currently Contributing

<u>Year</u>	<u>Individual / Family</u>
Upon Board ratification	10% / 20%
1/1/19	10% / 25%
1/1/20	10% / 25%
1/1/21	10% / 25%
1/1/22	10% / 25%

New Hires Upon Board Ratification 16% / 31% and 12% / 27% for Grade 9 and under

Bi-weekly payroll deductions will be implemented as soon as practical after ratification
Article 12.1.1

- 5) **Domestic Partners** – New language to add eligibility for medical coverage consistent with Civil Service qualifying criteria.
Article 12.1.1
- 6) **Medical Coverage Opt Out** – Provision for eligibility for opting out of the Corporation's/State Health Care plan with a payment of \$1500 individual and \$3000 family coverage.
Article 12.1.3
- 7) **Employee Benefit Fund** – Funding will continue at the rate of \$1,085 through the term of this contract.
Article 12.2.1
- 8) **Retirees**
- After Board ratification and June 30, 2018, retirees medical contribution in retirement shall be 6% / 25%
 - Effective 1/1/22, active employees medical contribution in retirement shall be at 10%/25%
 - Those hired into Canals after Board ratification who retire pay 16% / 31% in retirement and 12% / 27% for those in Grade 9 and under.
- Article 13.3.1*
- 9) **Floating Holidays** – Omit Veteran's Day from the Floater list and allocate two floaters in January and two in July each year.
Article 10.1.3

10) **Appointment of Permanent/Annual Seasonal Employees** - Eliminate Article 8.1.4 as obsolete
Article 8.1.4

11) **Job Abandonment** - New provision regarding unauthorized absences.
Article 5.5

12) **Productivity Enhancement Program** – New provision which provides for an exchange of employee vacation, personal leave and/or comp time credits to be applied towards health insurance premiums.

	Grades 1-17	Grades 18-24
Eligibility	MUST be enrolled in NYSHIP	
Accrual Balance	After election, minimum combined balance of vacation accrual and personal time must be at least 8 days	
Allocation of Time	3 days = \$600 6 days = \$1,200	2 days = \$600 4 days = \$1,200
Administration	Deducted from bi-weekly pay check	
Election Period	November	

Article 10.11

13) **Licenses** – Expanded language to include license or credentials which must be maintained and actions the Corporation may take for suspension of credentials.
Article 5.4.1

14) **Seasonal Pay Rate** - Seasonal wage rate will match the hiring rate of equivalent permanent positions provided the candidate meets the qualifications of the permanent title. Pay rates for other titles shall be determined by Canals based on minimum wage rates of comparable job titles at the state.

Seasonal employees who meet the qualifications for the Laborers and CSO job titles will be paid at the hourly hiring rate of those positions in Section 9.1.6.

Article 9.1.9

15) **Thruway Pass** – Eliminate passes for active employees and future retirees and provide a \$1,000 lump sum payment to employees on the payroll at the time of ratification.

Roving and Relief Operations may continue to submit for travel reimbursement.

Article 15.3

16) **Drug Testing** - Adopt new Federal regulation.

Appendix 1, Section 5.4

Appendix 4, Section 5.4

17) Safety Work Boots

- Increase reimbursement to 2 pairs up to \$100.00 each or one pair up to \$150.00.
- Each year Seasonals who return after completing their initial season, are eligible for up to \$100 reimbursement

Article 15.4.3

18) Service Awards – Add .25 at 20 years and clarify the language regarding service award payments

Article 9.1.7, 9.1.8

19) Shift Differential – Employees, including Seasonal, will receive a night differential of .50 per hour for each full hour of work between 3:00 PM and 11:00 PM and .70 per hour for each full hour of work between 11:00 PM and 7:00 AM.

Article 9.4.1

20) Housekeeping items:

- a. Add "calendar" to second paragraph

Article 5.1.3

- b. Clarify 10.3.6 to apply to Seasonal personal, sick and vacation eligibility

Article 10

- c. Change Utica Harbor Terminal to Lock 20

Article 15.2.2

- d. Replace Director Marine Operations with Director of Maintenance and Operations

Article 1.5.3

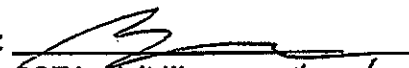
- e. Eliminate Tug Urger

Article 5

By:


Canal Corporation

By:


CSEA, Unit III
1/25/18



**NY Power
Authority**

**Canal
Corporation**

Exhibit 5a i – A
March 20, 2018

CEO Report

Gil Quiniones

President & Chief Executive Officer

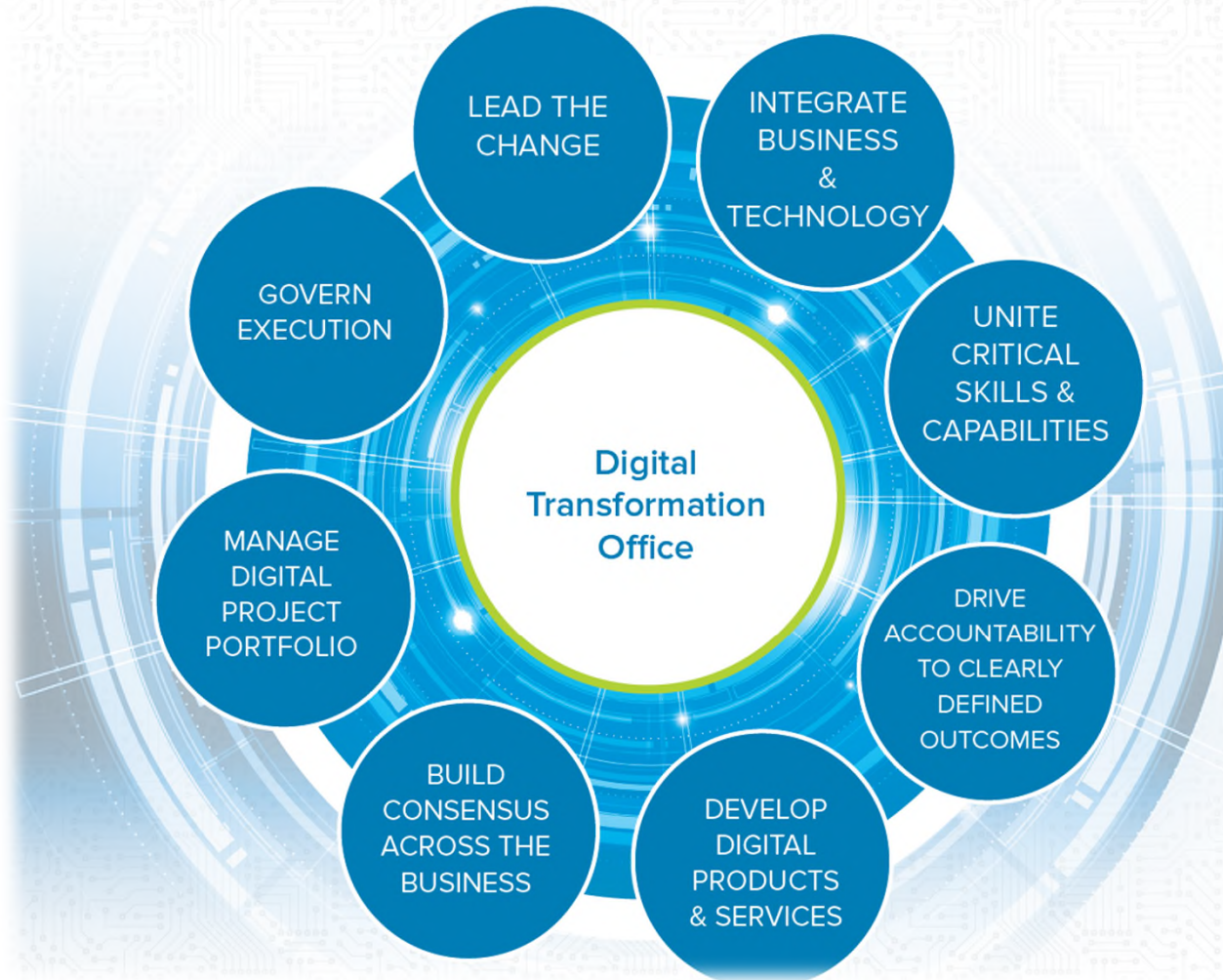
March 20, 2018

NYPA has created 8 digital workflows to support our end-to-end digital transformation



DTO: Driving the Digital Strategy

The Digital Transformation Office will drive NYPA's transition to a digital utility



Asset Management and Smart G&T










NYEM and the Customer






NYPA Overall Performance

February 2018

Goal	Measure	Year-To-Date 2018		
		Status	Target	Actual
Maintain Infrastructure	Generation Market Readiness (%)		99.40	99.79
	Transmission System Reliability (%)		94.25	95.84
Financial Management	Debt Coverage (Ratio)		2.50*	
	O&M Budget Performance (\$ Millions)		76.2	71.0
Energy Services	MMBTU's Saved		44.5	50.2
	Energy Efficiency Investment in State Facilities (\$ Millions)		11.0	16.8
Workforce Management	Retention (# of Touchpoints)		225*	
Safety Leadership	DART Rate (Index)		0.78	1.39
Environmental Responsibility	Environmental Incidents (Units)		5	3

*Quarterly measure

Corporate Performance

Status	
	Meeting or Exceeding Target
	Below Target
	Significantly Below Target



**NY Power
Authority**

**Canal
Corporation**



**NY Power
Authority**

**Canal
Corporation**

Exhibit 5b i – A
March 20, 2018

NYPA | NYCC Risk Management

Soubhagya Parija

Chief Risk Officer, Senior Vice President

Risk Management Success Stories

Commodity Operations

Integrated View of Portfolio

- Energy Commodity Risk Management System Implementation
 - Portfolio level risk management

Portfolio Optimization

- Insights to asset competitiveness through asset cost analysis and benchmarking

Generation and Transmission

ISO 55000 Certification Support

- Enhanced understanding of assets
 - Operations Risk workshop conducted at site

Enterprise Portfolio Management

- Developed project risk scoring methodology

Customer Success

New York City Government Customers

- Developed risk informed negotiation strategy

ReCharge NY Customers

- Assisted in developing templates to communicate and manage risks

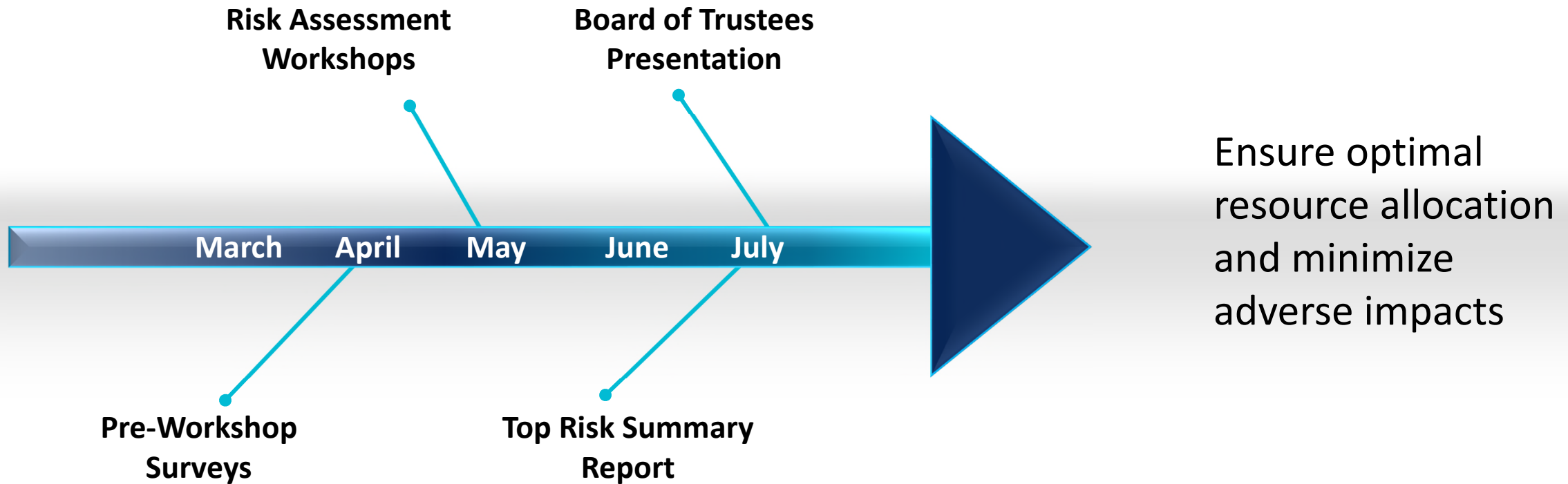
- Risk is engaged across all areas of NYPA
- Continued advancement of portfolio analytics and optimization
- Focused on value added activities for customers



NY Power
Authority

Canal
Corporation

2018 NYPA Risk Assessment Plan



- Includes broad participation and diverse perspectives
- Ensure alignment with strategic objectives

Business Resiliency Stress Testing

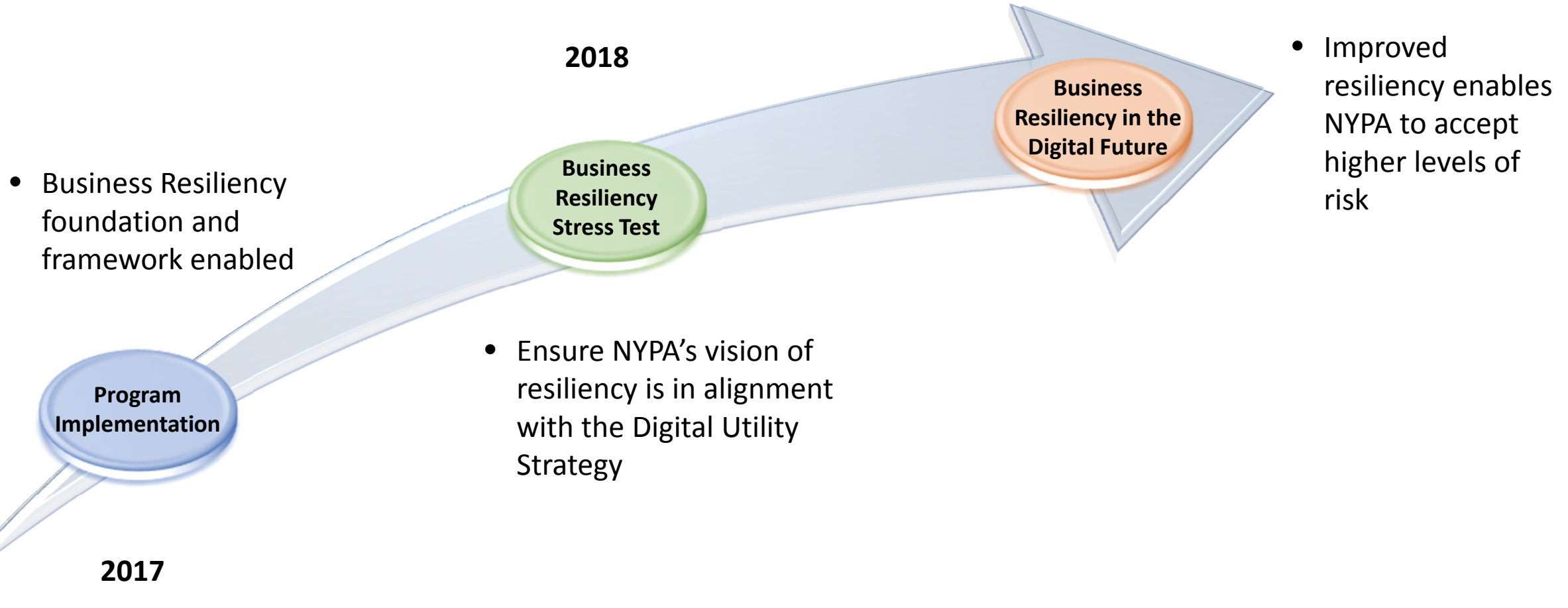




Exhibit 5c i – A
March 20, 2018

Chief Financial Officer Report

March 20, 2018

Year to date February 28, 2018 – Variance from Budget

(\$) in Millions

Budgeted YTD Net Income	\$ 10.5
Margins - Transmission	5.4
Margins – Energy	(4.8)
Operating Expenses	12.2
Non-Operating (primarily mark to market)	(6.3)
Actual YTD Net Income	\$ 17.0



**NY Power
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Exhibit 5c ii – A
March 20, 2018

Board of Trustees Meeting

Utility Operations Report

Joseph F. Kessler, P.E.
EVP & Chief Operating Officer

May 9, 2018

Path to Digitization...

First end-to-end digital utility – allowing greater insight into energy supply and demand; lowers costs through better energy management; and new technology to improve energy productivity.

Asset Management

- 🔌 SAMP
- 🔌 Data Analytics
- 🔌 iSOC

Intelligent Grid

- 🔌 Communications Backbone
- 🔌 Sensor Deployment
- 🔌 Energy Control Center Redundancy
- 🔌 MA 1 & 2 Rebuild
- 🔌 Marcy CSC

Plant & Field Work

- 🔌 Control Room Upgrade (STL)
- 🔌 Control Room Upgrade (BG)
- 🔌 Niagara Controls
- 🔌 STL Headgate Automation
- 🔌 Digital Worker
- 🔌 Drone Program



Path to Digitization – NYPA's Drone Program

- Drone Program successfully launched at NYPA
- Additional three UAV's are being procured
- Operator training scheduled for April
- NYPA policy preparation in progress



Aeryon
Labs Inc.



**NY Power
Authority**

**Canal
Corporation**

Emergency Management

- Ongoing Puerto Rico recovery efforts
- Winter storm response and Nor'easter power outages
 - NYPA's infrastructure not impacted
 - NYPA provided assistance under the NY Utilities Mutual Assistance agreement
 - NYPA coordinated municipal crews from NC, SC, OH & MI through the Mutual Agreement with American Public Power Association
 - NYPA coordinated municipal crews from Ontario, Canada to assist NY Utilities.





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Corporation**

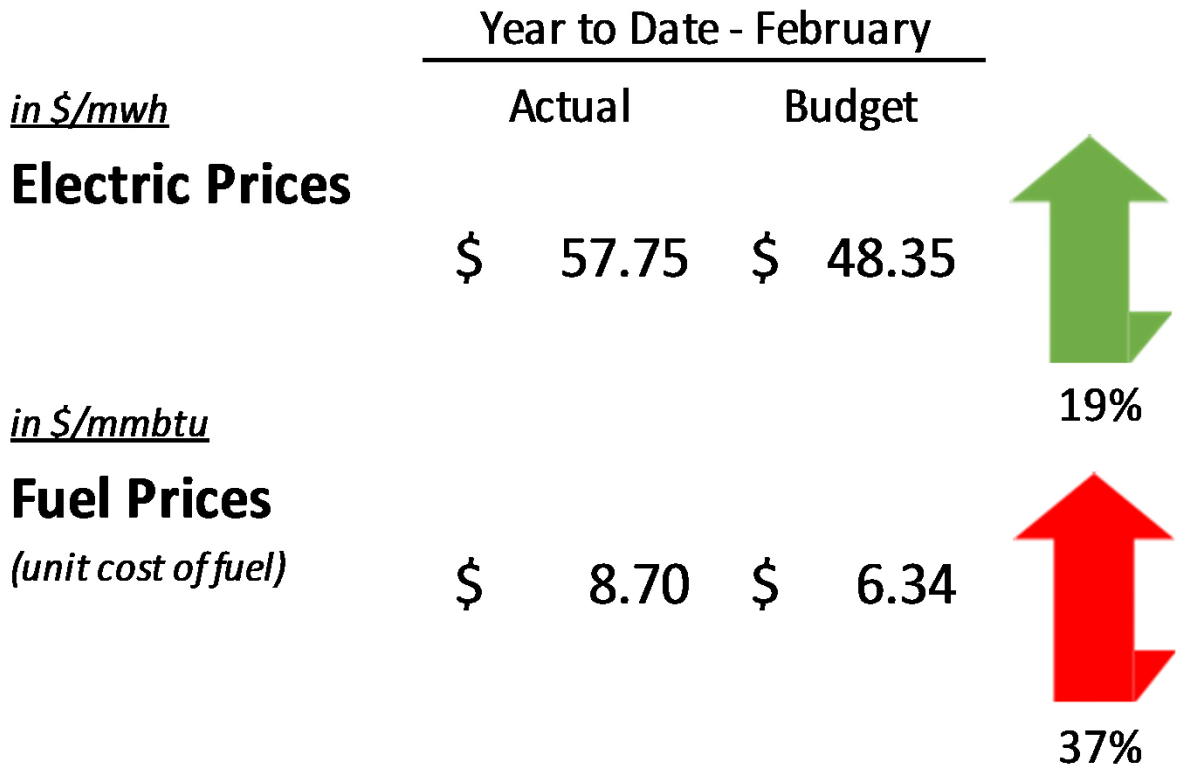
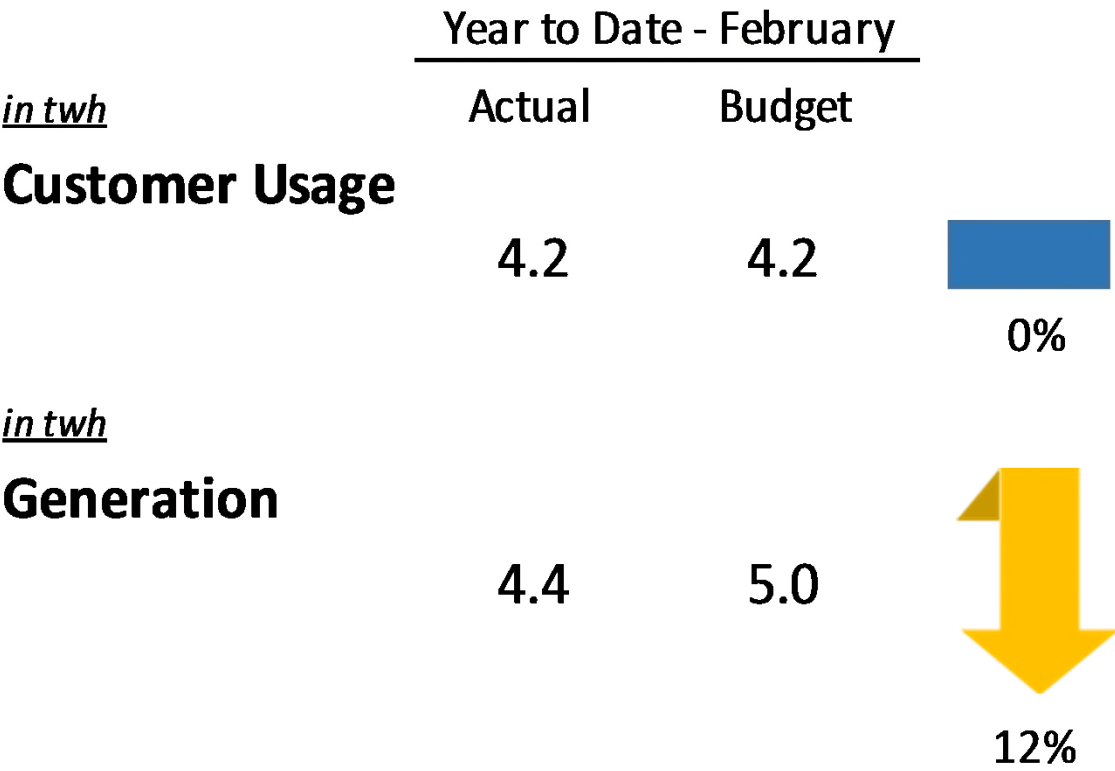
Exhibit 5c iv – A
March 20, 2018

Commercial Operations Report

Paul Belnick, SVP Commercial Operations

March 20, 2018

Commercial Ops: Wholesale



Commercial Ops: Economic Development



Project & Business Development

- An application for approval to build the Moses-Adirondack Rebuild Project (“Smart Path”) will be filed with the PSC at the end of March.



Economic Development

Recharge NY: 767 MW out of 910 MW allocated

All programs: 399,530 jobs, \$34.6 Billion capital committed

*data as of February 28, 2018

Commercial Ops: Customer

Year to Date - February

in \$ millions

Customer Investments

Actual

29.6

Budget

21.3

39%

in \$ millions

Net NYPA Revenues

2.2

1.8

22%

in \$ millions

Operating Expenses*

4.3

4.5

4%

*Does not include outstanding project claims



Installation of LED lighting with controls and Energy Management Systems at MTA NYC Transit Grand Ave Bus Depot & Central Maintenance Facility

Commercial Ops: Customer

Governor Cuomo's Smart Street
Lighting NY Program
Launch [Video](#)



Energy Efficiency Programs – Award Energy Efficient Street Lighting Contracts

Discussion

- ☐ Request for Proposal advertised in November 2017
- ☐ 13 proposals received
- ☐ 2 firms identified as best value

Summary

- ☐ Two-year contract term with optional one year extension
- ☐ Aggregate amount of \$10 million
- ☐ Funding recovery from program participants, except certain grants



**City of White Plains
LED Street Lighting**