

REQUEST FOR PROPOSAL (RFP)

RFP # 22-006

NEW YORK STATE EDUCATION DEPARTMENT

Title: Transcribing New York State Exams and Related Materials into Braille

The New York State Education Department (NYSED) Office of State Assessment (OSA) is seeking proposals for the transcribing of New York State Exams and exam-related materials into Braille. This request pertains to secure State-developed and State-approved exams including Regents Exams and elementary- and intermediate-level science tests, as well as science reference tables, scoring materials, reports of exam results, and mathematics tables.

During the contract resulting from this RFP, no personally identifiable information will be provided to the contractor because none is necessary for the contractor to perform the services detailed in this RFP.

Eligible bidders are for-profit and not-for-profit entities, including large testing companies, consultants and/or educational organizations with demonstrated professional experience in literary and mathematic Braille transcription, preparation of transcript text and graphics for illustrations, print-on-demand production, and mass production.

Subcontracting will not be allowed for this contract. Subcontracting is defined as non-employee direct personal services and related incidental expenses, including travel. NYSED has not established Minority and Women-owned Business Enterprise (MWBE) goals for this procurement.

NYSED will award one (1) contract pursuant to this RFP. The contract resulting from this RFP will be in effect for a term of five (5) years, anticipated to begin September 1, 2022 and to end August 31, 2027.

Service Area: **Statewide**

Mandatory Requirements: See Mandatory Requirements section of the RFP.

Components contained in RFP Proposal #22-006 are as follows:

- 1.) Description of Services to Be Performed
- 2.) Submission
- 3.) Evaluation Criteria and Method of Award
- 4.) Assurances
- 5.) Attachments
- 6.) Submission Documents (separate document)

Questions regarding this request must be submitted by email to AssessmentRFP@nysed.gov no later than the close of business September 16, 2021. Questions regarding this request should be identified as Program, Fiscal or M/WBE. A Questions and Answers Summary will be posted to [P-12 Competitive Procurement webpage](#) no later than September 30, 2021.

The following are the designated contacts for this procurement:	
Program Matters	Fiscal Matters
McKenzie Johnson	Lucas Rodriguez
Email Address: AssessmentRFP@nysed.gov	

The following documents must be submitted in separately sealed envelopes, as detailed in the "[Submission](#)" section of the RFP, and be received at NYSED no later than **October 21, 2021 by 3:00 PM**:

1. Submission Documents labeled **Submission Documents - RFP #22-006 Do Not Open**
2. Technical Proposal labeled **Technical Proposal - RFP #22-006 Do Not Open**

Each bidder submitting a Technical Proposal for this RFP should submit the sample test pages that are provided as a separate PDF Attachment with this RFP, transcribed by the Bidder into Braille. The sample test pages consist of two pages each of Mathematics, Science, and Social Studies. For additional details see the RFP sections "[5.\) Attachments - Attachment A: Sample Test Pages](#)" and "3.) Evaluation Criteria and Method of Award".

3. Cost Proposal labeled **Cost Proposal – RFP #22-006 Do Not Open**

The completed Cost Proposal should be provided as a separate Excel file attachment saved on a CD or flash drive, using the Excel file template provided by NYSED with the RFP, as well as a printed copy of all pages of the Excel file cost proposal, and mailed with the printed copies of the technical proposal and vendor's reproductions of its Braille transcription of the Attachment A: Sample Test Pages.

4. CD or USB flash drive containing the Submission Documents and the Technical and Cost Proposals, created using Microsoft Office. Place in a separate envelope labeled **CD/USB-RFP#22-006 Do Not Open**.

Please submit the above documentation to:

NYS Education Department
 Bureau of Fiscal Management
 Attn: Lucas Rodriguez, RFP #22-006
 Contract Administration Unit
 89 Washington Avenue, Room 501W EB
 Albany, NY 12234

Contents

Glossary of Terms and Acronyms used in this RFP	5
1.) Description of Services to Be Performed	7
Work Statement and Specifications	7
Mandatory Requirements	7
Minority and Women-Owned Business Enterprise (M/WBE) Participation Goals Pursuant to Article 15-A of the New York State Executive Law	7
Service-Disabled Veteran-Owned Business (SDVOB) Participation Goals Pursuant to Article 17-B of New York State Executive Law	Error! Bookmark not defined.
Project Work Plan and Deliverables	7
Timeline for Required Services	8
Braille Transcriptions Completed for the 2018-19 School Year	9
Specifications for Contractor Transcribing Braille	10
Organizational Capacity/Staffing Plan	11
Project Manager	11
Exam Security	12
Security Guidelines for the New York State Assessment Program	12
Notification Procedures	13
Ownership	13
Terms and Conditions	14
Contract Transition	14
Promotion of Products and Services Outside the Contract	14
Payments and Reports	14
Liquidated Damages	15
Accessibility of Web-Based Information and Applications	15
Subcontracting Limit	15
Staff Changes	15
Contract Period	15
Electronic Processing of Payments	16
2.) Submission	17
Documents to be submitted with this proposal	17
Technical Proposal	18
Cost Proposal	22
3.) Evaluation Criteria and Method of Award	23
Criteria for Evaluating Bids	23
Technical Criteria	23
Financial Criteria	24

Method of Award.....	25
NYSED’s Reservation of Rights	25
Post-Selection Procedures.....	25
Debriefing Procedures	25
Contract Award Protest Procedures	26
Vendor Responsibility	26
Procurement Lobbying Law	27
Consultant Disclosure Legislation	27
Public Officer’s Law Section 73.....	28
NYSED Substitute Form W-9	29
Workers’ Compensation Coverage and Debarment	29
PROOF OF COVERAGE REQUIREMENTS.....	29
Sales and Compensating Use Tax Certification (Tax Law, Section 5-a)	30
4.) Assurances.....	32
State of New York Agreement.....	33
Appendix A: Standard Clauses for NYS Contracts.....	35
Form CPO2-Confidential: Contractor’s Data Privacy and Security Plan.....	Error! Bookmark not defined.
5.) Attachments.....	45
Attachment A: Sample Test Pages.....	45
Attachment B: Non-Disclosure Agreement	46

Glossary of Terms and Acronyms used in this RFP

Term or Acronym	Definition
Administration period	The scheduled/prescribed time in which a State exam, test or assessment is given to students at authorized testing locations established via a published schedule, which includes the required date(s) of testing and may include a start and end time
Assessment	An exam (test) designed to measure a student's knowledge and understanding of content, concepts, and/or skills
BANA	Braille Authority of North America - assures literacy for tactile readers through standardization of Braille and tactile graphics
Braille	A system of writing and printing for blind or visually impaired people, in which varied arrangements of raised dots representing letters and numerals are identified by touch
Braille code	The Braille code is physically presented as raised dots, usually arranged in cells of up to six dots.
Braille embosser	A hardware device that reproduces a Braille hard copy of a text document and/or tactile graphic
Braille reproduction	A copy and/or subsequent copies ordered of a final NYSED-approved Braille transcription of an exam or exam-related material
Braille transcriber	A person who transcribes (manually presses keys to produce Braille) or translates (uses a program to produce Braille) print text into Braille
CNIB	Canadian National Institute for the Blind
Fold-out diagram	A folded insert or section whose full size exceeds that of the regular page
Grade II Braille (contracted Braille)	Contracted Braille is widely regarded as the universal standard form of Braille in the English language. It functions as an extensive form of shorthand and contains nearly 200 contractions for the most frequently used words and letter combinations.
Graphic	A diagram or image used for illustration
Interpoint Braille	Braille that is embossed on both sides of the same Braille page
Mass production	Term to categorize vendors that transcribe and reproduce large numbers of similar Braille products for longer runs
Nemeth Braille Code for Mathematics and Science Notation	The Braille code used to transcribe mathematics and science notation
NLS	National Library Service for the Blind and Physically Handicapped, Library of Congress
NUBS	Nemeth Uniform Braille System - represents literary, math, and computer information
NYSED	The New York State Department of Education
NYS Vendor ID	This is a 10-digit code that is issued by the Office of the State Comptroller (OSC), used in place of the federal ID/TIN/EID to identify a vendor who enrolls its business or State-contracting entity in the OSC's Online Services.

Print-on-demand	Term used to categorize vendors that transcribe and reproduce only exact quantities needed for immediate distribution based on actual demand
Professional transcriber	A person who obtains certification through the NLS or CNIB
Proofreader	A person, certified by NLS or CNIB, who reads Braille by touch and/or sight
Raised-line tactile graphics	Any tangible component of a tactile diagram; may consist of linear, areal, or simple point symbols
Subcontractor	Any firm engaged or assigned by the contractor to perform work under the contract, or any person so engaged or assigned who is not an employee of the contractor
Tactile graphic	Raised version of a print graphic that is adapted for the sense of touch
Thermographic ink	Granulated ink used to produce a raised-line tactile graphic design
Thermography	A printing process for producing raised lettering by application of a powder that is fused by heat to the fresh ink
UEB	Unified English Braille - code to represent literary, math, and computer information
Uncontracted Braille	Braille in which every word is spelled out letter for letter (also called Grade 1 Braille)

1.) Description of Services to Be Performed

Work Statement and Specifications

This section of the bid package details the services and products to be acquired. Please note that the contract process also includes general New York State administrative terms and conditions, as well as terms and conditions required by New York State law. These terms and conditions address issues related to both the submission of bids and any subsequent contract; they are included separately in this bid package for your information. Please review all terms and conditions.

Mandatory Requirement

The eligible bidder must agree to the Mandatory Requirement found below and must submit the Mandatory Requirements Certification Form located in 6.) Submission Documents (separate document) signed by an authorized person. If the bidder's proposal fails to meet this mandatory requirement or if the Mandatory Requirement Certification Form is submitted unsigned, the bidder will be disqualified.

- 1) The bidder's Technical Proposal must demonstrate that the bidder has at least three years of professional experience providing Braille transcriptions for secure standardized large-scale assessments and related materials, including illustrations.

For the purposes of this RFP #22-006, the following definitions apply to the mandatory requirement:

- three years of professional experience becomes operationally defined as having performed any work (as described above in 1) during three different calendar or school years. This work may be in transcribing into Braille the same exam or exams for three different years or transcribing different large-scale assessments in each of three different years.
- the term large-scale assessment is defined as an assessment that measures student achievement on a specified set of academic constructs at numerous schools or testing locations, such as across a large city, region, state, or nation, using test instruments administered and scored in strict accordance with test publisher-provided standardized procedures and within the same specified interval of time.
- a secure standardized assessment is defined as any test in which the same test is given in the same manner to all test takers, that is graded in the same manner for everyone, and that has test security requirements to protect and ensure that the results are valid and reliable.

Minority and Women-Owned Business Enterprise (M/WBE) Participation Goals Pursuant to Article 15-A of the New York State Executive Law

NYSED has not established Minority and Women-owned Business Enterprise (MWBE) goals for this procurement.

Project Work Plan and Deliverables

The contractor's infrastructure and technological resources must enable the contractor to successfully complete the project deliverables. The contractor must provide to NYSED error-free Braille transcriptions from regular English print and Braille reproductions for all exams and related materials in the content areas of English language arts, Mathematics, Science, and Social Studies. The transcriptions and reproductions that result in paper Braille documents must be prepared:

- without deviation from the style or format indicated in the requirements set forth in the [Specifications for Contractor Transcribing Braille](#)
- with Braille text that is processed according to the [Braille Authority of North America \(BANA\) code](#)
- utilizing the Nemeth Code for mathematics and other technical subject instructional material
- completed and delivered to NYSED in accordance with NYSED's [Timeline for Required Services](#)

Braille transcription of related materials may include an occasional scoring key or rating guide, in addition to any exam reference table that is updated periodically. NYSED currently requires Braille transcribing to result in a paper Braille document. Materials produced under this contract must be prepared in accordance with the specifications set forth in the [Specifications for Contractor Transcribing Braille](#). The format of the Braille text will be processed according to the [Braille Authority of North America \(BANA\) code](#). Nemeth Code will be utilized for mathematics and other technical subject instructional materials.

The contractor must maintain electronic and hard copy master files of Braille materials. Copies are retained for various reasons including, but not limited to, the need to produce duplicate orders or replace items that have become worn. Copies should be maintained for the life of the contract and the contractor should be prepared to transfer files at the end of the contract period.

Actual payment to the contractor will be based on the actual number of Braille pages transcribed and reproduced, as well as actual shipping costs for shipping orders to NYSED. See sections "[Payments and Reports](#)" and "[Liquidated Damages](#)."

Not all exams will be transcribed into Braille for each administration. The number of Braille pages per exam and the number of reproductions requested varies greatly from administration to administration.

Timeline for Required Services

NYSED will make all exam forms available to the contractor as soon as they are fully developed. NYSED will provide to the contractor a CD containing a secure, high-resolution PDF file of the exam and one printout of the exam as reference.

Braille transcriptions and reproductions must be completed and delivered to NYSED in accordance with NYSED's Timeline for Required Services. The work by the contractor on a given exam must begin approximately two to three months prior to the exam's administration period. (See the chart "[Braille Transcriptions Completed for the 2018-19 School Year](#).)

The contractor must complete and deliver to NYSED the initial transcription of the regular English print of an exam within two (2) weeks from its receipt of the exam from NYSED. NYSED will review the initial transcription and send any required changes back to the contractor, generally within one week. The contractor will then have two (2) additional weeks to do all the following: complete the final edition, submit to NYSED for approval, reproduce the requested number of Braille copies, and ship to NYSED via Next Day Air. For other on demand / related exam materials, the contractor will work with NYSED to develop a reasonable timeline for completion of work.

Tests and related materials may be added or removed by NYSED throughout the contract period. The chart "[Braille Transcriptions Completed for the 2018-19 School Year](#)" lists the approximate number of pages of regular English print that was required to be transcribed and reproduced in Braille for the

months of administration in the 2018-19 school year. Months of administration may vary, and the contractor, if asked, must provide tests and related materials or additional copies of exams outside of the time periods listed in the chart "[Braille Transcriptions Completed for the 2018-19 School Year.](#)"

Past editions of secondary-level Regents Exams and Elementary- and Intermediate-Level Science Tests and related materials are available on the NYSED web site: [Past Examinations.](#)

The first exams to be transcribed under this contract will be the January 2023 Regents Exams, and the work for these exams will commence in October 2022.

Braille Transcriptions Completed for the 2018-19 School Year						
Content Area/ Exam Title/Related Material	Number of Pages in Regular Print Edition and in Braille Transcription for the Exam Administration					
	January		May/June		August	
	Regular Print	Braille	Regular Print	Braille	Regular Print	Braille
Regents Language Arts						
English Language Arts	24	74	24	70	24	73
Regents Mathematics						
Algebra I	28	59	28	51	24	57
Algebra II	28	54	28	53	28	51
Geometry	32	76	28	62	28	66
Regents Science						
Physical Setting/Chemistry	16	71	16	57	16	56
Elementary- and Intermediate- Science						
Grade 4 Elementary-Level Science Written Test	0	0	24	47	0	0
Grade 8 Intermediate-Level Science Written Test	0	0	32	120	0	0
Regents Social Studies						
Global History & Geography	24	76	24	80	32	117
Global History & Geography (Framework)	24	75	24	75	20	62
United States History & Government	24	76	28	95	32	94

Specifications for Contractor Transcribing Braille

1. The transcribers used by the contractor to transcribe the NYS exams must be certified by the National Library Service for the Blind and Print Disabled, Library of Congress (NLS) or have similar recognized certification, in literary Braille transcribing, under the rules of Unified English Braille (UEB).
2. The contractor is required to provide UEB for literary Braille transcriptions and mathematic transcriptions under the rules of Nemeth Code for Mathematics and Scientific Notation, adhering to all current Braille codes, guidelines, and standards provided by the [Braille Authority of North America](#) (BANA) for all countries using English Braille.
3. Original transcriptions must be checked thoroughly and proofread by a reviewer, and discrepancies resolved before submission to NYSED.
4. The contractor must use a method for producing tactile graphics that is well suited for the sense of touch for students who use Braille editions.
5. Tests and related materials must be transcribed into Braille text and raised-line graphics for illustrations in their entirety, including all labeled items on tactile graphics (maps, graphs, diagrams, charts, and tables).
6. If the contractor is going to use interpoint (Braille on both sides of the paper), the contractor/subcontractor must use paper of enough quality that will prevent the Braille from pressing through and allow for maximum embossing quality.
7. If a tactile graphic (maps, graphs, diagrams, charts, and tables) contains information that does not fit within the constraints of a standard Braille page (11 inches by 11.5 inches), then foldouts must be used to create these graphics.
8. If a tactile graphic has information that cannot fit in the constraints of the BANA codes for tactile graphics due to the amount of space Braille takes up, the contractor must obtain NYSED's prior approval to change, modify, or eliminate information contained in the printed copy.
9. The contractor must adhere to the [Security Guidelines for the New York State Assessment Program](#).
10. All materials will be transcribed into grade II (contracted) Braille, unless otherwise specified by NYSED.
11. The contractor must complete the project using its own hardware and software.
12. Since the items on the tests are often graphics-based, some adaptations and adjustments to various items may be required. This tends to occur more often with mathematics tests than with English language arts tests. Any suggestions for adapting these items to make them more accessible and able to be transcribed into Braille more efficiently should be discussed with NYSED prior to beginning transcription.
13. The exclusion and/or prorating of items from the Braille edition of these tests are prohibited.

Organizational Capacity/Staffing Plan

The contractor must provide key personnel with experience and expertise congruent with staff assignments for all aspects of the tasks outlined in the RFP. The contractor must ensure that staffing is commensurate with the project's scope of work throughout the duration of the contract. NYSED must immediately be notified of any changes in staffing. NYSED reserves the right to review and approve any proposed changes in key staffing.

Project Manager

The contractor must identify a Project Manager to be the central point of contact with NYSED for the duration of this contract. The contractor is expected to demonstrate that the individual identified as a Project Manager has sufficient authority and experience across departments within the organization to ensure that the work of the contract has the necessary priority to be completed with the highest quality and on time.

It is preferred that the Project Manager possesses the following: a Bachelor's degree, at minimum; a project management certification through the Project Management Institute (PMI) as a Project Management Professional (PMP) or other recognized program management certification (evidence of the certification should be included). The Project Manager should have at least three years' experience managing Braille transcription projects from conception through completion, following industry-recognized project-management methodology. Previous experience in projects involving large-scale assessment including high school equivalency, or elementary-, intermediate-, and/or secondary-level testing is preferred. The Project Manager is expected to have strong organizational and managerial skills.

The Project Manager's responsibilities will include, but are not limited to, the following:

1. meet with NYSED staff either in person in Albany or virtually at the start of the contract period. An introductory meeting of approximately three hours or as otherwise mutually agreed upon shall be held within thirty days of final contract approval. After that initial introductory meeting, the vendor may be called upon to meet with NYSED staff at least one time per year throughout the duration of the contract;
2. coordinate and participate in conference calls and communicate via e-mail with NYSED staff assigned to this project to discuss the status of the work on the contract and any issues related thereto on an as-needed basis;
3. maintain accurate, up-to-date information on the current status of all work on the project and communicate such to NYSED staff upon request and in a timely manner;
4. submit all deliverables and other work products to NYSED in the manner designated by NYSED for review and approval. Materials must be submitted to NYSED in accordance with the timeline specified in this RFP; ([Timeline for Required Services](#))
5. In the event that a problem or potential problem arises with regard to the quality, timeliness, or any other issue with respect to deliverables and services at any time during the contract term, regardless of when the problem arises, the Project Manager must immediately notify NYSED via phone and e-mail of the issue and shall also immediately propose a solution for the problem or potential problem.
6. The Project Manager must cooperate fully with designated NYSED staff to perform all activities. The contractor must notify NYSED promptly if there is a need to replace the designated Project Manager. Such replacement is subject to approval by NYSED.

Literary and Mathematics Reviewer Qualifications

For the full duration of the contract term, the contractor must continuously provide:

1. a literary reviewer who is certified by NLS in literary Braille proofreading under the rules of UEB (if applicable, an NLS certificate should be included), and
2. a mathematics reviewer who is certified by NLS in mathematics Braille proofreading under the rules of Nemeth Code for Mathematics and Scientific Notation with at least a general certification in UEB (if applicable, an NLS certificate should be included)

Exam Security

The contractor must comply with all security, appropriate use laws, regulations, policies, and procedures required by the State of New York and NYSED, in accordance with the contract requirements of the Department. Such requirements include the "[Security Guidelines for New York State Assessment Program](#)" section of this RFP. These security guidelines were developed by NYSED to set forth the management of secure materials and should be reflected in the contractor's procedures.

Security of test items and test forms is essential. The contractor must adhere to all of NYSED's security protocols regarding the shipping, safeguarding, and storage of secure materials. This includes secure shipment of all physical materials using a carrier with ground-tracking capability.

The contractor must use encrypted files. Access to the NYS test information on the contractor's servers must be limited to the contractor and NYSED, unless further sharing with other parties is authorized in writing by NYSED. When shipping secure materials, the contractor must use a delivery service with online ground-tracking capabilities. All shipments between the contractor and NYSED must be in locked boxes, which will be supplied by NYSED.

All secure exam contents must be stored on computer and in storage facilities maintained within the United States using the strictest industry standards and state-of-the-art best practices, including appropriate firewalls and security measures.

All contractor staff having access to secure or confidential information, including but not limited to, test questions and scoring materials, shall sign a [Non-Disclosure Agreement](#) provided by NYSED prior to receiving access to such materials. The contractor will maintain all signed agreements for the duration of the contract term and three years thereafter and will provide them to NYSED upon request.

Security Guidelines for the New York State Assessment Program

1. Staff of NYSED and of contractors working with the Office of State Assessment who are responsible for transporting, receiving, or handling secure test materials, distributing such materials to consultants, work groups, and committees, and/or coordinating and overseeing related activities with consultants must be provided appropriate guidance to convey the importance of maintaining the security of materials.
2. Secure test materials must either be under the direct physical control of authorized NYSED personnel or their designated consultants or contractor personnel or in a secure storage area, which is inaccessible to anyone other than authorized staff, always. Materials may never be left at a vacant desk or in an unattended conference room.

3. Contractors must discuss with their NYSED contact person and receive prior approval of arrangements for delivery and storage of secure materials to locations other than NYSED or the contractor's place of business.
4. Contractors must plan for the secure destruction of any secure materials used during the contract process.
5. The contractor's security procedures will include shipment of all secure materials needed for test development activities to test development sites in NYSED's locked boxes. The locked containers will be provided to the contractor by NYSED. When shipment of printed materials is necessary to test centers and to NYSED, the contractor must use a carrier with ground-tracking capability. The contractor may not utilize electronic transfer to transmit any secure test materials, unless authorized by NYSED on a case-by-case basis. Electronic transfer includes transfer via e-mail, Internet, or facsimile (FAX).
6. Photocopying of secure or confidential material must be undertaken with care. Paper jams may result in paper containing secure or confidential materials to become lodged in the copier and later discovered by another user. Extreme caution must be used. The contractor's plan for photocopying must be approved by NYSED.
7. The contractor will require all staff and consultants who review secure materials, including but not limited to secure test questions, scoring materials, and related materials that reference secure test questions, to sign a [Non-Disclosure Agreement](#) (see Attachment B) to be provided by NYSED. The contractor must retain the signed forms for at least one year beyond the end date of the contract, and promptly submit the signed forms to NYSED upon request.

Notification Procedures

In the event that a problem or potential problem arises with regard to security, quality, timeliness, or any other issue with respect to deliverables and services at any time during the contract term, regardless of when the problem arises, the Project Manager must immediately notify the Director of State Assessment or his/her designee of the issue, via telephone and in writing, and the contractor's proposed solution, and shall also include the issue and NYSED-approved solution on any subsequent report(s).

In the event that a delay in performance occurs as a result of a *force majeure* (events beyond the party's reasonable control including without limitation, acts of God; acts or omissions of governmental authorities or any third party; strikes, lockouts or other industrial disturbances; acts of public enemies; wars; blockades; riots; civil disturbances; epidemics; floods; hurricanes; tornadoes; and any other similar acts, events, or omissions), the affected party will contact the other party in writing as soon as the delay is known and provide a written contingency plan. The non-affected party acknowledges that the affected party will not be held liable for failure to perform any provision of the contract if such failure is caused by a *force majeure*. Should such events occur, the contractor will use financially reasonable efforts to overcome the difficulties and will resume work as soon as reasonably possible. Notwithstanding the foregoing, if the *force majeure* continues beyond thirty (30) days, the parties shall decide on an appropriate course of action that will permit fulfillment of the parties' objectives hereunder.

Ownership

1. All transcriptions of exams (both print and computer file formats) and related materials shall be the exclusive property of NYSED.

2. NYSED is the sole owner of outputs resulting from the work proposed in this RFP, including, but not limited to, all Brailled transcriptions of operational examinations (both print and computer file formats) and related materials. The contractor shall be prepared to deliver all or part of the items to NYSED, as requested, at any point during the duration of this contract. Materials can be used by the contractor or other parties only with the express written permission of NYSED.
3. All such outputs are to be turned over to NYSED in print and electronic form, as specified by NYSED.

Terms and Conditions

1. All deliverables must be submitted within the timelines specified by NYSED in the RFP.
2. All materials written or revised are to be held strictly confidential and must not be copied, duplicated, disseminated, or discussed unless authorized by NYSED.

Contract Transition

Upon completion or termination of the contract awarded as a result of this RFP, the contractor will use its best efforts to assist NYSED in completing a seamless transition to any successive contractor and/or NYSED. This shall include, but not be limited to, assisting NYSED in developing and implementing a feasible transition plan within thirty (30) days of the expiration or within thirty (30) days of notice of cancellation or termination of the contract.

The contractor agrees to cooperate fully with any successive contractor and NYSED, and refrain from any activity that would interfere with the successful implementation of the transition plan and a seamless transition. The contractor shall provide (a) all items, materials, and equipment owned by NYSED in the contractor's possession, and (b) any information reasonably useful to or requested by NYSED in developing an RFP for a successive contractor, prior to the expiration, cancellation, or termination of the contract.

The contractor will work with NYSED to determine the format for providing information that will optimize the reuse of information by any successive contractor.

Promotion of Products and Services Outside the Contract

If the contractor also provides Braille transcriptions of textbooks or practice tests for use by students in the State of New York, the contractor agrees that, when promoting to customers such textbooks, ancillary materials, and/or practice tests, the contractor will not make any reference to the contractor having been awarded the contract or the contractor's performance of the services for NYSED contemplated by the contract.

Payments and Reports

The value of each contract year, and the total multi-year value of the contract, will be estimated. Payments to the contractor will be rate-based and utilization-driven. The contractor will be paid quarterly for the actual number of Braille pages transcribed and reproduced according to the rates established in the approved (Appendix B) Bid Form Cost Proposal. The prices per page include all costs, except for shipping, which will be F.O.B Destination freight prepaid. NYSED will reimburse the contractor for the actual cost from the common carrier for shipping materials to NYSED, as evidenced by the contractor-submitted shipping invoices. The shipping costs will be paid based upon separate invoices submitted by the contractor to NYSED in accordance with this contract.

Payment to the contractor will be made only in accordance with properly submitted invoices. All invoices submitted for payment must include dates of services as well as an itemized list of activities, which must correspond to Appendix B contained in the executed contract. Invoices must reflect only the deliverables that have been completed and submitted to NYSED. Quarterly payments will be made based upon receipt and approval of deliverables by NYSED in accordance with Payment and Reporting Schedule.

Liquidated Damages

NYSED has specific standards for its exams and expects that all Braille transcriptions provided by the contractor will be completely free of errors. If one or more errors are found in the Braille transcription(s) provided by the contractor that requires NYSED to notify schools of an adjustment in what constitutes an acceptable student response for an exam question, or requires the elimination of an exam question from consideration in scoring, NYSED will reduce by twenty-five percent (25%) the agreed-upon remuneration to the contractor for the Braille transcription and reproduction of that exam form. If the contractor has already received payment for the exam form that contained the error, the deduction will be taken from the next invoice submitted.

Accessibility of Web-Based Information and Applications

The [NYSED web accessibility policy](#) applies to all internal or external web content and functionality whether developed by, maintained by, or offered either by NYSED or through a third-party contractor or open source. This policy ensures that all people with disabilities have an equal opportunity to participate in our benefits, programs, and services through web content.

Any documents, web-based information and applications development, or programming delivered pursuant to the contract or procurement, will comply with New York State Education Department IT Policy NYSED-WEBACC-001, Web Accessibility Policy as such policy may be amended, modified or superseded, which requires that State agency web-based information, including documents and applications, are accessible to persons with disabilities. Documents, web-based information, and applications must conform to NYSED-WEBACC-001 as determined by quality assurance testing. Such quality assurance testing will be conducted by a NYSED employee or contractor, and the results of such testing must be satisfactory to NYSED before web-based information and applications will be considered a qualified deliverable under the contract or procurement.

Subcontracting Limit

Subcontracting will not be allowed for this contract.

Staff Changes

The contractor will maintain continuity of staff throughout the course of the contract. The contractor must notify NYSED promptly of any change to the Project Manager assigned to this project.

Contract Period

NYSED will award one contract pursuant to this RFP. The contract resulting from this RFP will be for a term anticipated to begin September 1, 2022 and to end August 31, 2027.

Electronic Processing of Payments

In accordance with a directive dated January 22, 2010 by the Director of State Operations—Office of Taxpayer Accountability, all State agency contracts, grants, and purchase orders executed after February 28, 2010 shall contain a provision requiring that contractors and grantees accept electronic payments.

2.) Submission

Documents to be submitted with this proposal

This section details the submission document or documents that are expected to be transmitted by the respondent to the State Education Department in response to this RFP. New York State Education Department shall own all materials, processes, and products (software, code, documentation, and other written materials) developed under this contract. Materials prepared under this contract shall be in a form that will be ready for copyright in the name of the New York State Education Department. Any subcontractor is also bound by these terms. The submission will become the basis on which NYSED will judge the respondent's ability to perform the required services as laid out in the RFP.

Project Submission

The proposal submitted in response to this RFP must include the following documents:

1. Submission Documents—Two (2) copies (one bearing an original signature)
2. Technical Proposal— Five (5) copies (one bearing an original signature) of the completed Technical Proposal must be mailed in a separate envelope labeled **RFP #22-006-Technical Proposal-Do Not Open**

Each bidder submitting a proposal for this RFP should submit with the Technical Proposal, three (3) copies of each of the sample test pages transcribed by the bidder into Braille, under the rules of the Unified English Braille (UEB). The sample test pages (found as a separate attachment: [5.\) Attachments - Attachment A: Sample Test Pages](#)) consist of two (2) pages each of Mathematics, Science, and Social Studies.

3. Cost Proposal—Two (2) copies (one signed original)
4. Microsoft Office (CD or Flash Drive format)—One (1) electronic version with the submission, technical, and cost proposals. Please place the CD-ROM or Flash Drive in a separate envelope. Please note: the cost proposal should be submitted in Excel format, using the template provided by NYSED.

All documents requiring an original signature may use a form of an electronic signature listed below:

1. The following forms of e-signature are **acceptable**:
 - a. handwritten signatures on scanned documents
 - b. e-signatures that have been authenticated by a third-party digital software, such as DocuSign and Adobe Sign
 - c. stored copies of the images of signatures that are placed on a document by copying and pasting or otherwise inserting them into the documents.
2. **Unacceptable** forms of e-signatures include:
 - a. a typed name, including a signature created by selecting a script or calligraphy font for the typed name of the person "signing."
3. To identify the signer and indicate that the signer understood and intended to agree to the terms of the signed document, the signer will sign beside and include with the complete application the following attestation: **"I agree, and it is my intent, to sign this document by [describe the signature solution used] and by electronically submitting this document to the New York State Education Department. I understand that my signing**

RFP# 22-006

and submitting this document is the legal equivalent of having placed my handwritten signature on the submitted document and this attestation. I understand and agree that by electronically signing and submitting this document I am affirming to the truth of the information contained therein."

The proposal must be received by **October 21, 2021 by 3:00 PM** at NYSED in Albany, New York.

Proposals should be prepared simply and economically, avoiding the use of elaborate promotional materials beyond those enough to provide complete presentation. If supplemental materials are a necessary part of the proposal, the bidder should reference these materials in the technical proposal, identifying the document(s) and citing the appropriate section and page(s) to be reviewed.

The proposal should communicate an understanding of the deliverables of the RFP, describe how the tasks are to be performed and identify potential problems in the conduct of the deliverables and methods to identify and solve such problems.

Bidders should specify all details and dates required to evaluate the technical proposal and should limit aspects of the project plan that are to be determined only after the award of a contract. No optional deliverables to be provided only at an additional cost should be included and will not be considered in the evaluation of the technical proposal. Contractual terms, conditions and assumptions are inappropriate for inclusion in the proposal.

Any proprietary material considered confidential by the bidder will specifically be so identified, and the basis for such confidentiality will be specifically set forth in the proposal by submitting the form "Request for Exemption from Disclosure Pursuant to the Freedom of Information Law," located in 6) Submission Documents.

Technical Proposal

Technical Proposal

Total (70 Points)

The original plus four copies of the completed Technical Proposal must be mailed in a separate envelope labeled **RFP #22-006-Technical Proposal-Do Not Open**.

The Technical Proposal should demonstrate the bidder's ability to provide Braille transcriptions and reproductions for NYSED's secure standardized large-scale assessments:

- within the timeframes specified in this RFP, and
- that conform to the standards specified and are without deviation from the style or format indicated in the requirements for the project

Please refer to section "[Description of Services to Be Performed](#)" for a complete description of what will be required in the contract resulting from this RFP.

RFP# 22-006

The Technical Proposal should include a description as clearly, specifically, and completely as possible of each of the following RFP requirements:

1. Project Work Plan	(10 Points)
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Please refer to section “[Project Work Plan and Deliverables](#)” for a complete description of what will be required in the contract resulting from this RFP.

Each technical proposal should include a comprehensive five-year detailed work plan for the bidder’s proposed technical and organizational approach used in developing Braille transcriptions from regular English print and Braille reproductions for exams and exam-related materials (such as: scoring keys, rating guides, and reference tables) in the content areas of: English language arts, Mathematics, Science, and Social Studies.

The work plan should describe how the bidder plans to complete and deliver Braille transcriptions and reproductions to NYSED in accordance with:

- NYSED’s [Timeline for Required Services](#)
- [Braille Transcriptions Completed for the 2018-19 School Year](#)
- [Specifications for Contractor Transcribing Braille](#), and
- [Braille Authority of North America \(BANA\) code](#)

2. Organizational Capacity/Staffing Plan	(Total 20 Points)
-------------------------------------------------	--------------------------

Please refer to the RFP section “[Organizational Capacity/Staffing Plan](#)” for a complete description of what will be required in the contract resulting from this RFP.

The appropriateness of the qualifications of key personnel and the adequacy of the resources of the bidding vendor will be reviewed in this section to determine its ability to implement the activities described in the proposal.

2.a Staffing Plan	(10 Points)
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Please refer to the RFP section “[Organizational Capacity/Staffing Plan](#)” for a complete description of what will be required in the contract resulting from this RFP.

The Technical Proposal should include job descriptions and resumes of key personnel that reflect experience and/or training in the area of transcribing Braille. The vendor may not utilize volunteers to conduct the deliverables outlined in this RFP. To substantiate the bidder’s ability to accomplish the described tasks, the bidder should provide in the Technical Proposal, a Staffing Plan with FTEs that specifically demonstrate that personnel experience and expertise are congruent with staff assignments for all aspects of the tasks outlined in the RFP.

At a minimum, the Technical Proposal should include an organizational diagram describing the bidder’s proposed key staff, including the Literary and Mathematics Reviewers, by name, their resumes, and a detailed description of responsibilities, qualifications, and the number of hours per week spent exclusively on the NYSED project.

The proposal should provide enough detail to enable reviewers to evaluate the appropriateness of the proposed staff, describing how different staff members and divisions will interact with one another and

RFP# 22-006

NYSED staff. The proposal should describe how the bidder will ensure that the work of the contract has the necessary priority within the organization to be completed with the highest quality and on time.

2.b. Project Manager	(5 Points)
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Please refer to the RFP section “[Organizational Capacity/Staffing Plan](#)” for a complete description of what will be required in the contract resulting from this RFP.

The bidder should identify a Project Manager to be the central point of contact with NYSED for the duration of this contract. The vendor is expected to demonstrate that the individual identified as a Project Manager has sufficient authority and experience across departments within the organization to ensure that the work of the contract has the necessary priority to be completed with the highest quality and on time.

It is preferred that the Project Manager possesses the following: a minimum of a Bachelor’s degree; a project management certification through the Project Management Institute (PMI) as a Project Management Professional (PMP), or other recognized program management certification (evidence of the certification should be included). The Project Manager should have at least three years’ experience managing large-scale assessment projects from conception through completion, following industry-recognized project-management methodology. Previous experience in projects involving large-scale assessment including high school equivalency, or elementary-, intermediate-, and/or secondary-level testing is expected. The Project Manager is expected to have strong organizational and managerial skills and a demonstrated knowledge of testing procedures.

2.c. Literary and Mathematics Reviewers	(5 Points)
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Please refer to the RFP section “[Organizational Capacity/Staffing Plan](#)” for a complete description of what will be required in the contract resulting from this RFP.

The bidder should include in the staffing plan, a description of how the following reviewers will be continuously available throughout the contract term:

- a literary reviewer who is certified by NLS in literary Braille proofreading under the rules of UEB (if applicable, an NLS certificate should be included), and
- a mathematics reviewer who is certified by NLS in mathematics Braille proofreading under the rules of Nemeth Code for Mathematics and Scientific Notation with at least a general certification in UEB (if applicable, an NLS certificate should be included)

3. Exam Security	(10 Points)
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The Technical Proposal should describe the bidding agency’s infrastructure and technological resources that will enable the bidder to successfully complete project deliverables.

Please refer to the RFP section “Exam Security” for a complete description of what will be required in the contract resulting from this RFP.

The Technical Proposal should describe all aspects of the bidder’s security procedures handling large-scale testing products consistent with the requirements set forth in the “[Security Guidelines for New York State Assessment Program](#)” section of this RFP. These security guidelines were developed

RFP# 22-006

by NYSED to set forth the management of secure exam materials and should be reflected in the bidder's procedures.

At a minimum, the proposal should describe in detail the bidder's facilities and security procedures including:

- the exact location where transcriptions will take place (facilities, infrastructure, and security protocols, including specifics about each stage of the test development and administration process)
- storage and retrieval processes
- surveillance
- procedures for the secure shipment of documents and electronic files
- plans for maintaining the security of all tests during and after operational testing and scoring

4. Quality of Braille Transcriptions	(Total 30 Points)
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Please refer to section "[Project Work Plan and Deliverables](#)" for a complete description of what will be required in the contract resulting from this RFP.

Proposals should include, for NYSED's thorough examination, three copies of the vendor's Braille transcriptions of the six (6) regular English print sample test pages, two each of Mathematics, Science, and Social Studies test pages found as a separate PDF file identified as: "[Attachment A: Sample Test Pages](#)." Please see "[Section 5.\) Attachments](#)" for additional information.

The bidder's sample pages Braille transcriptions should demonstrate the bidder's ability to:

- prepare materials without deviation from the style or format indicated in the requirements for the project and in accordance with the specifications set forth in the [Specifications for Contractor Transcribing Braille](#)
- process Braille text according to the [Braille Authority of North America \(BANA\) code](#), and
- utilize the Nemeth Code for mathematics and other technical subject instructional material

4.a Quality of Braille Transcriptions of Mathematics	(10 Points)
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The transcriptions of Mathematics sample test pages should be transcribed as follows:

- for the subject of Mathematics
- under the rules of UEB and Nemeth Code
- accurately
- to reflect NYSED's formatting standards (as indicated in the sample test pages)
- with quality that meets the specifications of NYSED as rated by a NYSED Braille reviewer



4.b Quality of Braille Transcriptions of Science	(10 Points)
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The transcriptions of Science sample test pages should be transcribed as follows:

- for the subject of Earth Science
- under the rules of UEB
- accurately
- to reflect NYSED’s formatting standards (as indicated in the sample test pages)
- with quality that meets the specifications of NYSED as rated by a NYSED Braille reviewer

4.c Quality of Braille Transcriptions of Social Studies	(10 Points)
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The transcriptions of Social Studies sample test pages should be transcribed as follows:

- for the subject of Global History and Geography
- under the rules of UEB
- accurately
- to reflect NYSED’s formatting standards (as indicated in the sample test pages)
- with quality that meets the specifications of NYSED as rated by a NYSED Braille reviewer

Cost Proposal

Cost Proposal	(Total 30 points)
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The completed Cost Proposal should be provided as a separate Excel file attachment saved on a CD or flash drive, using the Excel file template provided by NYSED with the RFP, as well as a printed copy of both sheets of the Excel file cost proposal, and mailed with the printed copies of the technical proposal and vendor’s reproductions of its Braille transcription of the [Attachment A: Sample Test Pages](#). In the Cost Proposal, the bidder should fill in each of the yellow highlighted cells on the RFP 22-006-Appendix B sheet. The bidder should make no entries on the Weighted Average sheet. The printed copy of the cost proposal should be submitted in an envelope marked **22-006-Cost Proposal-Do Not Open** and must include the following:

1. Bid Form Cost Proposal—Appendix B - Years 1–5 **Signature Required**

The cost proposal must be submitted using whole dollar prices.

The Financial Criteria portion of the RFP will be scored based upon:

1. **The Weighted 5-Year Average Price per Page of Braille Transcribed** (15 points)
2. **The Weighted 5-Year Average Price per Braille Page Reproduced** (15 points)

3.) Evaluation Criteria and Method of Award

This section begins with the criteria the agency will use to evaluate bids and closes with the “method of award,” or how the contractor will be selected. This will be followed by various terms and conditions that reflect the specific needs of this project as well as New York State contract guidelines and requirements.

Criteria for Evaluating Bids

All eligible proposals received by the deadline will be reviewed using the following criteria and ratings. Applicants must ensure that all components of this application request have been addressed, the required number of copies has been provided, all forms and assurances have been completed, and the original signatures are included as required.

An evaluation committee will complete a review of all proposals submitted. The committee will review each proposal based upon the submitted proposal and the requirements of the RFP only. Bidders should not assume that committee review members will be familiar with the current program or have any previous experience with the bidder. Appropriate description should be included to inform review committee members about the bidder’s qualifications and capacity to perform all required deliverables.

The committee will review each proposal to determine compliance with the requirements described in the RFP. NYSED retains the right to determine whether any deviation from the requirements of this RFP is substantial in nature and may reject in whole or in part all proposals, waive minor irregularities, and conduct discussions with all responsible bidders.

Technical Criteria

Technical Criteria	(Total 70 Points)
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Each proposal received by the deadline will be reviewed and rated on the quality and extent to which the bidder meets the following criteria:

	Technical Score Evaluation	Points
1.	Project Work Plan	10
2.	Organizational Capacity/Staffing Plan	(Total 20 Points)
2.a.	Staffing Plan	10
2.b.	Project Manager	5
2.c.	Literary and Mathematics Reviewers	5
3.	Exam Security	10
4.	Quality of Braille Transcriptions	(Total 30 Points)
4.a.	Quality of Braille Transcriptions of Mathematics	10
4.b.	Quality of Braille Transcriptions of Science	10
4.c.	Quality of Braille Transcriptions of Social Studies	10
	Technical Evaluation Total Points	70

RFP# 22-006
Financial Criteria

Financial Criteria (30% of total score)	Total 30 Points
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- The **Financial Criteria portion** of the proposal represents 30 percent (30%) of the overall score given to each vendor’s Proposal. This calculation of the score for each vendor’s Cost Proposal will be computed by the Contract Administration Unit upon completion of the technical scoring by the technical review panel.
- The Financial Criteria portion of this RFP will be scored based upon the weighted averages of the costs per page of braille transcription and for reproduction of braille pages for all five years in the Bid Form Cost Proposals. For purposes of calculating the weighted average cost score for each vendor, the five-year total for each content area (English, mathematics, science, and social studies) will be divided by 5 and then multiplied by a weighting factor as follows: X 0.48 for English, X 1.16 for Mathematics, X 0.76 for Science, and X 1.60 for Social Studies. The weighting factors that will be applied to compare bidders’ proposed costs are based on the number of braille pages in each content area of [“Braille Transcriptions Completed for the 2018-19 School Year”](#) provided in this RFP.
- The Financial Criteria portion of the RFP will be scored based upon the “Weighted 5-Year Average Price per Page of Braille Transcribed” (actual output of Braille print pages) (15 points) and the “Weighted 5-Year Average Price per Braille Page Reproduced” (reproductions of the Braille print pages) (15 points) as indicated on the Bid Form Cost Proposal (Appendix B). The cost proposed submitted by the vendor should include all costs for providing all services specified in this RFP, except for shipping materials to NYSED.
- The submitted cost proposal will be awarded points pursuant to a formula that awards the highest score of fifteen (15) points to the proposal that reflects the lowest weighted 5-year average price per page of Braille transcribed and fifteen (15) points to the proposal that reflects the lowest weighted 5-year average price per Braille page reproduced averaged across all content areas and contract years. The remaining cost proposals will be awarded points based on a calculation that computes the relative difference of each proposal against the lowest cost proposals submitted.

Cost Evaluation	Points
1. Weighted 5-Year Average Price per Page of Braille Transcribed (actual output of Braille print pages)	15
2. Weighted 5-Year Average Price per Braille Page Reproduced (reproductions of Braille print pages)	15
Cost Evaluation Total Points	30

Costs associated with shipping should not be included in the bidder’s cost proposal. The shipping costs will be paid to the contractor based upon separate invoices submitted by the contractor to NYSED.

- **NYSED reserves the right to request best and final offers. In the event NYSED exercises this right, all responsive bidders will be asked to provide a best and final offer. If NYSED executes this right, the Contract Administration Unit will recalculate the financial score based upon the final offers received.**

Method of Award

The aggregate score of all the criteria listed will be calculated for each proposal received.

The contract issued pursuant to this proposal will be awarded to the contractor whose aggregate technical and cost score is the highest among all the proposals rated. **If NYSED exercises the right to request best and final offers, the contract must be issued to the vendor with the highest aggregate technical and financial score that results from the best and final offer.**

If more than one proposal obtains the highest aggregate score, the contract will be awarded to the contractor in that group of highest aggregate scores whose budget component reflects the lowest overall cost.

NYSED's Reservation of Rights

NYSED reserves the right to: (1) reject any or all proposals received in response to the RFP; (2) withdraw the RFP at any time, at the agency's sole discretion; (3) make an award under the RFP in whole or in part; (4) disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP; (5) seek clarifications of proposals; (6) use proposal information obtained through site visits, management interviews, and the State's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP; (7) prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available; (8) prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments; (9) change any of the scheduled dates; (10) waive any requirements that are not material; (11) negotiate with the successful bidder within the scope of the RFP in the best interests of the state; (12) conduct contract negotiations with the next responsible bidder, should the agency be unsuccessful in negotiating with the selected bidder; (13) utilize any and all ideas submitted in the proposals received; (14) unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 90 days from the bid opening; (15) require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of a bidder's proposal and/or to determine a bidder's compliance with the requirements of the solicitation; (16) request best and final offers.

Post-Selection Procedures

Upon selection, the successful bidder will receive a proposed contract from NYSED. The selected bidder may be given an opportunity to reduce its cost proposal in accordance with the agency's right to negotiate a final best price. The contents of this RFP, any subsequent correspondence during the proposal evaluation period, and such other stipulations as agreed upon may be made a part of the final contract prepared by NYSED. Successful bidders may be subject to audit and should ensure that adequate controls are in place to document the allowable activities and expenditure of State funds.

Debriefing Procedures

In accordance with section 163 of the NY State Finance Law, NYSED, upon request, must provide a debriefing to any unsuccessful bidder regarding the reasons their proposal was not selected for an award.

RFP# 22-006

1. All unsuccessful bidders may request a debriefing within fifteen (15) calendar days of receiving notice from NYSED of non-award. Bidders may request a debriefing by submitting a written email request to the Fiscal Contact person at assessmentrfp@nysed.gov:
2. Upon receipt of a timely written request from the unsuccessful bidder, NYSED will schedule the debriefing to occur within a reasonable time following receipt of the request. Debriefings will be conducted in person, unless NYSED and the bidder mutually agree to utilize other means, including but not limited to telephone, video-conferencing or other types of electronic communication.
3. The debriefing will include: a) the reasons that the proposal submitted by the unsuccessful bidder was not selected for an award; b) the qualitative and quantitative analysis employed by NYSED in assessing the relative merits of the proposals; c) the application of the selection criteria to the unsuccessful bidder's proposal; and d) when the debriefing is held after the final award, the reasons for the selection of the winning proposal. The debriefing will also provide, to the greatest extent practicable, general advice and guidance to the unsuccessful bidder concerning potential ways that their future proposals could be more responsive.

Contract Award Protest Procedures

Bidders who receive a notice of non-award or disqualification may protest the NYSED award decision subject to the following:

1. The protest must be in writing and must contain specific factual and/or legal allegations setting forth the basis on which the protesting party challenges the contract award by NYSED.
2. The protest must be emailed within ten (10) business days of receipt of a debriefing or disqualification letter. The protest letter must be emailed to assessmentrfp@nysed.gov
3. The NYSED Contract Administration Unit (CAU) will convene a review team that will include at least one staff member from each of NYSED's Office of Counsel, CAU, and the Program Office. The review team will review and consider the merits of the protest and will decide whether the protest is approved or denied. Counsel's Office will provide the bidder with written notification of the review team's decision within seven (7) business days of the receipt of the protest. The original protest and decision will be filed with OSC when the contract procurement record is submitted for approval and CAU will advise OSC that a protest was filed.
4. The NYSED Contract Administration Unit (CAU) may summarily deny a protest that fails to contain specific factual or legal allegations, or where the protest only raises issues of law that have already been decided by the courts.

Vendor Responsibility

State law requires that the award of state contracts be made to responsible vendors. Before an award is made to a not-for-profit entity, a for-profit entity, a private college or university or a public entity not exempted by the Office of the State Comptroller, NYSED must make an affirmative responsibility determination. The factors to be considered include legal authority to do business in New York State; integrity; capacity – both organizational and financial; and previous performance. Before an award of \$100,000 or greater can be made to a covered entity, the entity will be required to complete and submit a [Vendor Responsibility Questionnaire](#). School districts, Charter Schools, BOCES, public colleges and universities, public libraries, and the Research Foundation for SUNY and CUNY are some of the exempt

RFP# 22-006

entities. A complete list of exempt entities can be viewed at the [Office of the State Comptroller's website](#).

NYSED recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the [VendRep System Instructions](#) or go directly to the [VendRep System on the Office of the State Comptroller's website](#).

Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the [Office of the State Comptroller's Help Desk](#) at 866-370-4672 or 518-408-4672 or by email at ITServiceDesk@osc.ny.gov.

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the [VendRep website](#) or may contact NYSED or the Office of the State Comptroller's Help Desk for a copy of the paper form.

Note: Bidders must acknowledge their method of filing their questionnaire by checking the appropriate box on the Response Sheet for Bids (6.) Submission Documents).

Procurement Lobbying Law

Pursuant to State Finance Law §§139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between the New York State Education Department ("NYSED") and an Offerer/bidder during the procurement process. An Offerer/bidder is restricted from making contacts from the earliest notice of the solicitation through final award and approval of the Procurement Contract by NYSED and, if applicable, Office of the State Comptroller ("restricted period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law §139-j(3)(a). Designated staff, as of the date hereof, is identified below. NYSED employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the Offerer/bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the Offerer/bidder is debarred from obtaining governmental Procurement Contracts. Further information about these requirements can be found at [NYSED's Procurement Lobbying Law Policy Guidelines webpage](#).

Designated Contacts for NYSED
Program Office – **McKenzie Johnson**
Contract Administration Unit – **Lucas Rodriguez**

Consultant Disclosure Legislation

Effective June 19, 2006, new reporting requirements became effective for State contractors, as the result of an amendment to State Finance Law Section 8 and 163. As a result of these changes in law, State contractors will be required to disclose, by employment category, the number of persons employed to provide services under a contract for consulting services, the number of hours worked and the amount paid to the contractor by the State as compensation for work performed by these employees. This will include information on any persons working under any subcontracts with the State contractor.

Chapter 10 of the Laws of 2006 expands the definition of contracts for consulting services to include any contract entered into by a State agency for analysis, evaluation, research, training, data processing,

RFP# 22-006

computer programming, engineering, environmental, health, and mental health services, accounting, auditing, paralegal, legal, or similar services.

To enable compliance with the law, State agencies must include in the Procurement Record submitted to OSC for new consultant contracts, the State Consultant Services Contractor's Planned Employment from Contract Start Date Through the End of the Contract Term (Form A). The completed form must include information for all employees providing service under the contract whether employed by the contractor or a subcontractor. Please note that the form captures the necessary planned employment information ***prospectively from the start date of the contract through the end of the contract term.***

[Form A](#) is available on OSC's website.

Please note that although this form is not required as part of the bid submission, NYSED encourages bidders to include it in their bid submission to expedite contract execution if the bidder is awarded the contract. Note also that only the form listed above is acceptable.

Chapter 10 of the Laws of 2006 mandates that State agencies must now require State contractors to **report annually** on the employment information described above, including work performed by subcontractors. The legislation mandates that the annual employment reports are to be submitted by the contractor to the contracting agency, to OSC and to the Department of Civil Service. State Consultant Services Contractor's Annual Employment Report (Form B) is to be used to report the information for all procurement contracts above \$15,000. Please note that, in contrast to the information to be included on Form A, which is a one-time report of planned employment data for the entire term of a consulting contract on a projected basis, ***Form B will be submitted each year the contract is in effect and will capture historical information, detailing actual employment data for the most recently concluded State fiscal year (April 1 – March 31).***

[Form B](#) is available on OSC's website.

For more information, please visit [OSC Guide to Financial Operations](#).

Public Officer's Law Section 73

All bidders must comply with Public Officer's Law Section 73 (4)(a), as follows:

4. (a) No statewide elected official, state officer or employee, member of the legislature, legislative employee or political party chairman or firm or association of which such person is a member, or corporation, ten per centum or more of the stock of which is owned or controlled directly or indirectly by such person, shall (i) sell any goods or services having a value in excess of twenty-five dollars to any state agency, or (ii) contract for or provide such goods or services with or to any private entity where the power to contract, appoint or retain on behalf of such private entity is exercised, directly or indirectly, by a state agency or officer thereof, unless such goods or services are provided pursuant to an award or contract let after public notice and competitive bidding. This paragraph shall not apply to the publication of resolutions, advertisements or other legal propositions or notices in newspapers designated pursuant to law for such purpose and for which the rates are fixed pursuant to law.

(i) The term "state officer or employee" shall mean:

(i) heads of state departments and their deputies and assistants other than members of the board of regents of the university of the state of New York who receive no compensation or are compensated on a per diem basis;

(ii) officers and employees of statewide elected officials;

RFP# 22-006

(iii) officers and employees of state departments, boards, bureaus, divisions, commissions, councils, or other state agencies other than officers of such boards, commissions or councils who receive no compensation or are compensated on a per diem basis; and

(iv) members or directors of public authorities, other than multistate authorities, public benefit corporations and commissions at least one of whose members is appointed by the governor, who receive compensation other than on a per diem basis, and employees of such authorities, corporations, and commissions.

Review [Public Officer's Law Section 73](#).

NYSED Substitute Form W-9

Any payee/vendor/organization receiving Federal and/or State payments from NYSED must complete the NYSED Substitute Form W-9 if they are not yet registered in the Statewide Financial System centralized vendor file.

The NYS Education Department (NYSED) is using the NYSED Substitute Form W-9 to obtain certification of a vendor's Tax Identification Number in order to facilitate a vendor's registration with the SFS centralized vendor file and to ensure accuracy of information contained therein. We ask for the information on the NYSED Substitute Form W-9 to carry out the Internal Revenue laws of the United States.

Workers' Compensation Coverage and Debarment

New York State Workers' Compensation Law (WCL) has specific coverage requirements for businesses contracting with New York State and additional requirements which provide for the debarment of vendors that violate certain sections of WCL. The WCL requires and has required since introduction of the law in 1922, the heads of all municipal and State entities to ensure that businesses have appropriate workers' compensation and disability benefits insurance coverage *prior* to issuing any permits or licenses, or *prior* to entering into contracts.

Workers' compensation requirements are covered by WCL Section 57, while disability benefits are covered by WCL Section 220(8). The Workers' Compensation Benefits clause in Appendix A – STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS states that in accordance with Section 142 of the State Finance Law, a contract shall be void and of no force and effect unless the contractor provides and maintains coverage during the life of the contract for the benefit of such employees as are required to be covered by the provisions of the WCL.

Under provisions of the 2007 Workers' Compensation Reform Legislation (WCL Section 141-b), any person, or entity substantially owned by that person: subject to a final assessment of civil fines or penalties, subject to a stop-work order, or convicted of a misdemeanor for violation of Workers' Compensation laws Section 52 or 131, is barred from bidding on, or being awarded, any public work contract or subcontract with the State, any municipal corporation or public body for one year for each violation. The ban is five years for each felony conviction.

PROOF OF COVERAGE REQUIREMENTS

The Workers' Compensation Board has developed several forms to assist State contracting entities in ensuring that businesses have the appropriate workers' compensation and disability insurance coverage as required by Sections 57 and 220(8) of the WCL.

RFP# 22-006

Please note – an ACORD form is not acceptable proof of New York State workers’ compensation or disability benefits insurance coverage.

Proof of Workers’ Compensation Coverage

To comply with coverage provisions of the WCL, the Workers’ Compensation Board requires that a business seeking to enter into a State contract submit appropriate proof of coverage to the State contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate workers’ compensation insurance coverage:

- **Form C-105.2** – Certificate of Workers’ Compensation Insurance issued by private insurance carriers, or **Form U-26.3** issued by the State Insurance Fund; or
- **Form SI-12**– Certificate of Workers’ Compensation Self-Insurance; or **Form GSI-105.2** Certificate of Participation in Workers’ Compensation Group Self-Insurance; or
- **CE-200**– Certificate of Attestation of Exemption from NYS Workers’ Compensation and/or Disability Benefits Coverage.

Proof of Disability Benefits Coverage

To comply with coverage provisions of the WCL regarding disability benefits, the Workers’ Compensation Board requires that a business seeking to enter into a State contract must submit appropriate proof of coverage to the State contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate disability benefits insurance coverage:

- **Form DB-120.1** - Certificate of Disability Benefits Insurance; or
- **Form DB-155**- Certificate of Disability Benefits Self-Insurance; or
- **CE-200**– Certificate of Attestation of Exemption from New York State Workers’ Compensation and/or Disability Benefits Coverage.

For additional information regarding workers’ compensation and disability benefits requirements, please refer to the [New York State Workers’ Compensation Board website](#). Alternatively, questions relating to either workers’ compensation or disability benefits coverage should be directed to the NYS Workers’ Compensation Board, Bureau of Compliance at (518) 486-6307.

Please note that although these forms are not required as part of the bid submissions, NYSED encourages bidders to include them in their bid submission to expedite contract execution if the bidder is awarded the contract. Note also that only the forms listed above are acceptable.

Sales and Compensating Use Tax Certification (Tax Law, Section 5-a)

Tax Law Section 5-a requires contractors awarded State contracts for commodities or services valued at more than \$100,000 over the full term of the contract to certify to the New York State Department of Taxation and Finance (“DTF”) that they are registered to collect New York State and local sales and compensating use taxes, if they made sales delivered by any means to locations within New York State of tangible personal property or taxable services having a cumulative value in excess of \$300,000,

RFP# 22-006

measured over a specific period of time. The registration requirement applies if the contractor made a cumulative total of more than \$300,000 in sales during the four completed sales tax quarters which immediately precede the sales tax quarter in which the certification is made. Sales tax quarters are June – August, September – November, December – February, and March – May. In addition, contractors must certify to DTF that each affiliate and subcontractor of such contractor exceeding such sales threshold during a specified period is registered to collect New York State and local sales and compensating use taxes. Contractors must also certify to the procuring State entity that they filed the certification with the DTF and that it is correct and complete.

The selected bidder must file a properly completed Form ST-220-CA (with NYSED as the Contracting Agency) and Form ST-220-TD (with the DTF). These requirements must be met before a contract may take effect. Further information can be found at the [New York State Department of Taxation and Finance's website](#). Forms are available through these links:

- [ST-220 CA](#)
- [ST-220 TD](#)

Please note that although these forms are not required as part of the bid submissions, NYSED encourages bidders to include them with their bid submissions to expedite contract execution if the bidder is awarded the contract.

4.) Assurances

The State of New York Agreement, Appendix A (Standard Clauses for all New York State Contracts), and Appendix A-1 (Agency-Specific Clauses) **WILL BE INCLUDED** in the contract that results from this RFP. Vendors who are unable to complete or abide by these assurances should not respond to this request.

The documents listed below are included in **Submission Documents**, which must be signed by the Chief Administrative Officer. Please review the terms and conditions. Certain documents will become part of the resulting contract that will be executed between the successful bidder and the NYS Education Department.

1. Non-Collusion Certification
2. MacBride Certification
3. Certification-Omnibus Procurement Act of 1992
4. Certification Regarding Lobbying; Debarment and Suspension; and Drug-Free Workplace Requirements
5. Offerer Disclosure of Prior Non-Responsibility Determinations
6. NYSED Substitute Form W-9 (If bidder is not yet registered in the SFS centralized vendor file.)
7. Iran Divestment Act Certification
8. Sexual Harassment Policy Certification

State of New York Agreement

This AGREEMENT is hereby made by and between the People of the State of New York, acting through Betty A. Rosa, Commissioner of Education of the State of New York, party of the first part, hereinafter referred to as the (STATE) and the public or private agency (CONTRACTOR) identified on the face page hereof.

WITNESSETH:

WHEREAS, the STATE has the authority to regulate and provide funding for the establishment and operation of program services and desires to contract with skilled parties possessing the necessary resources to provide such services; and

WHEREAS, the CONTRACTOR is ready, willing and able to provide such program services and possesses or can make available all necessary qualified personnel, licenses, facilities and expertise to perform or have performed the services required pursuant to the terms of this AGREEMENT;

NOW THEREFORE, in consideration of the promises, responsibilities and covenants herein, the STATE and the CONTRACTOR agree as follows:

I. Conditions of Agreement

A. This AGREEMENT may consist of successive periods (PERIOD), as specified within the AGREEMENT or within a subsequent Modification Agreement(s) (Appendix X). Each additional or superseding PERIOD shall be on the forms specified by the particular State agency and shall be incorporated into this AGREEMENT.

B. Funding for the first PERIOD shall not exceed the funding amount specified on the face page hereof. Funding for each subsequent PERIOD, if any, shall not exceed the amount specified in the appropriate appendix for that PERIOD.

C. This AGREEMENT incorporates the face pages attached and all of the marked appendices identified on the face page hereof.

D. For each succeeding PERIOD of this AGREEMENT, the parties shall prepare new appendices, to the extent that any require modification, and a Modification Agreement (The attached Appendix X is the blank form to be used). Any terms of this AGREEMENT not modified shall remain in effect for each PERIOD of the AGREEMENT.

To modify the AGREEMENT within an existing PERIOD, the parties shall revise or complete the appropriate appendix form(s). Any change in the amount of consideration to be paid, or change in the term, is subject to the approval of the Office of the State Comptroller. Any other modifications shall be processed in accordance with agency guidelines as stated in Appendix A1.

E. The CONTRACTOR shall perform all services to the satisfaction of the STATE. The CONTRACTOR shall provide services and meet the program objectives summarized in the Program Workplan (Appendix D) in accordance with: provisions of the AGREEMENT; relevant laws, rules and regulations, administrative and fiscal guidelines; and where applicable, operating certificates for facilities or licenses for an activity or program.

F. If the CONTRACTOR enters into subcontracts for the performance of work pursuant to this AGREEMENT, the CONTRACTOR shall take full responsibility for the acts and omissions of its subcontractors. Nothing in the subcontract shall impair the rights of the STATE under this AGREEMENT. No contractual relationship shall be deemed to exist between the subcontractor and the STATE.

G. Appendix A (Standard Clauses as required by the Attorney General for all State contracts) takes precedence over all other parts of the AGREEMENT.

II. Payment and Reporting

A. The CONTRACTOR, to be eligible for payment, shall submit to the STATE's designated payment office (identified in Appendix C) any appropriate documentation as required by the Payment and Reporting Schedule (Appendix C) and by agency fiscal guidelines, in a manner acceptable to the STATE.

B. The STATE shall make payments and any reconciliations in accordance with the Payment and Reporting Schedule (Appendix C). The STATE shall pay the CONTRACTOR, in consideration of contract services for a given PERIOD, a sum not to exceed the amount noted on the face page hereof or in the respective Appendix designating the payment amount for that given

RFP# 22-006

PERIOD. This sum shall not duplicate reimbursement from other sources for CONTRACTOR costs and services provided pursuant to this AGREEMENT.

C. The CONTRACTOR shall meet the audit requirements specified by the STATE.

III. Terminations

A. This AGREEMENT may be terminated at any time upon mutual written consent of the STATE and the CONTRACTOR.

B. The STATE may terminate the AGREEMENT immediately, upon written notice of termination to the CONTRACTOR, if the CONTRACTOR fails to comply with the terms and conditions of this AGREEMENT and/or with any laws, rules, regulations, policies or procedures affecting this AGREEMENT.

C. The STATE may also terminate this AGREEMENT for any reason in accordance with provisions set forth in Appendix A1.

D. Written notice of termination, where required, shall be sent by personal messenger service or by certified mail, return receipt requested. The termination shall be effective in accordance with the terms of the notice.

E. Upon receipt of notice of termination, the CONTRACTOR agrees to cancel, prior to the effective date of any prospective termination, as many outstanding obligations as possible, and agrees not to incur any new obligations after receipt of the notice without approval by the STATE.

F. The STATE shall be responsible for payment on claims pursuant to services provided and costs incurred pursuant to terms of the AGREEMENT. In no event shall the STATE be liable for expenses and obligations arising from the program(s) in this AGREEMENT after the termination date.

IV. Indemnification

A. The CONTRACTOR shall be solely responsible and answerable in damages for any and all accidents and/or injuries to persons (including death) or property arising out of or related to the services to be rendered by the CONTRACTOR or its subcontractors pursuant to this AGREEMENT. The CONTRACTOR shall indemnify and hold harmless the STATE and its officers and employees from claims, suits, actions, damages and costs of every nature arising out of the provision of services pursuant to this AGREEMENT.

B. The CONTRACTOR is an independent contractor and may neither hold itself out nor claim to be an officer, employee or subdivision of the STATE nor make any claim, demand or application to or for any right based upon any different status.

V. Property

Any equipment, furniture, supplies or other property purchased pursuant to this AGREEMENT is deemed to be the property of the STATE except as may otherwise be governed by Federal or State laws, rules or regulations, or as stated in Appendix A1.

VI. Safeguards for Services and Confidentiality

A. Services performed pursuant to this AGREEMENT are secular in nature and shall be performed in a manner that does not discriminate on the basis of religious belief or promote or discourage adherence to religion in general or particular religious beliefs.

B. Funds provided pursuant to this AGREEMENT shall not be used for any partisan political activity, or for activities that may influence legislation or the election or defeat of any candidate for public office.

C. Information relating to individuals who may receive services pursuant to this AGREEMENT shall be maintained and used only for the purposes intended under the contract and in conformity with applicable provisions of laws and regulations, or specified in Appendix A1.

Appendix A: Standard Clauses for NYS Contracts

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "the contract" or "this contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State, whether a contractor, licensor, licensee, lessor, lessee or any other party):

1. EXECUTORY CLAUSE. In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

2. NON-ASSIGNMENT CLAUSE. In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the State's previous written consent, and attempts to do so are null and void. Notwithstanding the foregoing, such prior written consent of an assignment of a contract let pursuant to Article XI of the State Finance Law may be waived at the discretion of the contracting agency and with the concurrence of the State Comptroller where the original contract was subject to the State Comptroller's approval, where the assignment is due to a reorganization, merger or consolidation of the Contractor's business entity or enterprise. The State retains its right to approve an assignment and to require that any Contractor demonstrate its responsibility to do business with the State. The Contractor may, however, assign its right to receive payments without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

3. COMPTROLLER'S APPROVAL. In accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds \$50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$25,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller's approval of contracts let by the Office of General Services is required when such contracts exceed \$85,000 (State Finance Law § 163.6-a). However, such pre-approval shall not be required for any contract established as a centralized contract through the Office of General Services or for a purchase order or other transaction issued under such centralized contract.

4. WORKERS' COMPENSATION BENEFITS. In accordance with Section 142 of the State Finance Law, this contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

5. NON-DISCRIMINATION REQUIREMENTS. To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory

and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment, nor subject any individual to harassment, because of age, race, creed, color, national origin, sexual orientation, gender identity or expression, military status, sex, disability, predisposing genetic characteristics, familial status, marital status, or domestic violence victim status or because the individual has opposed any practices forbidden under the Human Rights Law or has filed a complaint, testified, or assisted in any proceeding under the Human Rights Law. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

6. WAGE AND HOURS PROVISIONS. If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of any State approved sums due and owing for work done upon the project.

7. NON-COLLUSIVE BIDDING CERTIFICATION. In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a non-collusive bidding certification on Contractor's behalf.

8. INTERNATIONAL BOYCOTT PROHIBITION. In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds \$5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2 NYCRR § 105.4).

9. SET-OFF RIGHTS. The State shall have all of its common law, equitable and statutory rights of set-off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of set-off any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. The State shall exercise its set-off rights in accordance with normal State practices including, in cases of set-off pursuant to an audit, the finalization of such audit by the State agency, its representatives, or the State Comptroller.

10. RECORDS. The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, the "Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION. (a) Identification Number(s). Every invoice or New York State Claim for Payment submitted to a New York State agency by a payee, for payment for the sale of goods or services

or for transactions (e.g., leases, easements, licenses, etc.) related to real or personal property must include the payee's identification number. The number is any or all of the following: (i) the payee's Federal employer identification number, (ii) the payee's Federal social security number, and/or (iii) the payee's Vendor Identification Number assigned by the Statewide Financial System. Failure to include such number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or Claim for Payment, must give the reason or reasons why the payee does not have such number or numbers.

(b) Privacy Notification. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law. (2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in the Statewide Financial System by the Vendor Management Unit within the Bureau of State Expenditures, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN. In accordance with Section 312 of the Executive Law and 5 NYCRR Part 143, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then the following shall apply and by signing this agreement the Contractor certifies and affirms that it is Contractor's equal employment opportunity policy that:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment,

employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of "a," "b," and "c" above, in every subcontract over \$25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this clause. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Department of Economic Development's Division of Minority and Women's Business Development pertaining hereto.

13. CONFLICTING TERMS. In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

14. GOVERNING LAW. This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

15. LATE PAYMENT. Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.

16. NO ARBITRATION. Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

17. SERVICE OF PROCESS. In addition to the methods of service allowed by the State Civil Practice Law & Rules

("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

18. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS. The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of Section 165 of the State Finance Law, (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in § 165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES. In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

20. OMNIBUS PROCUREMENT ACT OF 1992. It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development
Division for Small Business
Albany, New York 12245
Telephone: 518-292-5100
Fax: 518-292-5884
email: opa@esd.ny.gov

A directory of certified minority- and women-owned business enterprises is available from:

NYS Department of Economic Development
Division of Minority and Women's Business Development
633 Third Avenue
New York, NY 10017
212-803-2414
email: mwbecertification@esd.ny.gov
[NYS M/WBE Directory](#)

The Omnibus Procurement Act of 1992 (Chapter 844 of the Laws of 1992, codified in State Finance Law § 139-i and Public Authorities Law § 2879(3)(n)-(p)) requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

(a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority- and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;

(b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;

(c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and

(d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

21. RECIPROCITY AND SANCTIONS PROVISIONS.

Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively, codified in State Finance Law § 165(6) and Public Authorities Law § 2879(5)) require that they be denied contracts which they would otherwise obtain. NOTE: As of October 2019, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii.

22. COMPLIANCE WITH BREACH NOTIFICATION AND DATA SECURITY LAWS.

Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law § 899-aa and State Technology Law § 208) and commencing March 21, 2020 shall also comply with General Business Law § 899-bb.

23. COMPLIANCE WITH CONSULTANT DISCLOSURE LAW.

If this is a contract for consulting services, defined for purposes of this requirement to include analysis, evaluation, research, training, data processing, computer programming, engineering, environmental, health, and mental health services, accounting, auditing, paralegal, legal or similar services, then, in accordance with Section 163 (4)(g) of the State Finance Law (as amended by Chapter 10 of the Laws of 2006), the Contractor shall timely, accurately and properly comply with the requirement to submit an annual employment report for the contract to the agency that awarded the contract, the Department of Civil Service and the State Comptroller.

24. PROCUREMENT LOBBYING.

To the extent this agreement is a "procurement contract" as defined by State Finance Law §§ 139-j and 139-k, by signing this agreement the contractor certifies and affirms that all disclosures made in accordance with State Finance Law §§ 139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, the State may terminate the agreement by providing written notification to the Contractor in accordance with the terms of the agreement.

25. CERTIFICATION OF REGISTRATION TO COLLECT SALES AND COMPENSATING USE TAX BY CERTAIN STATE CONTRACTORS, AFFILIATES AND SUBCONTRACTORS.

To the extent this agreement is a contract as defined by Tax Law § 5-a, if the contractor fails to make the certification required by Tax Law § 5-a or if during the term of the contract, the Department of Taxation and Finance or the covered agency, as defined by Tax Law § 5-a, discovers that the certification, made under penalty of perjury, is false, then such failure to file or false certification shall be a material breach of this contract and this contract may be terminated, by providing written notification to the Contractor in accordance with the terms of the agreement, if the covered agency determines that such action is in the best interest of the State.

26. IRAN DIVESTMENT ACT. By entering into this Agreement, Contractor certifies in accordance with State Finance Law § 165-a that it is not on the "Entities Determined to be Non-Responsive Bidders/Offerers pursuant to the New York State Iran Divestment Act of 2012" ("[Prohibited Entities List](#)").

Contractor further certifies that it will not utilize on this Contract any subcontractor that is identified on the Prohibited Entities List. Contractor agrees that should it seek to renew or extend this Contract; it must provide the same certification at the time the Contract is renewed or extended. Contractor also agrees that any proposed Assignee of this Contract will be required to certify that it is not on the Prohibited Entities List before the contract assignment will be approved by the State.

During the term of the Contract, should the state agency receive information that a person (as defined in State Finance Law § 165-a) is in violation of the above-referenced certifications, the state agency will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then the state agency shall take such action as may be appropriate and provided for by law, rule, or contract, including,

but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default.

The state agency reserves the right to reject any bid, request for assignment, renewal or extension for an entity that appears on the Prohibited Entities List prior to the award, assignment, renewal or extension of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award.

27. ADMISSIBILITY OF REPRODUCTION OF CONTRACT. Notwithstanding the best evidence rule or any other legal principle or rule of evidence to the contrary, the Contractor acknowledges and agrees that it waives any and all objections to the admissibility into evidence at any court proceeding or to the use at any examination before trial of an electronic reproduction of this contract, in the form approved by the State Comptroller, if such approval was required, regardless of whether the original of said contract is in existence.

(October 2019)

APPENDIX A-1
AGENCY-SPECIFIC CLAUSES

Payment and Reporting

- A. In the event that Contractor shall receive, from any source whatsoever, sums the payment of which is in consideration for the same costs and services provided to the State, the monetary obligation of the State hereunder shall be reduced by an equivalent amount provided, however, that nothing contained herein shall require such reimbursement where additional similar services are provided and no duplicative payments are received.
- B. For each individual for whom costs are claimed under this agreement, the contractor warrants that the individual has been classified as an employee or as an independent contractor in accordance with 2 NYCRR 315 and all applicable laws including, but not limited to, the Internal Revenue Code, the New York Retirement and Social Security Law, the New York Education Law, the New York Labor Law, and the New York Tax Law. Furthermore, the contractor warrants that all project funds allocated to the proposed budget for Employee Benefits, represent costs for employees of the contractor only and that such funds will not be expended on any individual classified as an independent contractor.

Terminations

- A. The State may terminate this Agreement without cause by thirty (30) days prior written notice. In the event of such termination, the parties will adjust the accounts due and the Contractor will undertake no additional expenditures not already required. Upon any such termination, the parties shall endeavor in an orderly manner to wind down activities hereunder.
- B. SED reserves the right to terminate this Agreement in the event it is found that the certification by the Contractor in accordance with New York State Finance Law Section 139-k was intentionally false or intentionally incomplete. Upon such finding, SED may exercise its termination right by providing written notification to the Contractor in accordance with the written notification terms of this Agreement.

Responsibility Provisions

- A. General Responsibility Language
The Contractor shall at all times during the Contract term remain responsible. The Contractor agrees, if requested by the Commissioner of Education or his or her designee, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity.
- B. Suspension of Work (for Non-Responsibility)
The Commissioner of Education or his or her designee, in his or her sole discretion, reserves the right to suspend any or all activities under this Contract, at any time, when he or she discovers information that calls into question the responsibility of the Contractor. In the event of such suspension, the Contractor will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Contractor must comply with the terms of the suspension order. Contract activity may resume at such time as the Commissioner of Education or his or her designee issues a written notice authorizing a resumption of performance under the Contract.
- C. Termination (for Non-Responsibility)
Upon written notice to the Contractor, and a reasonable opportunity to be heard with appropriate SED officials or staff, the Contract may be terminated by the Commissioner of Education or his or her designee at the Contractor's expense where the Contractor is determined by the Commissioner of Education or his or her designee to be non-responsible. In such event, the Commissioner or his or her designee may complete the contractual requirements in any manner he or she may deem advisable and pursue available legal or equitable remedies for breach.

Property

- A. The Contractor shall maintain a complete inventory of all realty, equipment and other non-expendable assets including, but not limited to, books, paintings, artifacts, rare coins, antiques and other collectible items purchased, improved or developed

under this agreement. The Contractor shall submit a copy of the inventory in a form identical to or essentially similar to, Exhibit A annexed hereto. The term "non-expendable assets" shall mean for the purposes of this agreement any and all assets which are not consumed during the term of this agreement and which have a cost of One Thousand Dollars (\$1,000) or more.

Inventories for non-expendable assets must be submitted with the final expenditure report. In addition to or as part of whatever rights the State may have with respect to the inspection of the Contractor, the State shall have the right to inspect the inventory without notice to the Contractor.

The Contractor shall not at any time sell, trade, convey or otherwise dispose of any non-expendable assets having a market value in excess of Two Thousand Dollars (\$2,000) at the time of the desired disposition without the express permission of the State. The Contractor may seek permission in writing by certified mail to the State.

The Contractor shall not at any time use or allow to be used any non-expendable assets in a manner inconsistent with the purposes of this agreement.

- B. If the Contractor wishes to continue to use any of the non-expendable assets purchased with the funds available under this agreement upon the termination of this agreement, it shall request permission from the State in writing for such continued use within twenty-five (25) days of the termination of this agreement. The Contractor's request shall itemize the non-expendable assets for which continued use is sought. The State may accept, reject or accept in part such request. If the request for continued use is allowed to any degree, it shall be conditioned upon the fact that said equipment shall continue to be used in accordance with the purposes of this agreement.

If after the State grants permission to the Contractor for "continued use" as set forth above the non-expendable assets are not used in accordance with the purposes of this agreement, the State in its discretion may elect to take title to such assets and may assert its right to possession upon thirty (30) days prior written notice by certified mail to the Contractor. The State upon obtaining such non-expendable assets may arrange for their further use in the public interest as it in its discretion may decide.

- C. Upon termination of this agreement, the State in its discretion may elect to take title and may assert its right to possession of any non-expendable assets upon thirty (30) days prior written notice by certified mail to the Contractor. The State's option to elect to take title shall be triggered by the termination of this agreement or by the State's rejection of continued use of non-expendable assets by the Contractor as set forth herein. The State upon obtaining such non-expendable assets may arrange for their further use in the public interest as it in its discretion may decide.
- D. The terms and conditions set forth herein regarding non-expendable assets shall survive the expiration or termination, for whatever reason, of this agreement.

Safeguards for Services and Confidentiality

- A. Any copyrightable work produced pursuant to said agreement shall be the sole and exclusive property of the New York State Education Department. The material prepared under the terms of this agreement by the Contractor shall be prepared by the Contractor in a form so that it will be ready for copyright in the name of the New York State Education Department. Should the Contractor use the services of consultants or other organizations or individuals who are not regular employees of the Contractor, the Contractor and such organization or individual shall, prior to the performance of any work pursuant to this agreement, enter into a written agreement, duly executed, which shall set forth the services to be provided by such organization or individual and the consideration therefor. Such agreement shall provide that any copyrightable work produced pursuant to said agreement shall be the sole and exclusive property of the New York State Education Department and that such work shall be prepared in a form ready for copyright by the New York State Education Department. A copy of such agreement shall be provided to the State.
- B. Required Web Accessibility of Delivered Documents and Applications. If applicable, all documentation, applications development, or programming delivered pursuant to the contract or procurement, will comply with New York State Education Department IT Policy NYSED-WEBACC-001, Web Accessibility Policy, which requires that documents, web-

based information and applications are accessible to persons with disabilities. All delivered documentation and applications must conform to NYSED-WEBACC-001 as determined by quality assurance testing. Such quality assurance testing will be conducted by NYSED employee or contractor and the results of such testing must be satisfactory to NYSED before documents and applications will be considered a qualified deliverable under the contract or procurement.

- C. All reports of research, studies, publications, workshops, announcements, and other activities funded as a result of this proposal will acknowledge the support provided by the State of New York.
- D. This agreement cannot be modified, amended, or otherwise changed except by a writing signed by all parties to this contract.
- E. No failure to assert any rights or remedies available to the State under this agreement shall be considered a waiver of such right or remedy or any other right or remedy unless such waiver is contained in a writing signed by the party alleged to have waived its right or remedy.
- F. Expenses for travel, lodging, and subsistence shall be reimbursed at the per diem rate in effect at the time for New York State Management/Confidential employees.
- G. No fees shall be charged by the Contractor for training provided under this agreement.
- H. Partisan Political Activity and Lobbying. Funds provided pursuant to this Agreement shall not be used for any partisan political activity or for activities that may influence legislation or the election or defeat of any candidate for public office.
- I. Nothing herein shall require the State to adopt the curriculum developed pursuant to this agreement.
- J. This agreement, including all appendices, is, upon signature of the parties and the approval of the Attorney General and the State Comptroller, a legally enforceable contract. Therefore, a signature on behalf of the Contractor will bind the Contractor to all the terms and conditions stated therein.

The parties to this agreement intend the writing to be the final, complete, and exclusive expression of all the terms of their agreement.

Certifications

- A. Contractor certifies that it has met the disclosure requirements of State Finance Law Section 139-k and that all information provided to the State Education Department with respect to State Finance Law Section 139-k is complete, true and accurate.
- B. Contractor certifies that it has not knowingly and willfully violated the prohibitions against impermissible contacts found in State Finance Law Section 139-j.
- C. Contractor certifies that no governmental entity has made a finding of non-responsibility regarding the Contractor in the previous four years.
- D. Contractor certifies that no governmental entity or other governmental agency has terminated or withheld a procurement contract with the Contractor due to the intentional provision of false or incomplete information.
- E. Contractor affirms that it understands and agrees to comply with the procedures of the STATE relative to permissible contacts as required by State Finance Law Section 139-j (3) and Section 139-j (6)(b).
- F. Contractor certifies that it is in compliance with NYS Public Officers Law, including but not limited to, Section 73(4)(a).

Notices

Any written notice or delivery under any provision of this AGREEMENT shall be deemed to have been properly made if

sent by certified mail, return receipt requested to the address(es) set forth in this Agreement, except as such address(es) may be changed by notice in writing. Notice shall be considered to have been provided as of the date of receipt of the notice by the receiving party.

Miscellaneous

- A. Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208). Contractor shall be liable for the costs associated with such breach if caused by Contractor’s negligent or willful acts or omissions, or the negligent or willful acts or omissions of Contractor’s agents, officers, employees or subcontractors.
- B. If required by the Office of State Comptroller (“OSC”) Bulletin G-226 and State Finance Law Section 8 and 163, Contractor agrees to submit an initial planned employment data report on Form A and an annual employment report on Form B. State will furnish Form A and Form B to Contractor if required.
- C. The initial planned employment report must be submitted at the time of approval of this Agreement. The annual employment report on Form B is due by May 15th of each year and covers actual employment data performed during the prior period of April 1st to March 31st. Copies of the report will be submitted to the NYS Education Department, OSC and the NYS Department of Civil Service at the addresses below.

By mail: NYS Office of the State Comptroller
Bureau of Contracts
110 State Street, 11th Floor
Albany, NY 12236
Attn: Consultant Reporting

By fax: (518) 474-8030 or (518) 473-8808

Reports to DCS are to be transmitted as follows:

By mail: NYS Department of Civil Service
Office of Counsel
Alfred E. Smith Office Building
Albany, NY 12239

Reports to NYSED are to be transmitted as follows:

By mail: NYS Education Department
Contract Administration Unit
Room 505 W EB
Albany, NY 12234

By fax: (518) 408-1716

- C. Consultant Staff Changes. If this is a contract for consulting services, Contractor will maintain continuity of the consultant team staff throughout the course of the contract. All changes in staff will be subject to STATE approval. The replacement consultant(s) with comparable skills will be provided at the same or lower hourly rate.
- D. Order of Precedence. In the event of any discrepancy, disagreement, conflict or ambiguity between the various documents, attachments and appendices comprising this contract, they shall be given preference in the following order to resolve any such discrepancy, disagreement, conflict or ambiguity:
 - 1. Appendix A - Standard Clauses for all State Contracts
 - 2. State of New York Agreement
 - 3. Appendix A-1 - Agency Specific Clauses

4. Appendix X - Sample Modification Agreement Form (where applicable)
5. Appendix A-3 - Minority/Women-owned Business Enterprise Requirements (where applicable)
6. Appendix B - Budget
7. Appendix C - Payment and Reporting Schedule
8. Appendix R – Data Privacy Appendix (where applicable)
9. Appendix D - Program Work Plan

Revised 10/13/20

5.) Attachments

Attachment A: Sample Test Pages

Each bidder submitting a Technical Proposal for this RFP should include with the Technical Proposal, three copies of Braille transcriptions of the sample test pages included in “Attachment A” as follows: two pages each for the subjects of Mathematics, Science, and Social Studies. The three copies of the Braille transcriptions of the sample test pages should be submitted in hard copy.

The bidder should download the PDF file containing the six sample test pages (consisting of two pages each of Mathematics, Science, and Social Studies) from NYSED’s website. The six one-page samples to be transcribed into Braille by the bidder may be found as a separate PDF file named Attachment A, posted on the Department’s website alongside this RFP.

Attachment B: Non-Disclosure Agreement

**NON-DISCLOSURE AGREEMENT
New York State Education Department
Office of State Assessment**

Name: _____

Title: _____

Organization: _____

Examination Title(s): _____

Type of work to be performed: _____

Date(s) of work to be performed: _____

The purpose of all New York State assessments is to provide a fair and equitable assessment system that reliably measures the State learning standards. The expert opinions of consultants, educational organizations, and test development companies are vital to guiding our continuing efforts to develop fair, valid, and reliable State assessments that measure what each student knows and can do. Because you will have access to secure and/or confidential materials as part of your participation in the test development process, you also have the responsibility to assist the Office of State Assessment (OSA) in ensuring the security and confidentiality of these materials. Therefore, by signing this agreement, you agree to abide by the following security restrictions and ownership provisions. Please retain a copy of this non-disclosure agreement for your records.

Secure and Confidential Information

I acknowledge that information provided by OSA or developed by me or my organization related to the work described above includes secure and confidential information that is the property of the New York State Education Department ("Department"). I acknowledge that such secure and confidential information includes many items, including but not limited to the following information types:

- a) all oral or written information in draft or final form relating to the development, review, and/or scoring of a New York State Assessment, including operational tests, field tests, and pretests;
- b) all test items or test forms, whether in draft or final form, prior to public release by the Department;
- c) all statistical analyses, whether provided to me by OSA or developed by me or my organization, prior to public release by the Department;
- d) any reports, prior to public release by the Department;
- e) the results of any analyses or studies, whether provided to me by OSA or developed by me or my organization, prior to public release by the Department; and
- f) any other confidential information that has not been made available to the general public by the Department.

By signing this agreement, I agree to maintain and honor the security of test materials and to abide by the following security restrictions:

- 1) I agree not to disclose any secure or confidential materials, including test questions, technical reports, whether in draft or final form, to anyone other than OSA staff or other person(s) participating in the work described above, unless specifically authorized to do so by OSA. I also agree not to disclose such materials to any Department staff other than OSA staff without the prior permission of OSA.

- 2) If I am responsible for supervising other staff or subcontractors, I agree to limit the access and use of secure and confidential materials to only those individuals who have a legitimate need to access such materials in order to perform the work described above.
- 3) I agree to provide appropriate training, guidance, and oversight to any staff or subcontractors under my supervision who may work with secure or confidential materials in order to maintain the security of such materials.
- 4) I agree to follow all guidelines and instructions provided by OSA regarding the transfer of the secure and confidential materials in my possession. Such transfer may include secure electronic transfer using encrypted files, shipment of materials using a carrier with ground-tracking capabilities, and/or the use of locked boxes when shipping. At no time will I transfer or store any secure and confidential materials in a location other a secure area within my organization's facility without the authorization of OSA.
- 5) Upon completion of the work described above, I agree to securely store, destroy, or return all secure and confidential materials provided to or prepared by me, including all copies thereof and all notes prepared by me, in accordance with the instructions given to me by OSA.
- 6) I understand that secure and confidential materials are not to be copied or duplicated in any way, shared with, or discussed with anyone other than OSA staff or other person(s) participating in the work described above, unless specifically authorized to do so by OSA.
- 7) I agree to immediately report to OSA if I learn of or suspect any potential misuse of secure and confidential information.

Ownership and Return of Secure Test Materials

All secure test materials are the property of the Department, including all materials prepared by me during my participation in the work described above. All such materials prepared by me are being commissioned by the Department and shall be works made for hire as defined by the United States Copyright Law. In the event that such materials prepared by me are deemed not to be works made for hire, I hereby assign to the Department any and all right, title, and interest I may have, including but not limited to any copyright, in the work commissioned by the Department.

I, _____, have read the non-disclosure agreement above and agree to abide by the security restrictions and ownership provisions described herein.

Please Print: Signature: _____
 Date: _____
 Name: _____
 Title: _____
 Address: _____
 City: _____ State: _____ Zip: _____
 Telephone:(_____) _____
 E-mail: _____