

# COUNTY OF ALBANY

## BID FORM

### BID IDENTIFICATION:

Title: **HVAC Preventative Maintenance and Emergency Service**

Bid Number: **2024-066**

### THIS BID IS SUBMITTED TO:

Pamela O Neill, Purchasing Agent  
Albany County Department of General Services  
Purchasing Division  
112 State Street, Room 1000  
Albany, NY 12207

1. The undersigned BIDDER proposes and agrees, if this Bid is accepted, to enter into a Contract with the owner in the form included in the Contract Documents to complete all Work as specified or indicated in the Contract Documents for the Contract Price and within the Contract Time indicated in this Bid and in accordance with the Contract Documents.
2. BIDDER accepts all of the terms and conditions of the Instructions to Bidders, including without limitation those dealing with the Disposition of Bid Security. This Bid may remain open for ninety (90) days after the day of Bid opening. BIDDER will sign the Contract and submit the Contract Security and other documents required by the Contract Documents within fifteen days after the date of OWNER'S Notice of Award.
3. In submitting this Bid, BIDDER represents, as more fully set forth in this Contract, that:

- (a) BIDDER has examined copies of all the Contract Documents and of the following addenda: (If none, so state)

Date	Number
N/A	N/A

(receipt of all of which is hereby acknowledged) and also copies of the Notice to Bidders and the Instructions to Bidders;

- (b) BIDDER has examined the site and locality where the Work is to be performed, the legal requirements (federal, state and local laws, ordinances, rules and regulations) and the conditions affecting cost, progress or performance of the Work and has made such independent investigations as BIDDER deems necessary;

# COUNTY OF ALBANY

## BID FORM

(c) This Bid is genuine and not made in the interest of or on behalf of any undisclosed person, firm or corporation and is not submitted in conformity with any agreement or rules of any group, association, organization or corporation; BIDDER has not directly or indirectly induced or solicited any other BIDDER to submit a false or sham Bid; BIDDER has not solicited or induced any person, firm or a corporation to refrain from bidding; and BIDDER has not sought by collusion to obtain for himself any advantage over any other Bidder or over the owner.

4. BIDDER will complete the Work for the following prices(s): (Attach Bid Proposal)

5. BIDDER agrees to commence the Work within the number of calendar days or by the specific date indicated in the Contract. BIDDER agrees that the Work will be completed within the number of Calendar days or by the specific date indicated in the contract.

6. The following documents are attached to and made a condition of this Bid:

- (a) Non-Collusive Bidding Certificate (Attachment "A")
- (b) Acknowledgment by Bidder (Attachment "B")
- (c) Vendor Responsibility Questionnaire (Attachment "C")
- (d) Iranian Energy Divestment Certification (Attachment "D")
- (e) MS-4-1 Certification Statement RE: Stormwater Discharges (Attachment "E")
- (f) Bidder Qualification Questionnaire (Attachment "F")
- (g) Non Interruption of Work Agreement (Attachment "G")

7. Communication concerning this Bid shall be addressed to:

Amy Malloy

\_\_\_\_\_  
HVAC Sales Manager

\_\_\_\_\_  
Phone: +1 5183913421

8. Terms used in this Bid have the meanings assigned to them in the Contract and General Provisions.

# COUNTY OF ALBANY

## BID FORM

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Title: HVAC Preventative Maintenance and Emergency Service  
Bid Number: 2024-066

Location	Preventive Maintenance (Inspections)- Price Per Year (all-inclusive of labor and materials)	Emergency Service/ Extra Work Standard Hourly Rate	Emergency Service/ Extra Work Overtime Hourly Rate
COUNTY OFFICE BUILDING HVAC	\$ 28,050 <sup>-</sup>	\$ 198 <sup>-</sup>	\$ 233 <sup>-</sup>
COUNTY OFFICE BUILDING BOILERS	\$ 16,750 <sup>-</sup>	\$ 198 <sup>-</sup>	\$ 233 <sup>-</sup>
COUNTY OFFICE BUILDING CHILLERS	\$ 13,569 <sup>-</sup>	\$ 204 <sup>-</sup>	\$ 239 <sup>-</sup>
COUNTY OFFICE BUILDING 5th Fl. Server Room	\$ 7,250	\$ 198 <sup>-</sup>	\$ 233 <sup>-</sup>
MERCANTILE BLDG HVAC	\$	\$	\$
MERCANTILE BLDG BOILERS	\$	\$	\$
DEPT HEALTH/MENTAL HEALTH COMPLEX 175 GREEN STREET	\$	\$	\$
DEPT HEALTH/MENTAL HEALTH/BOARD OF ELECTIONS BLDG. 244, 250 & 260 SO. PEARL ST	\$	\$	\$
COOPERATIVE EXTENSION HVAC	\$	\$	\$
DEPT. of SOCIAL SERVICES HVAC	\$	\$	\$
DEPT. of SOCIAL SERVICES BOILERS	\$	\$	\$

# COUNTY OF ALBANY

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Bid Number: 2024-066

Location	Preventive Maintenance (Inspections)- Price Per Year (all-inclusive of labor and materials)	Emergency Service/ Extra Work Standard Hourly Rate	Emergency Service/ Extra Work Overtime Hourly Rate
JUDICIAL BLDG HVAC	\$ 42,800 <sup>-</sup>	\$ 190 <sup>-</sup>	\$ 233 <sup>-</sup>
JUDICIAL BLDG CHILLERS	\$ 23,241	\$ 204	\$ 239 <sup>-</sup>
COUNTY COURT HOUSE HVAC	\$	\$	\$
Family Court HVAC	\$	\$	\$
Family Court BOILERS	\$	\$	\$
HALL OF RECORDS HVAC	\$	\$	\$
SHAKER PLACE HVAC	\$	\$	\$
HOCKEY FACILITIES HVAC	\$	\$	\$
HOCKEY FACILITIES Dehumidification Equipment	\$	\$	\$
HOCKEY FACILITIES CHILLER	\$	\$	\$

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# COUNTY OF ALBANY

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Bid Number: 2024-066

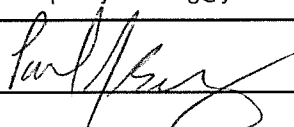
Location	Preventive Maintenance (Inspections)- Price Per Year (all-inclusive of labor and materials)	Emergency Service/ Extra Work Standard Hourly Rate	Emergency Service/ Extra Work Overtime Hourly Rate
<del>X</del> CORRECTIONAL FACILITY HVAC	\$ 8,320 <sup>-</sup>	\$ 244 <sup>-</sup>	\$ 239 <sup>-</sup>
Sheriff E911 Building, 449 New Salem Rd, Voorheesville HVAC	\$	\$	\$
Sheriff E911 Center, 26 Olive Street, Clarksville HVAC			
<u>ALL</u> E911 Tower Locations HVAC	\$	\$	\$
Sheriff EMS & Ambulance HVAC	\$	\$	\$
Sheriff Patrol Station Clarksville HVAC	\$	\$	\$
Sheriffs Renssealerville Station HVAC	\$	\$	\$
Department of Public Works – Main Shop & Engineering Unit HVAC	\$	\$	\$
Department of Public Works - <u>ALL</u> Subdivisions HVAC	\$	\$	\$
Water Purification District North Plant HVAC	\$	\$	\$
Water Purification District South Plant HVAC	\$	\$	\$
<b>Repair Materials Markup Over Contractor's Cost (Percentage)</b>	<b>30 %</b>		

# COUNTY OF ALBANY

## BID FORM

### BID IDENTIFICATION:

Title: HVAC Preventative Maintenance and Emergency Service  
Bid Number: 2024-066

COMPANY: JOHNSON CONTROLS, INC  
ADDRESS: 1399 Crescent Vischer Ferry Rd  
CITY, STATE, ZIP: Clifton Park, NY 12065  
TEL. NO.: 518-952-6040  
FAX NO.:  
FEDERAL TAX ID NO.: 39-0380010  
REPRESENTATIVE: Paul Budlong  
E-MAIL: paul.j.budlong@jci.com  
SIGNATURE AND TITLE:  BUSINESS DEVELOPMENT MANAGER  
DATE: August 14, 2024

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Johnson Controls  
1399 Crescent Vischer Ferry Rd. Clifton Park, NY 12065  
Tel (518) 892-6040 0000



August 14, 2024

Pamela O'Neill  
Albany County Department of General Services  
Purchasing Division  
112 State St. Room 1000  
Albany, NY 12207

Dear Ms. O'Neill:

Johnson Controls, Inc. is pleased to provide the enclosed bid for bid number 2024-066, HVAC Preventative Maintenance and Emergency Service. Please note that Johnson Controls has previously provided factory certified certifications for Carrier and York chillers. All employees remain the same—if required, we are happy to provide them again.

Regards,

Brian Donnelly  
Branch Service Manager

**ATTACHMENT "A"**  
**NON-COLLUSIVE BIDDING CERTIFICATE PURSUANT TO**  
**SECTION 103-D OF THE NEW YORK STATE GENERAL MUNICIPAL LAW**

A. By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid, each party thereto certifies as to its own organizations, under penalty of perjury, that to the best of knowledge and belief:

(1) The prices in this bid have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor.

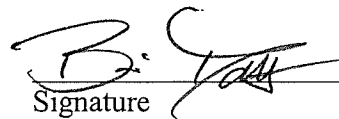
(2) Unless otherwise required by law, the prices which have been quoted in this bid have not knowingly been disclosed by the bidder and will not knowingly be disclosed by the bidder, directly or indirectly, prior to opening, to any bidder or to any competitor.

(3) No attempt has been made or will be made by the bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.

A bid shall not be considered for award nor shall any award be made where (1), (2), and (3) above have not been complied with; provided, however, that in any case the bidder cannot make the foregoing certification, the bidder shall so state and shall furnish with the bid a signed statement which sets forth in detail the reasons thereof. Where (1), (2), and (3) above have not been complied with, the bid shall not be considered for any award nor shall any award be made unless the head of the Purchasing Unit to the political subdivision, public department, agency or official thereof to which the bid is made, or his designee, determines that such disclosure was not made for the purpose of restricting competition.

The fact that a bidder (a) has published price lists, rates, or tariffs covering items being procured, (b) has informed prospective customer of proposed or pending publication of new or revised price lists for such items, or (c) has sold the same items to other customers at the same prices being bid, does not constitute, without more, a disclosure within the meaning of paragraph "A" above.

B. Any bid hereafter made to any political subdivision of the state or any public department, agency or official thereof by a corporate bidder for work or services performed or to be performed or goods sold or to be sold, where competitive bidding is required by statute, rule, regulation, local law, and where such bid contains the certification referred to in paragraph "A" of this section, shall be deemed to have been authorized by the Board of Directors of the bidder, and such authorization shall be deemed to include the submission of the bid and the inclusion therein of the certificate as to non-collusion as the act and deed of the corporation

  
\_\_\_\_\_  
Signature

Branch Service Manager

\_\_\_\_\_  
Title

JOHNSON CONTROLS, INC.  
\_\_\_\_\_  
Company Name

August 14, 2024  
\_\_\_\_\_  
Date



**ATTACHMENT "B"**  
**ACKNOWLEDGMENT BY BIDDER**

If Individual or Individuals:

STATE OF \_\_\_\_\_ )  
COUNTY OF \_\_\_\_\_ ) SS.:

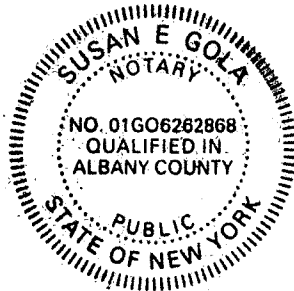
On this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_, before me personally appeared \_\_\_\_\_ to me known and known to me to be the same person(s) described in and who executed the within instrument, and he (or they severally) acknowledged to me that he (or they) executed the same.

\_\_\_\_\_  
Notary Public, State of \_\_\_\_\_  
Qualified in \_\_\_\_\_  
Commission Expires \_\_\_\_\_

If Corporation:

STATE OF New York )  
COUNTY OF Albany ) SS.:

On this 14 day of August, 20024, before me personally appeared Brian Donnelly to me known, who, being by me sworn, did say that he resides at (give address) 11 Valleywood Dr, Niskayuna, NY; that he is the (give title) Branch Service Manager of the (name of corporation) JOHNSON CONTROLS, INC, the corporation described in and which executed the above instrument; that he knows the seal of the corporation, and that the seal affixed to the instrument is such corporate seal; that it was so affixed by order of the board of directors of the corporation, and that he signed his name thereto by like order.



\_\_\_\_\_  
Notary Public, State of New York  
Qualified in Albany  
Commission Expires 6/4/28

If Partnership:

STATE OF \_\_\_\_\_ )  
COUNTY OF \_\_\_\_\_ ) SS.:

On the \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_, before me personally came \_\_\_\_\_, to me known to be the individual who executed the foregoing, and who, being duly sworn, did depose and say that he / she is a partner of the firm of \_\_\_\_\_ and that he / she has the authority to sign the same, and acknowledged that he / she executed the same as the act and deed of said partnership.

\_\_\_\_\_  
Notary Public, State of \_\_\_\_\_  
Qualified in \_\_\_\_\_  
Commission Expires \_\_\_\_\_

**ATTACHMENT "C"**  
**ALBANY COUNTY**  
**VENDOR RESPONSIBILITY QUESTIONNAIRE**

1. VENDOR IS: <input checked="" type="checkbox"/> PRIME CONTRACTOR			
2. VENDOR'S LEGAL BUSINESS NAME JOHNSON CONTROLS, INC		3. IDENTIFICATION NUMBERS a) FEIN # 39-0380010 b) DUNS # 00-609-2860	
4. D/B/A – Doing Business As (if applicable) & COUNTY FIELD:		5. WEBSITE ADDRESS (if applicable)  www.johnsoncontrols.com	
6. ADDRESS OF PRIMARY PLACE OF BUSINESS/EXECUTIVE OFFICE 5757 NORTH GREEN BAY AVENUE P O BOX 591 MILWAUKEE, WI 53201		7. TELEPHONE NUMBER 1 866 496 1999	8. FAX NUMBER
9. ADDRESS OF PRIMARY PLACE OF BUSINESS/EXECUTIVE OFFICE <i>IN NEW YORK STATE, if different from above</i> 1399 Crescent Vischer Ferry Rd. Clifton Park, NY 12065		10. TELEPHONE NUMBER 518-952-6040	11. FAX NUMBER
12. AUTHORIZED CONTACT FOR THE QUESTIONNAIRE Name Paul Budlong Title Business Development Manager Telephone Number 518-257-9212 Fax Number e-mail paul.j.budlong@jci.com			
13. LIST ALL OF THE VENDOR'S PRINCIPAL OWNERS.			
a) NAME Johnson Controls US Holdings	TITLE Parent Company	b) NAME	TITLE
c) NAME	TITLE	d) NAME	TITLE
A DETAILED EXPLANATION IS REQUIRED FOR EACH QUESTION ANSWERED WITH A "YES," AND MUST BE PROVIDED AS AN ATTACHMENT TO THE COMPLETED QUESTIONNAIRE. YOU MUST PROVIDE ADEQUATE DETAILS OR DOCUMENTS TO AID THE COUNTY IN MAKING A DETERMINATION OF VENDOR RESPONSIBILITY. PLEASE NUMBER EACH RESPONSE TO MATCH THE QUESTION NUMBER.			
14. DOES THE VENDOR USE, OR HAS IT USED IN THE PAST FIVE (5) YEARS, ANY OTHER BUSINESS NAME, FEIN, or D/B/A OTHER THAN THOSE LISTED IN ITEMS 2-4 ABOVE? List all other business name(s), Federal Employer Identification Number(s) or any D/B/A names and the dates that these names or numbers were/are in use. Explain the relationship to the vendor.		■ Yes	<input checked="" type="checkbox"/> No
15. ARE THERE ANY INDIVIDUALS NOW SERVING IN A MANAGERIAL OR CONSULTING CAPACITY TO THE VENDOR, INCLUDING PRICIPAL OWNERS AND OFFICERS, WHO NOW SERVE OR IN THE PAST ONE (1) YEARS HAVE SERVED AS:		■ Yes	<input checked="" type="checkbox"/> No
a) An elected or appointed public official or officer? <i>List each individual's name, business title, the name of the organization and position elected or appointed to, and dates of service</i>		■ Yes	<input checked="" type="checkbox"/> No
b) An officer of any political party organization in Albany County, whether paid or unpaid? <i>List each individuals name, business title or consulting capacity and the official political position held with applicable service dates.</i>		■ Yes	<input checked="" type="checkbox"/> No

<p>16. WITHIN THE PAST (5) YEARS, HAS THE VENDOR, ANY INDIVIDUALS SERVING IN MANAGERIAL OR CONSULTING CAPACITY, PRINCIPAL OWNERS, OFFICERS, MAJOR STOCKHOLDER(S) (10% OR MORE OF THE VOTING SHARES FOR PUBLICLY TRADED COMPANIES, 25% OR MORE OF THE SHARES FOR ALL OTHER COMPANIES), AFFILIATE OR ANY PERSON INVOLVED IN THE BIDDING OR CONTRACTING PROCESS:</p> <p>a) 1. been suspended, debarred or terminated by a local, state or federal authority in connection with a contract or contracting process;</p> <p>2. been disqualified for cause as a bidder on any permit, license, concession franchise or lease;</p> <p>3. entered into an agreement to a voluntary exclusion from bidding/contracting;</p> <p>4. had a bid rejected on an Albany County contract for failure to comply with the MacBride Fair Employment Principles;</p> <p>5. had a low bid rejected on a local, state or federal contract for failure to meet statutory affirmative action or M/WBE requirements on a previously held contract;</p> <p>6. had status as a Women's Business Enterprise, Minority Business Enterprise or Disadvantaged Business Enterprise, de-certified, revoked or forfeited;</p> <p>7. been subject to an administrative proceeding or civil action seeking specific performance or restitution in connection with any local, state or federal government contract;</p> <p>8. been denied an award of a local, state or federal government contract, had a contract suspended or had a contract terminated for non-responsibility; or</p> <p>9. had a local, state or federal government contract suspended or terminated for cause prior to the completion of the term of the contract.</p> <p>b) been indicted, convicted, received a judgment against them or a grant of immunity for any business-related conduct constituting a crime under local, state or federal law including but not limited to, fraud extortion, bribery, racketeering, price-fixing, bid collusion or any crime related to truthfulness and/or business conduct?</p> <p>c) been issued a citation, notice, violation order, or are pending an administrative hearing or proceeding or determination of violations of:</p> <p>1. federal, state or local health laws, rules or regulations.</p>	<p>■ Yes <input checked="" type="radio"/> No</p> <p>■ Yes <input checked="" type="radio"/> No</p> <p>■ Yes <input checked="" type="radio"/> No</p>
<p>17. IN THE PAST THREE (3) YEARS, HAS THE VENDOR OR ITS AFFILIATES HAD ANY CLAIMS, JUDGMENTS, INJUNCTIONS, LIENS, FINES OR PENALTIES SECURED BY ANY GOVERNMENTAL AGENCY?</p> <p>Indicate if this is applicable to the submitting vendor or affiliate. State whether the situation(s) was a claim, judgment, injunction, lien or other with an explanation. Provide the name(s) and address(es) of the agency, the amount of the original obligation and outstanding balance. If any of these items are open, unsatisfied, indicate the status of each item as "open" or "unsatisfied."</p>	<p>■ Yes <input checked="" type="radio"/> No</p>
<p>18. DURING THE PAST THREE (3) YEARS, HAS THE VENDOR FAILED TO:</p> <p>a) file returns or pay any applicable federal, state or city taxes? <i>Identify the taxing jurisdiction, type of tax, liability year(s), and tax liability amount the vendor failed to file/pay and the current status of the liability.</i></p> <p>b) file returns or pay New York State unemployment insurance? <i>Indicate the years the vendor failed to file/pay the insurance and the current status of the liability.</i></p> <p>c) Property Tax <i>Indicate the years the vendor failed to file.</i></p>	<p>■ Yes <input checked="" type="radio"/> No</p> <p>■ Yes <input checked="" type="radio"/> No</p> <p>■ Yes <input checked="" type="radio"/> No</p>
<p>19. HAVE ANY BANKRUPTCY PROCEEDINGS BEEN INITIATED BY OR AGAINST THE VENDOR OR ITS AFFILIATES WITHIN THE PAST SEVEN (7) YEARS (WHETHER OR NOT CLOSED) OR IS ANY BANKRUPTCY PROCEEDING PENDING BY OR AGAINST THE VENDOR OR ITS AFFILIATES REGARDLESS OF THE DATE OF FILING?</p> <p>Indicate if this is applicable to the submitting vendor or affiliate. If it is an affiliate, include the affiliate's name and FEIN. Provide the court name, address and docket number. Indicate if the proceedings have been initiated, remain pending or have been closed. If closed, provide the date closed.</p>	<p>■ Yes <input checked="" type="radio"/> No</p>
<p>20. IS THE VENDOR CURRENTLY INSOLVENT, OR DOES VENDOR CURRENTLY HAVE REASON TO BELIEVE THAT AN INVOLUNTARY BANKRUPTCY PROCEEDING MAY BE BROUGHT AGAINST IT? Provide financial information to support the vendor's current position, for example, Current Ration, Debt Ration, Age of Accounts Payable, Cash Flow and any documents that will provide the agency with an understanding of the vendor's situation.</p>	<p>■ Yes <input checked="" type="radio"/> No</p>

21. IN THE PAST FIVE (5) YEARS, HAS THE VENDOR OR ANY AFFILIATES<sup>1</sup> :

Yes  No

a) defaulted or been terminated on, or had its surety called upon to complete, any contract (public or private) awarded;

Indicate if this is applicable to the submitting vendor or affiliate. Detail the situation(s) that gave rise to the negative action, any corrective action taken by the vendor and the name of the contracting agency.

<sup>1</sup> "Affiliate" meaning: (a) any entity in which the vendor owns more than 50% of the voting stock; (b) any individual, entity or group of principal owners or officers who own more than 50% of the voting stock of the vendor; or (c) any entity whose voting stock is more than 50% owned by the same individual, entity or group described in clause (b). In addition, if a vendor owns less than 50% of the voting stock of another entity, but directs or has the right to direct such entity's daily operations, that entity will be an "affiliate" for purposes of this questionnaire.

**ALBANY COUNTY  
VENDOR RESPONSIBILITY QUESTIONNAIRE**

FEIN #

State of: ~~California~~ )  
New York ) ss:  
County of: Albany )

**CERTIFICATION:**

The undersigned: recognizes that this questionnaire is submitted for the express purpose of assisting the County of Albany in making a determination regarding an award of contract or approval of a subcontract; acknowledges that the County may in its discretion, by means which it may choose, verify the truth and accuracy of all statements made herein; acknowledges that intentional submission of false or misleading information may constitute a felony under Penal Law Section 210.40 or a misdemeanor under Penal Law Section 210.35 or Section 210.45, and may also be punishable by a fine and/or imprisonment of up to five years under 18 USC Section 1001 and may result in contract termination; and states that the information submitted in this questionnaire and any attached pages is true, accurate and complete.

The undersigned certifies that he/she:

- Has not altered the content of the questions in the questionnaire in any manner;
- Has read and understands all of the items contained in the questionnaire and any pages attached by the submitting vendor;
- Has supplied full and complete responses to each item therein to the best of his/her knowledge, information ad belief;
- Is knowledgeable about the submitting vendor's business and operations;
- Understands that Albany County will rely on the information supplied in the questionnaire when entering into a contract with the vendor;
- Is under duty to notify the Albany County Purchasing Division of any material changes to the vendor's responses.

Name of Business

Signature of Owner Johnson Controls Inc.

Address

Printed Name of Signatory Susan Gola

City, State, Zip

Title

Sworn before me this 14 day of August, 2024  
Susan Gola  
Notary Public

Brian Donnelly

Printed Name

Brian Donnelly  
Signature

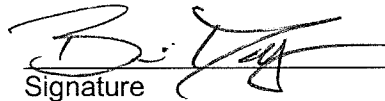
August 14, 2024

Date



**Attachment "D"**  
**Certification Pursuant to Section 103-g**  
**Of the New York State**  
**General Municipal Law**

- A. By submission of this bid/proposal, each bidder/proposer and each person signing on behalf of any bidder/proposer certifies, and in the case of a joint bid, each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that each bidder is not on the list created pursuant to paragraph (b) of subdivision 3 of Section 165-a of the New York State Finance Law.
- B. A Bid/Proposal shall not be considered for award, nor shall any award be made where the condition set forth in Paragraph A above has not been complied with; provided, however, that in any case the bidder/proposer cannot make the foregoing certification set forth in Paragraph A above, the bidder/proposer shall so state and shall furnish with the bid a signed statement which sets forth in detail the reasons therefor. Where Paragraph A above cannot be complied with, the Purchasing Unit to the political subdivision, public department, agency or official thereof to which the bid/proposal is made, or his designee, may award a bid/proposal, on a case by case business under the following circumstances:
1. The investment activities in Iran were made before April 12, 2012, the investment activities in Iran have not been expanded or renewed after April 12, 2012, and the Bidder/Proposer has adopted, publicized and is implementing a formal plan to cease the investment activities in Iran and to refrain from engaging in any new investments in Iran; or
  2. The political subdivision makes a determination that the goods or services are necessary for the political subdivision to perform its functions and that, absent such an exemption, the political subdivision would be unable to obtain the goods or services for which the contract is offered. Such determination shall be made in writing and shall be a public document.



\_\_\_\_\_  
Signature

\_\_\_\_\_  
Branch Service Manager

\_\_\_\_\_  
Title

\_\_\_\_\_  
Johnson Controls, Inc.

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

\_\_\_\_\_  
August 14, 2024

\_\_\_\_\_  
Date

ATTACHMENT "E"

**Sheet MS4-1: Bidder/Proposer Certification Statement (to be used with Section 34 Part A – General Contracts)**

As a bidder seeking to provide services on behalf of Albany County, I certify under penalty of law that I understand and agree to comply with the terms and conditions of the New York State Pollutant Discharge Elimination System ("SPDES") General Permit for Stormwater Discharges from Municipal Separate Storm Sewer Systems (MS4 Permit) and Albany County Local Law 7 of 2007, and agree to implement any Best Management Practices or corrective actions identified by Albany County or an authorized representative thereof as necessary to maintain compliance. I understand that Albany County must comply with the terms and conditions of the aforementioned MS4 Permit, and that it is unlawful for any person to directly or indirectly cause or contribute to a violation of water quality standards. I am also aware that County Local Law 7 of 2007 prohibits any activities that cause or contribute to a violation of the County's SPDES permit. Further, I understand that any non-compliance by Albany County will not diminish, eliminate or lessen my own liability.

**Name of Third Party Entity:** JOHNSON CONTROLS, INC.

**Address:** 1399 Crescent Vischer Ferry Rd.  
Clifton Park, NY 12065

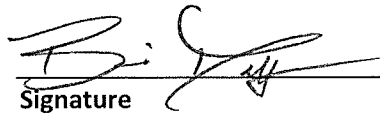
**Phone Number(s):** \_\_\_\_\_

**Description of activities** to be performed by your firm or organization within Albany County are related to the Albany County Storm Water Management Program (SWMP) (include any activities that have the potential to generate or prevent pollution and/or affect water quality):

Cooling Tower Maintenance

**Description of where the work is to be performed** within Albany County facilities:

Chiller, HVAC, and Boiler Maintenance



**Signature**

Brian Donnelly

**Printed Name**

Branch Service Manager

**Title**

August 14, 2024

**Date**

**ATTACHMENT "F"**  
**BIDDER QUALIFICATION QUESTIONNAIRE**

The undersigned guarantees the accuracy of all statements and answers herein contained. (Please print in ink or type in the spaces provided). Attach additional sheets if necessary. This statement of Bidder's qualifications is required of all Bidders. Additional data on Bidder's qualifications may be requested from selected Bidders after the Bid opening.

1. How many years has your firm been in business? 139 years

2. List up to three (3) projects of this nature that you have completed in the last three (3) years, and give the name, address and telephone number of a reference from each. Also give the completion date, the original contract bid price and the completed cost of each project listed.

1. Griffin Labs, 5668 State Farm Rd Slingerlands, NY. Carl Frost: 518-869-9450  
Completed: April 1, 2024. Bid and Completed Price: \$23,058.  
Chiller Maintenance

2. David Axelrod Institute, 120 New Scotland Ave Albany, NY 12208 Robert Schraa: (518) 408-7710  
Completed: April 1, 2024. Bid and Completed Price: \$47,928.86  
Chiller Maintenance

3. Wadsworth Center, EMPIRE STATE PLZ E345 # 345, Albany NY 12201 Randy Philpott: (518) 527-7379  
Completed: July 31, 2022 Bid and Completed Price: \$2,698,065  
Full Facility HVAC Maintenance



**ATTACHMENT "F"**  
**BIDDER QUALIFICATION QUESTIONNAIRE**

3. List projects presently under contract by your firm, the dollar volume of the contract and the percentage completion of the contract.

Albany County Office Building - 112 State Street. Carrier Chiller Maintenance (3-Year Term). \$35,268.00

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85% Complete

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Albany County Judicial Center - 6 Lodge St. York Chiller Maintenance (3-Year Term). \$63,966.00

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85%

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Albany County Correctional - 840 Albany Shaker Rd. York Chiller Maintenance (3-Year Term). \$18,735.00

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85% Complete

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4. Has your firm ever failed to complete work awarded to it, if so, state where and why.

NO

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5. Is your firm presently or has your firm ever been a party defendant in a lawsuit commenced against your firm alleging failure to properly complete work in accordance with the contract for same; if so, give details.

NO

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Johnson Controls, Inc. routinely enters into contracts with local, state and federal entities. Thus, while it may be possible there are administrative proceedings or civil actions pending, it would be difficult (if not impossible) to provide a definitive response to the question posed. In the event of such occurrences, Johnson Controls, Inc. endeavors to quickly correct or resolve such situations. The Form 10-K annual report of its parent company, Johnson Controls International plc, identifies any such proceedings that are material to the Company's financial condition. A copy of the Form 10-K is available through the Company's website:

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[https://investors.johnsoncontrols.com/financialinformation/financial-reports?doc=\\*](https://investors.johnsoncontrols.com/financialinformation/financial-reports?doc=*)

**ATTACHMENT "F"**  
**BIDDER QUALIFICATION QUESTIONNAIRE**

6. Has your firm received two (2) final determinations within any consecutive six-year period, the second final determination occurring within the past five (5) years, that your firm willfully failed to pay the prevailing rate of wages or to provide supplements with Article 8 of the Labor Law, if so, give details.

NO

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7. Do you plan to sublet any part of this work? If so, give details.

NO

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8. Give the name, address and telephone number of an individual who represents each of the following and whom the Owner may contact to investigate your financial responsibility: a surety, and a bank.

Our parent company's annual reports are audited by:

PriceWaterhouseCoopers  
100 East Wisconsin Avenue, Suite 1500  
Milwaukee, WI 53202

PMorgan Chase  
Credit and Confirmation Group  
Telephone: 800-550-8509  
Fax: 817-345-3794

**ATTACHMENT "F"**  
**BIDDER QUALIFICATION QUESTIONNAIRE**

9. Give a summary of your financial statement. (List assets and liabilities, use an insert sheet, if needed).

Please See Attached.

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10. State the true, exact, correct and complete name of the partnership, corporation or trade name under which you do business, and the address of the place of business. (If a corporation, state the name and title of all officers. If a partnership, state the name of all partners. If a trade name, state the names of the individuals who do business under the trade name.) It is absolutely necessary that information be furnished.

JOHNSON CONTROLS, INC

\_\_\_\_\_  
Correct Name of Bidder

- (a) The business is a: Corporation
- (b) The address of principal place of business is: 1399 Crescent Vischer Ferry Rd. Clifton Park, NY 12065

- (c) The names of the corporate officers, or partners, or individuals doing business under a trade name, are as follows:

Daniel C. McConeghy (Skip) – Director and President

Christopher E. Osborne – Secretary

Pieter Lens – Vice President and Treasurer

Richard J. Dancy – Director, Vice President and Assistant Secretary

**ATTACHMENT "F"**  
**BIDDER QUALIFICATION QUESTIONNAIRE**

11. Is your firm qualified to do business in the State of New York? Yes X No \_\_\_\_.  
If No, signing this qualification statement constitutes agreement to obtain such qualification prior to award of contract immediately upon owner's request.

JOHNSON CONTROLS, INC

\_\_\_\_\_  
Firm

Dated: August 14, 2024

By  \_\_\_\_\_

Brian Donnelly

\_\_\_\_\_  
(Typed)

**JOHNSON CONTROLS INTERNATIONAL PLC**

**SUPPLEMENTAL INFORMATION**

**SEPTEMBER 30, 2023**

## **Report of Independent Registered Public Accounting Firm**

To the Board of Directors of Johnson Controls International plc

We have audited the consolidated financial statements of Johnson Controls International plc and its subsidiaries (the "Company") as of the year ended September 30, 2023 and 2022 and for each of the three years in the period ended September 30, 2023 and have issued our report thereon dated December 14, 2023, which included an unqualified opinion on those consolidated financial statements. The accompanying condensed consolidating statement of financial position as of and for the year ended September 30, 2023 (the "supplemental information") has been subjected to audit procedures performed in conjunction with the audit of the Company's consolidated financial statements. The consolidating information is not intended to present, and we do not express an opinion on, the financial position of the individual companies. The supplemental information is the responsibility of the Company's management. Our audit procedures included determining whether the supplemental information reconciles to the consolidated financial statements or the underlying accounting and other records, as applicable, and performing procedures to test the completeness and accuracy of the information presented in the supplemental information. In our opinion, the supplemental information is fairly stated, in all material respects, in relation to the consolidated financial statements as a whole.

*PricewaterhouseCoopers LLP*

PricewaterhouseCoopers LLP  
Milwaukee, Wisconsin  
April 16, 2024

**JOHNSON CONTROLS INTERNATIONAL PLC**  
**SUPPLEMENTAL CONDENSED CONSOLIDATING STATEMENT OF FINANCIAL POSITION**  
**SUPPLEMENTAL INFORMATION**  
**For the Year Ended September 30, 2023**

The accompanying supplemental condensed consolidating statement of financial position has been prepared to satisfy the financial reporting requirements of Johnson Controls, Inc. for purposes of contractor license renewal. The first column, "Johnson Controls, Inc. and Consolidating Subsidiaries," represents the financial position of Johnson Controls, Inc. and its consolidating subsidiaries. The second column, "Other Subsidiaries," represents the remaining consolidating subsidiaries of Johnson Controls International plc (the "Company"). The third column, "Consolidating Adjustments," represents consolidating adjustments, including the elimination of intercompany transactions and balances between the first two columns. The fourth column, "Total," represents the total of the first three columns and agrees to the consolidated financial statements of the Company.

This schedule of supplemental condensed consolidating statement of financial position is prepared in accordance with accounting policies described in the Company's notes to the consolidated financial statements. This schedule is not intended to be a presentation in accordance with accounting principles generally accepted in the United States of America as a result of the exclusion of all required disclosures.

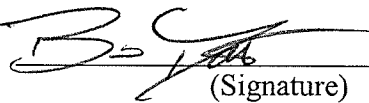
(in millions)	Johnson Controls, Inc. and Consolidating Subsidiaries	Other Subsidiaries	Consolidating Adjustments	Total Johnson Controls International plc
<b>Assets</b>				
Cash and cash equivalents	\$ 1,562	(727)	\$ —	\$ 835
Accounts receivable, net	2,331	3,675	—	6,006
Inventories	802	1,974	—	2,776
Intercompany receivables	6,117	5,687	(11,804)	—
Intercompany loans receivables	4,805	3,524	(8,329)	—
Other current assets	341	779	—	1,120
Current assets	<u>15,958</u>	<u>14,912</u>	<u>(20,133)</u>	<u>10,737</u>
Property, plant and equipment - net	1,102	2,034	—	3,136
Goodwill	2,313	15,623	—	17,936
Other intangible assets - net	302	4,586	—	4,888
Investments in partially-owned affiliates	126	930	—	1,056
Intercompany loan receivable	9,137	6,708	(15,845)	—
Other noncurrent assets	900	3,589	—	4,489
Total assets	<u>\$ 29,838</u>	<u>\$ 48,382</u>	<u>\$ (35,978)</u>	<u>\$ 42,242</u>
<b>Liabilities and Equity</b>				
Short-term debt	\$ —	\$ 385	\$ —	\$ 385
Current portion of long-term debt	32	613	—	645
Accounts payable	1,637	2,631	—	4,268
Accrued compensation and benefits	488	470	—	958
Deferred revenue	863	1,133	—	1,996
Intercompany payables	5,687	6,117	(11,804)	—
Intercompany loans payables	3,524	4,805	(8,329)	—
Other current liabilities	786	2,046	—	2,832
Current liabilities	<u>13,017</u>	<u>18,200</u>	<u>(20,133)</u>	<u>11,084</u>
Long-term debt	99	7,719	—	7,818
Pension and postretirement benefits	130	148	—	278
Intercompany loans payable	6,708	9,137	(15,845)	—
Other noncurrent liabilities	890	4,478	—	5,368
Long-term liabilities	<u>7,827</u>	<u>21,482</u>	<u>(15,845)</u>	<u>13,464</u>
Ordinary shares	—	7	—	7
Ordinary shares held in treasury	—	(1,240)	—	(1,240)
Other shareholders' equity	9,129	8,649	—	17,778
Shareholders' equity attributable to Johnson Controls	<u>9,129</u>	<u>7,416</u>	<u>—</u>	<u>16,545</u>
Noncontrolling interests	(135)	1,284	—	1,149
Total equity	<u>8,994</u>	<u>8,700</u>	<u>—</u>	<u>17,694</u>
Total liabilities and equity	<u>\$ 29,838</u>	<u>\$ 48,382</u>	<u>\$ (35,978)</u>	<u>\$ 42,242</u>

**ATTACHMENT "G"**  
**NON-INTERRUPTION OF WORK AGREEMENT**

By submission of the bid for:

The bidder agrees that if this bid is accepted, he/she will not intentionally engage in any course of conduct or activity, or employ for the purposes of performing the public work, any subcontractors, employees, labor or materials which will or may result in the interruption of the performance of the public work due to labor strife or unrest by workmen employed by the bidder or by any of the trades working in or about the public works and/or premises where the work is being performed.

Firm: Johnson Controls, Inc.

By:   
(Signature)

Brian Donnelly  
(Typed)

Title: Branch Service Manager

Date: August 14, 2024