

REQUEST FOR PROPOSAL (RFP)**RFP # 21-006****NEW YORK STATE EDUCATION DEPARTMENT****Title: Nita M. Lowey 21st Century Community Learning Centers Technical Assistance Resource Center**

The New York State Education Department (NYSED), the grantee of this federal program, administered by its **Office of Student Support Services**, is seeking proposals to establish two **Technical Assistance Resource Centers to support NYSED's monitoring of, technical assistance to, and professional development for 21st Century Community Learning Centers (21st CCLC) subgrantees.**

Service Area:

Part A. Resource Center to serve New York City (NYC) 21st CCLC subgrantees**Part B. Resource Center to serve Rest of State (ROS) 21st CCLC subgrantees**

Bidders can apply for one or both Resource Centers. A bidder who proposes to establish and operate both the New York City and ROS Resource Centers must submit a separate bid for each Center.

Each submission must be clearly labeled with the type of application that is being submitted, either Part A - NYC or Part B – ROS.

The Resource Centers (RCs) will work with the New York State Education Department (NYSED) and each other to ensure consistency of technical assistance and professional development provided to improve the academic, social and emotional outcomes for the students who participate in the programs.

Currently, there are 138 CCLC subgrantees, 77 of which are in NYC. The remaining 61 are located in all other regions of the State. See link and table below.

[21st Century Community Learning Centers - Round 7 Awards](#)

Region	# of Programs
New York City – all boroughs	77
Rest of State excluding the Big 4 Cities of Buffalo, Rochester, Syracuse and Yonkers	45
ROS: Big Four Cities of Buffalo, Rochester, Syracuse & Yonkers	16
Total NYC	77
Total ROS	61
TOTAL	138

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The 138 grantees operate at 370 sites and serve over 60,603 students in grades Pre-K through 12. These numbers will likely change but the distribution between NYC and the rest of the State will be similar, in convening years as NYSED is planning to release a new 21CCLC grant application in the fall or winter of 2021/2022 and a new round of CCLC grantees will then be awarded with an anticipated start date of 7/1/22.

Bidders or subcontractors that are affiliated with, or perform other work for, 21st CCLC subgrantees are not eligible to apply to prevent any conflict of interest or the appearance of a conflict of interest.

If there is an entity that is affiliated with, or performs other work for 21st CCLC subgrantees, but can demonstrate that they have a completely separate organizational structure that is independent from that affiliation, they may be an eligible entity. However, in order to be deemed an eligible entity, the entity would be required to attest that the 21st CCLC Resource Center staff's first and only priority, and work schedule, be entirely dedicated to the work of the Resource Center and not be shared in any way with other duties or responsibilities of the larger organization.

Subcontracting will be limited to thirty percent (30%) of the total contract budget. Subcontracting is defined as non-employee direct personal services and related incidental expenses, including travel.

NYSED will award two contracts pursuant to this RFP. The contracts resulting from this RFP will be for a five (5) year period anticipated to begin October 1, 2021 and to end September 30, 2026.

Bidders are required to comply with NYSED's Minority and Women-Owned Business Enterprises (M/WBE) participation goals for this RFP through one of three methods. Compliance methods are discussed in detail in the Minority/Women-Owned Business Enterprise (M/WBE) Participation Goals section below.

Mandatory Requirements: See Mandatory Requirements section of the RFP.

Components contained in RFP Proposal #21-006 are as follows:

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

Questions regarding the request must be submitted by email to 21crfp@nysed.gov no later than the close of business May 5, 2021. Questions regarding this request should be identified as Program, Fiscal or M/WBE. A Questions and Answers Summary will be posted to [P12 Competitive Procurement Contracts](#) no later than May 19, 2021. The following are the designated contacts for this procurement:

Program Matters
Elizabeth Whipple
Email address
21CRFP@nysed.gov

Fiscal Matters
Adam Kutryb
Email Address
21crfp@nysed.gov

M/WBE Matters
Brian Hackett
Email Address
21crfp@nysed.gov

The following documents should be submitted by email as separate files, as detailed in the Submission section of the RFP, and must be received at NYSED no later than **June 9, 2021 by 3:00 PM Eastern Time:**

1. Submission Documents labeled **[name of bidder] Submission Documents RFP #21-006**
2. Technical Proposal labeled **[name of bidder] Technical Proposal RFP #21-006**
3. Cost Proposal labeled **[name of bidder] Cost Proposal RFP #21-006**
4. M/WBE Documents labeled **[name of bidder] M/WBE Documents RFP #21-006**

The technical, cost, submission and M/WBE proposals should be submitted using Microsoft Office or editable PDF. The email address for all the documentation is cau@nysed.gov.

Bidders are requested to submit their bids electronically. Please see the information below for instructions on submitting an electronic bid.

1. As indicated in the RFP, technical and cost proposal documents should be submitted in Microsoft Office. PDF files that are editable and Optical Character Recognition (OCR) searchable are acceptable. Please do not submit the technical or cost proposal as a scanned PDF.
2. Submission documents requiring a signature must be signed using one of the methods listed below, and may be submitted in as a Microsoft Office, PDF, or JPG document. A scanned PDF is acceptable for these documents.
3. The following forms of e-signatures are acceptable:
 - a. handwritten signatures on faxed or 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
4. 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"
5. 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 or provide by email 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 [name of recipient individual or entity]. I understand that my signing 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."
6. In order to ensure the timely receipt of your bid, please use the subject line "BID SUBMISSION RFP 21-006" - failure to appropriately label your bid or submitting a bid to any email address other than the one identified above may result in the bid not being received by the deadline and considered for award.
7. **Bids received after 3:00 pm Eastern Time on the due date will be disqualified.**

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 Requirements

The eligible bidder must agree to the Mandatory Requirements found below and must submit the Mandatory Requirements Certification Form, as well as the Technical Assistance Center (TAC) Certification Form, both located in 5.) Submission Documents. These required forms must be signed by an authorized person. **Bids that do not comply with the Mandatory Requirements and include both forms will be disqualified.**

1. If there is an entity that is affiliated with, or performs other work for 21st CCLC subgrantees, but can demonstrate that they have a completely separate organizational structure that is independent from that affiliation, they may be an eligible entity. However, in order to be deemed an eligible entity, the entity would be required to attest that the 21st CCLC Resource Center staff's first and only priority, and work schedule, be entirely dedicated to the work of the Resource Center and not be shared in any way with other duties or responsibilities of the larger organization.
2. Sub-contracted service providers whose responsibilities include assisting with the monitoring of subgrantees conducting site monitoring visits (SMVs and writing SMV reports) may not be entities who are affiliated with or offer other services for any 21st CCLC subgrantee, such as local evaluation services, professional development services, etc.

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

For purposes of this procurement, NYS Education Department hereby establishes an overall goal of 30% of the total contract amount for M/WBE participation, 17% for Minority-Owned Business Enterprises ("MBE") participation and 13% for Women-Owned Business Enterprises ("WBE") participation based on the current availability of qualified MBEs and WBEs. All bidders must document good faith efforts to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of this Contract. Minority and Women-Owned Business Enterprise (M/WBE) participation includes any and all services, materials or supplies purchased from New York State certified minority and women-owned firms. Utilization of certified Minority and Women-Owned firms will be applied toward the goals. Bidders can achieve compliance with NYSED's Minority and Women-Owned Business Enterprise goals as described below.

ACHIEVE FULL COMPLIANCE WITH PARTICIPATION GOALS (PREFERRED)

Bidders should submit subcontracting/supplier forms that meet or exceed NYSED's participation goals for this procurement. All subcontracting/supplier forms must be submitted with the bid proposal. In addition, bidders must complete and submit M/WBE 100: Utilization Plan, M/WBE 102: Notice of Intent to Participate and EEO 100: Staffing Plan. Instructions and copies of these forms are located in the Submission Documents. All firms utilized must be certified with the NYS Division of Minority and Women Business Development before beginning any work on this contract. For additional information and a listing of currently certified M/WBEs, see the [NYS Directory of Certified Minority and Women-Owned Business Enterprises](#).

The contact person on M/WBE matters is available throughout the application and procurement process to assist bidders in meeting the M/WBE goals. NYSED reserves the right to approve the addition or deletion of subcontractors or suppliers to enable bidders to comply with the M/WBE goals, provided such addition or deletion does not impact the technical proposal and/or increase the total cost of the bid proposal.

DOCUMENTATION OF GOOD FAITH EFFORTS

Bidders must undertake a good faith effort to solicit NYS Certified M/WBE firms as subcontractors and/or suppliers in fulfillment of this procurement. Means of solicitation may include but are not limited to: advertisements in minority centered publications; solicitation of vendors found in the [NYS Directory of Certified Minority and Women-Owned Business Enterprises](#); and the solicitation of minority and women-oriented trade and labor organizations. Bidders will be required to certify and attest to their good faith efforts by completing NYSED's Certification of Good Faith Efforts (Form M/WBE 105). See the M/WBE Submission Documents for detailed examples of and required forms to document good faith efforts.

NYSED reserves the right to reject any bid for failure to document "good faith efforts" to comply with the stated M/WBE goals.

IN THE EVENT BIDDERS CANNOT COMPLY WITH NYSED DESIGNATED PARTICIPATION GOALS, SAID BIDDERS MUST DOCUMENT THEIR "GOOD FAITH EFFORTS" TO COMPLY AND SUBMIT ONE OF THE FOLLOWING REQUESTS:

REQUEST A PARTIAL WAIVER OF PARTICIPATION GOALS

In order to request a partial waiver of the participation goals for this procurement, Bidders must provide documentation of their good faith efforts to obtain the use of certified M/WBE enterprises along with their bid proposal forms. The subcontracting forms must include the participation percentage(s) for which they seek approval. Bidders will be required to certify and attest to their good faith efforts. Bidders should submit a request for a partial waiver (Form M/WBE 101) and document their Good Faith Efforts (Form M/WBE 105) at the same time as the bid is submitted. Bidders must also complete and submit M/WBE 100: Utilization Plan, M/WBE 102: Notice of Intent to Participate and EEO 100: Staffing Plan. The M/WBE Coordinator is available throughout the procurement process to assist in all areas of M/WBE compliance.

REQUEST A COMPLETE WAIVER OF PARTICIPATION GOALS

In order to request a complete waiver of the participation goals for this procurement, Bidders must provide documentation of their Good Faith Efforts to obtain the use of certified M/WBE enterprises along with their bid proposal forms. Bidders will be required to certify and attest to their good faith efforts. Bidders should submit a request for a complete waiver on Form M/WBE 101 and document their Good Faith Efforts (Form M/WBE 105) at the same time as they submit their bid. The M/WBE Coordinator is available throughout the procurement process to assist in all areas of M/WBE compliance.

All payments to Minority and Women-Owned Business Enterprise subcontractor(s) must be reported to NYSED M/WBE Program Unit using M/WBE 103 Quarterly M/WBE Compliance Report. This report must be submitted on a quarterly basis and can be found at NYSED's [M/WBE Forms and Compliance Forms webpage](#).

Service-Disabled Veteran-Owned Business (SDVOB) Participation Goals Pursuant to Article 17-B of New York State Executive Law

Article 17-B of Executive Law was enacted to ensure that certified SDVOBs are provided opportunities for meaningful participation in the performance of state contracts. To this end, NYSED strongly encourages bidders to make maximum possible use of SDVOBs as subcontractors and/or suppliers under this contract, consistent with the requirements of State Finance Law and State procurement guidelines, as well as NYSED policies and procedures. Bidders should consider fulfilling the requirements of this contract through the participation of SDVOBs at a rate of 6%. For additional information about this program, including a list of SDVOBs, please visit the [Office of General Services, Division of Service-Disabled Veterans' Business Development website](#).

Background

The 21st Century Community Learning Centers (21st CCLC) program is authorized under [Title IV, Part B](#) of the Elementary and Secondary Education Act, as amended by the Every Student Succeeds Act (ESSA) of 2015. Section 4201(b) of the statute defines a Community Learning Center as an entity that assists students, particularly students who attend low-performing schools, in meeting State and local academic achievement standards in core academic subjects, such as reading and mathematics, by:

- providing opportunities for academic enrichment, including providing tutorial services to help students, particularly students who attend low-performing schools, to meet the challenging State academic standards;
- offering students a broad array of additional services, programs, and activities, such as youth development activities, service learning, nutrition and health education, drug and violence prevention programs, counseling programs, arts, music, physical fitness and wellness programs, technology education programs, financial literacy programs, environmental literacy programs, mathematics, science, career and technical programs, internship or apprenticeship programs, and other ties to an in-demand industry sector or occupation for high school students that are designed to reinforce and complement the regular academic program of participating students; and
- offering families of students served by community learning centers opportunities for active and meaningful engagement in their children's education, including opportunities for literacy and related educational development.

A 21st CCLC is a partnership of an eligible local education agency and another organization that provides expanded learning opportunities for academic enrichment, youth development and family literacy opportunities outside of the regular school hours primarily for children who attend high- poverty and low-performing schools.

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The purpose of the 21st CCLC Resource Centers will be to provide ongoing support to all 21st CCLC subgrantees to improve the quality of their programs and, in turn, improve the academic, social and emotional outcomes of the students and the literacy of their families. The RCs will provide a variety of technical assistance, resources and professional development activities for the subgrantees to help them attain the 10 essential indicators of high quality after school programs listed below and as identified in the [Program Quality Self-Assessment \(QSA\) Tool](#) that includes performance indicators for each.

1. Environment and Climate
 2. Administrative and Organization
 3. Relationships
 4. Staffing and Professional Development
 5. Programming and Activities
 6. Linkages Between the School Day and After School Programs
 7. Youth Participation and Engagement
 8. Parent, Family and Community Partnerships
 9. Program Sustainability and Growth
 10. Measuring Outcomes and Evaluation
- Supplemental Element: Informal STEM Learning

In addition, all activities of the RCs will reflect the following best practices to educate and develop students to become healthy, safe, engaged, supported and challenged:

- Be evidence-based and grounded in research;
- Incorporate continuing evaluation, identification, and implementation of improvement strategies for the work of the Center;
- Provide high-quality professional development, technical assistance and support to 21st CCLC subgrantees;
- Help schools coordinate and align 21st CCLC activities with their regular school day programs and practices;
- Establish organizational supports and policies that assure the Center's success - i.e., leadership, broad participation of stakeholders, adequate time and resources to meet the Center's responsibilities, and alignment with the existing requirements of the contract;
- Support the involvement of families and communities as partners in the 21st CCLC programs; and
- Ensure that technical assistance and professional development products and services are developmentally and culturally responsive to the needs of the subgrantees, the students and their families.

Deliverables and/or Project Description

Staffing Requirements:

The Resource Centers are each expected to maintain the staffing below for the entire duration of the contract:

1. One (1) individual to fulfill the position of RC Director (1 FTE, 35-40 hours per week, 12

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months per year) to coordinate work of the Center necessary to provide deliverables as noted within this RFP and in subsequent annual work plans. The Director must meet the following minimum requirements:

- i. Bachelor's degree or higher; **and**
 - ii. A minimum of five (5) years' programmatic and/or administrative experience in expanded learning opportunity programming during the past 10 years.
2. Four (4) RC Program Specialists to assist the program director in implementing the deliverables noted within this RFP and in subsequent annual work plans. Staff filling these positions must all be full time and add up to no less than 4 FTE. One of the four full time staff members must be designated as the Data Monitor for subgrantees use of the State-contracted data collection and reporting system, EZReports. All Program Specialists must meet the following minimum requirements:
- i. Bachelor's degree or higher **and**
 - ii. A minimum of three (3) years' programmatic and/or administrative experience in expanded learning opportunities programming during the past 10 years.
 - iii. the Program Specialist designated as the Data Monitor must have a minimum of one year of experience working with large scale software applications, such as within a large school system or large organization that incorporates multiple site licenses, multiple user levels and tracks multiple data sets.

Preferred Staffing Qualifications:

It is preferred that the Program Director's degree (BA/BS or higher) be in an education-related field. Further it is preferred that the Program Director has an understanding of program evaluation and experience working with program evaluators during the past 10 years.

It is preferred that the 4 Program Specialists hold degrees (BA/BS or higher) in an education-related field. In addition, Program Specialists with experience working in or with out of school time providers and are familiar with program evaluation and have worked with program evaluators in the past are preferred. It is preferred that the Program Specialist/Data Monitor has had experience providing technical support to users of a large scale software system such as might be used by a large organization, school system, or statewide system.

Please note that some activities are common to both RCs while others are specific to either the New York City or ROS RC.

Part A (NYC):

The NYC RC bidder's work plan must include the following activities:

1. **Website.** Collaborate with the ROS RC to support its statewide web-based support system by providing information and resources that are specific to New York City subgrantees as well as those that are applicable to all 21st CCLC subgrantees. See **Part B (ROS) #1.**

2. **Manual for Program Administrators.** In the first year of the contract, as the lead on this deliverable, collaborate with the ROS RC, develop a manual for 21st CCLC program directors/managers parallel to the Evaluation Manual, but adaptable (as appropriate) to specific program variations (staffing, type of recipient, # of sites etc.). The Manual for Program Administrators should cover all essential areas of knowledge that program administrators must have in order to ensure that all Federal and State compliance indicators will be met under their direction. It should include a timeline for all reporting requirements, both fiscal and programmatic, as established by NYSED. The Manual should be reviewed and updated annually for approval by NYSED. Distinctions for ROS vs NYC, or rural vs. urban, school district [non-School Age Child Care registered (SACC)] vs. Community Based Organization (CBO) – SACC registered, or other variations in program type should be addressed as appropriate.

3. **Technical Assistance.** Provide and document technical assistance to NYC 21st CCLC subgrantees via phone, email, telephone/videoconferencing and site visits related to implementing and improving programs.
 - a. At least one RC staff will be available for communication with subgrantees on regular business days, Monday through Friday, 8:30 a.m. – 4:30 p.m. when other RC staff members are conducting business in the field, i.e. on-site/virtual TA or SMV. The NYSED program office must be notified if there is time when at least one RC staff will not be available during those times due to vacations or other personal reasons. NYSED must also be notified when any full-time staff member will not be at work.
 - b. RC staff, and consultants as necessary, will become familiar with individual 21st CCLC programs and develop more collaborative and supportive relationships with them in order to facilitate the identification and implementation of strategies to improve student outcomes and the operation of the program.
 - c. RC staff, and consultants as necessary, will be familiar with various documents and data sources and kept abreast of critical program policies and guidance, including but not limited to EZReports content, Mid-Year Reports (MYRs) content, Annual Evaluation Reports (AERs), Risk Assessment (RA), Master Accountability File (MAF), Manual for Program Administrators, etc.) to inform *ongoing* technical assistance and other communications between RCs and subgrantees.
 - d. Ensure that all NYC 21st CCLC program sites conduct the Quality Self-Assessment Tool (QSA) two times each year, preferably in the fall and spring, in order to identify and implement strategies for program improvement. Assist programs by telephone or e-mail, as needed, to ensure that the QSA is conducted as required.
 - e. RC staff or consultants must conduct on-site technical assistance (TA) visits when more intense assistance is necessary, provided a pandemic or other catastrophic event does not prevent such activity. If such an event prevents on-site TA, virtual TA may suffice. It is anticipated that approximately 10%-15% of programs require an on-site TA visit during any program year. TA visits are

targeted assistance visits and may not be combined with a monitoring visit. The three-hour technical assistance site visits shall be based on the needs of the individual program as requested by the program or identified by NYSED. Areas of technical assistance may include alignment of program activities with the regular school day, academic curricula, and program objectives; effective communication with building administrators and faculty; professional development for staff; engagement of parents, families and the community; recruitment and retention of student participants; use of the Quality Self-Assessment Tool; collection and entry of data for the federal Annual Performance Report and Statewide Data system; other NYSED priorities such as target enrollment, fiscal compliance, new program leaders, and other program administration issues.

4. **Professional Development.** In coordination with NYSED and the ROS RC, design and deliver relevant, research-based professional development to the 21st CCLCs, the content of which will be targeted to subgrantees' needs as identified by RC, developed fall and spring needs assessment surveys of the subgrantees, information gathered by NYSED from the subgrantees' mid- year reports, and consultation with the NYSED State-level evaluator who conducts analyses of APR and other data sources. Professional development (PD) activities will reflect effective practices of expanded learning opportunity programming and social and emotional development and learning.
- a. Professional development (PD) activities that address the identified needs of the subgrantees and reflect effective practices in expanded learning opportunity programming and social and emotional development and learning will take place quarterly.
 - b. Four quarterly PD events; including annual fall and annual spring events, as well as two additional quarterly events. The annual fall and spring events may be approved to take place either in person or virtually. If conditions for in-person events are not optimal, the NYSED program office will determine allowing the event to take place virtually. Either the fall or spring events can also be a joint event with ROS RC, to be determined at the discretion of NYSED. The annual fall and spring events, if conducted in person, will take place in the New York City area at reasonably centralized locations for approximately 175 participants each. All programs located in the New York City area are expected to be represented at these two annual events. NYC subgrantees that are unable to attend either of these events may request to attend the ROS annual fall and/or spring event to meet attendance requirements at the discretion of the NYC and ROS RC directors. The RC is expected to make every effort to find low or no cost sites – e.g., institutions of higher education, a 21st CCLC program facility or other venue. Please note that these events must be conducted at no charge to the participants and that contract funds cannot be used to purchase food for these events. Subgrantees may use program funds for travel and per diem while in travel status at the [GSA rates for NYS](#). The other two quarterly professional development events should be planned and implemented in collaboration with the Rest of State (ROS) RC and NYSED, and may be provided in a variety of formats – e.g., webinars, web casts, videoconferences or in-person.
 - c. The RC will conduct follow-up surveys following the fall and spring professional

development events, compile the results and include them in the next quarterly report.

5. **Monitoring.** Conduct 25 site monitoring visits (SMVs) for New York City 21st CCLC subgrantees each year. NYSED reserves the right to require the number of SMVs to be conducted per quarter. All programs will be selected in collaboration with NYSED and determined by NYSED's Risk Assessment process. A NYSED staff member may accompany Center staff on some of these visits.
 - a. [SMVs will be conducted using the SMV protocols](#) and these typically take four to five hours depending on the situation. All SMVs will be conducted by two RC staff working together to allow one staff member to lead questioning while the other takes notes. In the case of unforeseen circumstances, SMVs may be conducted virtually with prior approval by NYSED. SMVs may not be scheduled on back to back days to allow for adequate SMV preparation (document review) and report writing time.
 - b. Written reports will be prepared and submitted to NYSED within 14 days of the completed SMV for approval by the NYSED program office. NYSED will approve within 14 days and the report and cover letter must be sent to the subgrantee within 30 days of the visit. SMV reports will be prepared using the NYSED approved [SMV report template](#) and cover letter template. The SMV report will identify Summary of Actions to be taken (with suggested timelines for corrective actions), Recommendations to Strengthen Practice, and Promising Practices.
 - c. An [Action Plan template](#) will be sent with the SMV Report if there are areas of partial and non-compliance identified on the SMV report and the suggested dates by which remedial action is to be completed. Subgrantees must then complete the AP by describing their plan, including those individuals responsible for carrying it out, and return it to the RC for approval within one week of receiving it. While full compliance of all areas must be completed by the subgrantee within six months of receiving their report, some out of compliance indicators may need to be addressed more immediately and should be indicated when that is the case. RCs must keep track of all AP deadlines and determine when the subgrantee is in full compliance, at which time they will send an email compliance letter. The compliance letter along with completed AP will be sent, with the NYSED program office copied, so that there is a record of the subgrantee's full compliance with this program.
6. **Collaboration.** Maintain a collaborative working relationship with NYSED, the ROS RC, and the State Evaluator and other entities as described below through regularly scheduled communications and ongoing contact to ensure that Centers' activities are aligned with NYSED policies and initiatives to improve students' academic achievement and social and emotional development.
 - a. NYSED program staff will schedule and conduct with both RCs monthly conference calls of approximately one hour
 - b. NYSED, RCs and the State Evaluator will participate in quarterly meetings of approximately two to four hours duration to discuss the RCs' activities and to

address emerging issues of concern. At least one quarterly meeting, at NYSED's discretion, will be in person in Albany, and the remaining three may be either in person or via teleconference. Part of the quarterly meetings will include participation of the State evaluation team representation.

- c. The RC and NYSED program staff will communicate frequently and informally on an ongoing basis.
- d. Actively participate with the [Network for Youth Success](#) Committee on Capacity Building. The Network for Youth Success serves as the federally required advisory committee for NYSED's 21st CCLC program. Note that NYSED program staff also participate in the activities of the Network for Youth Success's Steering, Capacity Building, and Policy Committees.
 - i. The RC will collaborate with the Network for Youth Success in efforts to improve student outcomes.
 - ii. A designated RC staff member will attend in-person/virtually the Capacity Building Committee's quarterly meetings (2 to 3 hours each) in New York City.
- e. The RC will be familiar with the [US DOE's Professional Development and Technical assistance website](#) and resources to share with subgrantees.
- f. Work in cooperation with the independent State evaluator. The State-level evaluation is responsible for measuring the effectiveness of NYSED's administration of the 21st CCLC program as well as measuring the RCs' effectiveness in supporting 21st CCLC subgrantees.
 - i. The RCs are expected to comply with any and all requests for data by compiling requested data, responding to the evaluator's inquiries about the Center's work, and submitting Quarterly and Annual reports to both the NYSED and the State-level evaluator. The results of this evaluation that is required by the United States Department of Education will be used to guide NYSED's efforts to improve its administration of the program and the assistance it provides to local subgrantees to improve program quality and outcomes for participating students. Provide information as requested by the NYSED independent evaluator in a timely manner.
 - ii. Activities required to provide the State evaluator with requested information are not expected to exceed two hours each month.
- g. Participate, either in person, or virtually if offered, in the annual USDOE sponsored Summer Institute for 21st Century State Education Agency (SEA) coordinators, technical assistance providers and subgrantees. One RC professional staff member will attend. The Institute is held at a different location each year. In previous years, the Institute has been held in Texas, Florida, and Illinois. It has also taken place virtually. The Institute is ordinarily three full days in duration.

7. **Update of Work Plan.** The NYC RC's work plan of activities will be updated annually based on the annual self-assessment of progress and effectiveness of its work. The updated Work Plan will be submitted at least 30 days before the start of each contract year (by September 1 of 2022, 2023, 2024, and 2025, respectively) to NYSED for approval prior to implementation. The RC and NYSED will use the updated plan in tracking the RC's annual progress toward meeting objectives, developing strategies for improvement, and making data-based decisions throughout the year.
 - a. The updated annual Work Plan will be consistent with the required deliverables as referenced in the RFP
 - b. The updated annual Work Plan must include the use of valid and reliable indicators and measures that will be used to report on both implementation and as appropriate, outcomes of the RC's activities, i.e. the effectiveness.

8. **Progress Reporting.** Prepare and submit quarterly and annual progress reports to NYSED that includes the status of implementation of all activities and where appropriate the effectiveness of those activities for which measurable outcomes have been established, as per the approved Work Plan. The format of these reports must include all components of the updated and approved Work Plan and be approved in advance by the NYSED. The annual progress reports can include the fourth quarter progress report for that year. Quarterly reports will be due on the last days of January, April, July and October of each contract year - the first quarterly report will be due on January 31, 2022; and annual reports will be due on the last day of October of each contract year, beginning with the first report due on October 31, 2022. The final annual report is due on October 31, 2026.
 - a. All reports must include progress on implementation of all deliverables as specified in this RFP, including dates of completion, barriers and challenges that were encountered, indicators of success, and how success was measured.
 - b. These reports will serve as self-assessment tools for the RC and as a means for NYSED to track the RC's progress toward achieving its objectives; annual reports will include all components as stated in A. above and in addition, contain a section on lessons learned and any proposed changes to next annual updated Work Plan.

9. **Annual Performance Report (APR) and EZReports.** With the RC's designated Data Monitor taking the lead, ensure that NYC subgrantees enter accurate data about their programs into two different web-based software systems and monitor and troubleshoot issues that subgrantees may be experiencing. The NYC RC Data Systems Monitor will oversee reporting in both the EZReports system and the 21APR system. New York State contracts with ThomasKelly Software Associates to provide a web-based data collection, reporting and project management system called EZReports. All subgrantees are provided with free site licenses to utilize the system. Subgrantees must enter their program and student data in the system which is set up for automated download of subgrantee's data into the federal web-based reporting system for the Annual Performance Report (APR) called 21APR. The APR is a federal requirement of all subgrantees. The federal database is currently managed by The Tactile Group, the USDOE contractor. There are a few data elements that cannot be uploaded from

EZReports to 21APR and so will require a limited amount of data entry directly into 21APR.

- a. Provide technical assistance via telephone and E-Mail to subgrantees to ensure that all have entered the required program and student data appropriately and accurately by the due dates specified by NYSED.
- b. In coordination with EZReports staff, the State evaluator staff and NYSED staff, provide assistance in reviewing the data for anomalies before it recommends to NYSED that the data is ready to be certified and uploaded for submission to the USDOE.
- c. Apprise NYSED in a timely manner of the progress NYC subgrantees have made toward completing all data in EZReports prior to the automated upload to for the APR and any difficulties that may require NYSED or EZReports' staff assistance.

Part B (ROS):

The ROS RC bidder's work plan must include the following activities:

1. **Website.** Establish and maintain a statewide web-based support system that includes up-to- date research-based resources and information on effective practices in expanded learning opportunity programming to build the capacity of subgrantees to provide effective programs for the participating students and their families. The website should be fully operational within two months of the RC's contract approval date. The website will be updated weekly and include:
 - a. Information on how to contact the RCs and the types of assistance and resources they offer.
 - b. Links to current research on expanded learning opportunities and programming areas such as academic enrichment and other enrichment such as youth development activities, service learning, nutrition and health education, drug and violence prevention programs, counseling programs, arts, music, physical fitness and social emotional wellness programs, technology education programs, financial literacy programs, environmental literacy programs, mathematics, science, career and technical programs, internship or apprenticeship programs, etc.
 - c. Annotated bibliography and supporting materials on expanded learning opportunity programming, in areas such as those referenced above and others.
 - d. RC-developed streaming video, PowerPoint presentations or other electronic offerings on effective expanded learning opportunity programming, as referenced above and others...
 - e. By the first of every month, an E-newsletter to provide current information on expanded learning opportunity programming, including those areas referenced above and others. Newsletter drafts will be prepared and submitted to NYSED for approval at least two weeks prior to scheduled distribution.

2. **Manual for Program Administrators.** In the first year of the contract, assist NYC RC, in the development of a manual for 21st CCLC program directors/managers. The Manual for Program Administrators should cover all essential areas of knowledge that program administrators must have in order to ensure that all Federal and State compliance indicators will be met under their direction. It should include a timeline for all reporting requirements, both fiscal and programmatic, as established by NYSED. The Manual should be reviewed and updated annually for approval by NYSED. Distinctions for ROS vs NYC, or rural vs. urban, school district [non-School Age Child Care registered (SACC)] vs. Community Based Organization (CBO) – SACC registered, or other variations in program type should be addressed as appropriate.

3. **Technical Assistance.** Provide and document technical assistance to ROS 21st CCLC subgrantees via phone, email, telephone/videoconferencing and site visits related to implementing and improving programs.
 - a. At least one RC staff will be available for communication with subgrantees on regular business days, Monday through Friday, 8:30 a.m. – 4:30 p.m. when other RC staff members are conducting business in the field, i.e. on-site TA or SMV. The NYSED program office must be notified if there is time when at least one RC staff will not be available during those times due to vacations or other personal reasons. NYSED must also be notified when any full-time staff member will not be at work.
 - b. RC staff, and consultants as necessary, will become familiar with individual 21st CCLC programs and develop more collaborative and supportive relationships with them in order to facilitate the identification and implementation of strategies to improve student outcomes and the operation of the program.
 - c. RC staff, and consultants as necessary, will be familiar with various documents and data sources and kept abreast of critical program policies and guidance, including but not limited to EZReports content, Mid-Year Reports (MYRs) content, Annual Evaluation Reports (AERs), Risk Assessment RA, Master Accountability File (MAF), Manual for Program Administrators, etc.) to inform *ongoing* technical assistance and other communications between RCs and subgrantees.
 - d. Ensure that all ROS 21st CCLC program sites conduct the Quality Self-Assessment Tool (QSA) two times each year, preferably in the fall and spring, in order to identify and implement strategies for program improvement. Assist programs by telephone or e-mail, as needed, to ensure that the QSA is conducted as required.
 - e. RC staff or consultants must conduct on-site technical assistance (TA) visits when more intense assistance is necessary, provided a pandemic or other catastrophic event does not prevent such activity. If such an event prevents on-site TA, virtual TA may suffice. It is anticipated that approximately 10%-15% of programs require an on-site TA visit during any program year. TA visits are targeted assistance visits and may not be combined with a monitoring visit. The three- hour technical assistance site visits shall be based on the needs of the individual program as

requested by the program or identified by NYSED. Areas of technical assistance may include alignment of program activities with the regular school day, academic curricula, and program objectives; effective communication with building administrators and faculty; professional development for staff; engagement of parents, families and the community; recruitment and retention of student participants; use of the Quality Self-Assessment Tool; collection and entry of data for the federal Annual Performance Report and Statewide Data system; other NYSED priorities such as target enrollment, fiscal compliance, new program leaders, and other program administration issues.

- 4. Professional Development.** In coordination with NYSED and the NYC RC, design and deliver relevant, research-based professional development to the 21st CCLCs, the content of which will be targeted to subgrantees' needs as identified by RC, developed fall and spring needs assessment surveys of the subgrantees, information gathered by NYSED from the subgrantees' mid- year reports, and consultation with the NYSED State-level evaluator who conducts analyses of APR and other data sources. Professional development (PD) activities will reflect effective practices of expanded learning opportunity programming and social and emotional development and learning.
- a. Professional development (PD) activities that address the identified needs of the subgrantees and reflect effective practices in expanded learning opportunity programming and social and emotional development and learning will take place quarterly.
 - b. Four quarterly PD events; including annual fall and annual spring events, as well as two additional quarterly events. The annual fall and spring events may be approved to take place either in person or virtually. If conditions for in-person events are not optimal, the NYSED program office will determine allowing the event to take place virtually. Either the fall or spring events can also be a joint event with ROS RC, to be determined at the discretion of NYSED. The annual fall and spring events, if conducted in person, will take place in an area at reasonably centralized locations for approximately 175 participants each. All programs located in the Rest of State are expected to be represented at these two annual events. ROS subgrantees that are unable to attend either of these events may request to attend the NYC annual fall and/or spring event to meet attendance requirements at the discretion of the NYC and ROS RC directors. The RC is expected to make every effort to find low or no cost sites – e.g., institutions of higher education, a 21st CCLC program facility or other venue. Please note that these events must be conducted at no charge to the participants and that contract funds cannot be used to purchase food for these events. Subgrantees may use program funds for travel and per diem while in travel status at the [GSA rates for NYS](#). The other two quarterly professional development events should be planned and implemented in collaboration with the NYC RC and NYSED, and may be provided in a variety of formats – e.g., webinars, web casts, videoconferences or in-person.
 - c. The RC will conduct follow-up surveys following the fall and spring professional development events, compile the results and include them in the next quarterly report.

5. **Monitoring.** Conduct 20 site monitoring visits (SMVs) for ROS 21st CCLC subgrantees each year. NYSED reserves the right to require the number of SMVs to be conducted per quarter. All programs will be selected in collaboration with NYSED and determined by NYSED's risk assessment process. A NYSED staff member may accompany Center staff on some of these visits.
 - a. [SMVs will be conducted using the SMV protocols](#) and these typically take four to five hours depending on the situation. All SMVs will be conducted by two RC staff working together to allow one staff member to lead questioning while the other takes notes. In the case of unforeseen circumstances, SMVs may be conducted virtually with prior approval by NYSED. SMVs may not be scheduled on back to back days to allow for adequate SMV preparation (document review) and report writing time.
 - b. Written reports will be prepared and submitted to NYSED within 14 days of the completed SMV for approval by the NYSED program office. NYSED will approve within 14 days and the report and cover letter must be sent to the subgrantee within 30 days of the visit. SMV reports will be prepared using the NYSED approved [SMV report template](#) and cover letter template. The SMV report will identify Summary of Actions to be taken (with timelines for corrective actions), Recommendations to Strengthen Practice, and Promising Practices.
 - c. An [Action Plan template](#) will be sent with the SMV Report if there are areas of partial and non-compliance identified on the SMV report and the suggested dates by which remedial action is to be completed. Subgrantees must then complete the AP by describing their plan, including those individuals responsible for carrying it out, and return it to the RC for approval within one week of receiving it. While full compliance of all areas must be completed by the subgrantee within six months of receiving their report, some out of compliance indicators may need to be addressed more immediately and should be indicated when that is the case. RCs must keep track of all AP deadlines and determine when the subgrantee is in full compliance, at which time they will send an email compliance letter. The compliance letter along with completed AP will be sent, with the NYSED program office copied, so that there is a record of the subgrantee's full compliance with this program.
6. **Collaboration.** Maintain a collaborative working relationship with NYSED, the NYC RC, and the State Evaluator and other entities as described below through regularly scheduled communications and ongoing contact to ensure that Centers' activities are aligned with NYSED policies and initiatives to improve students' academic achievement and social and emotional development.
 - a. NYSED program staff will schedule and conduct with both RCs monthly conference calls of approximately one hour
 - b. NYSED, RCs and the State Evaluator will participate in quarterly meetings of approximately two to four hours duration to discuss the RCs' activities and to address emerging issues of concern. At least one quarterly meeting, at NYSED's discretion, will be in person in Albany, and the remaining three may be either in person or via teleconference. Part of the quarterly meetings will include participation of the State evaluation team representation.

- c. The RC and NYSED program staff will communicate frequently and informally on an ongoing basis.
- d. Actively participate in the [Network for Youth Success](#) Committee on Capacity Building. The Network for Youth Success serves as the federally required advisory committee for NYSED's 21st CCLC program. Note that NYSED program staff also participate in the activities of the Network for Youth Success's Steering, Capacity Building, and Policy Committees.
 - i. The RC will collaborate with the Network for Youth Success in efforts to improve student outcomes.
 - ii. A designated RC staff member will attend the Capacity Building Committee's quarterly meetings (2 to 3 hours each) in New York City.
- e. The RC will be familiar with the [US DOE's Professional Development and Technical assistance website](#) and resources to share with subgrantees.
- f. Work in cooperation with the independent State-level evaluator. The State-level evaluation is responsible for measuring the effectiveness of NYSED's administration of the 21st CCLC program as well as measuring the RCs' effectiveness in supporting 21st CCLC subgrantees.
 - i. The RCs are expected to comply with any and all requests for data by compiling requested data, responding to the evaluator's inquiries about the Center's work, and submitting Quarterly and Annual reports to both the NYSED and the State-level evaluator. The results of this evaluation that is required by the United States Department of Education will be used to guide NYSED's efforts to improve its administration of the program and the assistance it provides to local subgrantees to improve program quality and outcomes for participating students. Provide information as requested by the NYSED independent evaluator in a timely manner.
 - ii. Activities required to provide the State evaluator with requested information are not expected to exceed two hours each month.
- g. **Summer Institute.** Participate, either in-person, or virtually if offered, in the annual USDOE sponsored Summer Institute for 21st Century State Education Agency (SEA) coordinators, technical assistance providers and subgrantees. One RC professional staff member will attend. The Institute is held at a different location each year. In previous years, the Institute has been held in Texas, Florida, and Illinois. It has also been offered virtually. The Institute is ordinarily three full days in duration.

7. Update of Work Plan. The ROS RC's work plan of activities will be updated annually based on the annual self-assessment of progress and effectiveness of its work. The updated Work Plan will be submitted at least 30 days before the start of each contract year (by September 1 of 2022, 2023, 2024, and 2025, respectively) to NYSED for approval prior to implementation. The RC and NYSED will use the updated plan in tracking the RC's annual progress toward meeting objectives, developing strategies for improvement, and making data-based decisions throughout the year.

- a. The updated annual Work Plan will be consistent with the required deliverables as referenced in the RFP
- b. The updated annual Work Plan must include the use of valid and reliable indicators and measures that will be used to report on both implementation and as appropriate, outcomes of the RC's activities, i.e. the effectiveness.

8. Progress Reporting. Prepare and submit quarterly and annual progress reports to NYSED that includes the status of implementation of all activities and where appropriate the effectiveness of those activities for which measurable outcomes have been established, as per the approved Work Plan. The format of these reports must include all components of the updated and approved Work Plan and be approved in advance by the NYSED. The annual progress reports can include the fourth quarter progress report for that year. Quarterly reports will be due on the last days of January, April, July and October of each contract year - the first quarterly report will be due on January 31, 2022; and annual reports will be due on the last day of October of each contract year, beginning with the first report due on October 31, 2022. The final annual report is due on October 31, 2026.

- a. All reports must include progress on implementation of all deliverables as specified in this RFP, including dates of completion, barriers and challenges that were encountered, indicators of success, and how success was measured.
- b. These reports will serve as self-assessment tools for the RC and as a means for NYSED to track the RC's progress toward achieving its objectives; annual reports will include all components as stated in A. above and in addition, contain a section on lessons learned and any proposed changes to next annual updated Work Plan.

9. Annual Performance Report (APR) and EZReports. With the RC's designated Data Monitor taking the lead, ensure that ROS subgrantees enter accurate data about their programs into two different web-based software systems and monitor and troubleshoot issues that subgrantees may be experiencing. The ROS RC Data Systems Monitor will oversee reporting in both the EZReports system and the 21APR system. New York State contracts with ThomasKelly Software Associates to provide a web-based data collection, reporting and project management system called EZReports. All subgrantees are provided with free site licenses to utilize the system. Subgrantees must enter their program and student data in the system which is set up for automated download of subgrantee's data into the federal web-based reporting system for the Annual Performance Report (APR) called 21APR. The APR is a federal requirement of all subgrantees. The federal database is currently managed by The Tactile Group, the USDOE contractor. There are a few data elements that cannot be uploaded from EZReports to 21APR and so will require a limited amount of data entry directly into 21APR.

- a. Provide technical assistance via telephone and E-Mail to subgrantees to ensure that all have entered the required program and student data appropriately and accurately by the due dates specified by NYSED.
- b. In coordination with EZReports staff, the State evaluator staff and NYSED staff, provide assistance in reviewing the data for anomalies before it

recommends to NYSED that the data is ready to be certified and uploaded for submission to the USDOE.

- c. Apprise NYSED in a timely manner of the progress ROS subgrantees have made toward completing all data in EZReports prior to the automated upload to for the APR and any difficulties that may require NYSED or EZReports' staff assistance.

Ownership

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 sub-contractor is also bound by these terms.

Payments and Reports

Quarterly invoices should be submitted to the program office for approval for payment. Invoices must include a summary of services provided and an accounting of all fiscal expenditures.

Each RC Director will be responsible for timely and accurate submission of all required plans and reports. NYSED will review and discuss the reports with each RC and work with the RC to make any needed adjustments.

Quarterly payments will be made to the vendor once the quarterly progress reports are reviewed and approved by NYSED program staff. Failure to submit the required progress reports may result in the suspension of future payments.

Budget Information

Allowable Costs

1. Professional and non-professional salaries: Include all staff attributable to this agreement. One full-time equivalent (FTE) equals one person working an entire week, each week of the project. Express partial FTE's in decimals, e.g., a staff person working one day per week equals .2 FTE.
2. Employee benefits.
3. Purchased services: Subcontracting costs for direct services are limited to 30% of the total budget. Purchased services include consultant services. Subcontractors that are affiliated with, or perform other work for, 21st CCLC grantees must have clear and separate governance and oversight structures in place to prevent any conflict of interest or the appearance of a conflict of interest.
4. Supplies, materials and printing directly related to the project and having a unit cost of less than \$5,000. Cost proposals may, but are not required to, include requests for limited initial technology purchases to support the goals of the project (e.g., one computer per staff and other shared equipment (printers, faxes, etc.) to carry out essential project work. Other office supply equipment can be included as it directly relates to carrying out the goals of the project.

5. Travel expenses for employees and consultants to carry out the essential work of the project. Travel costs including per diem rates must adhere to the established NYS travel rates, as indicated at www.gsa.gov under “travel resources”. Out-of-state travel for RC staff is subject to approval by the NYSED program contract manager. Approval must be received from NYSED before any commitments are made.
6. Indirect costs: Indirect costs are the sum of all direct costs multiplied by the bidder’s indirect cost rate. These costs include central administrative costs and certain other organization-wide costs that are incurred in connection with a project but that cannot readily be identified with the project (e.g., payroll preparation, central purchasing).
7. Equipment purchases: All equipment having a unit cost of \$5,000 or more should be included here. If the unit cost is less than \$5,000 it should be listed in the Supplies and Materials section of the budget. All equipment purchases must be justified and reasonable and are subject to the approval of NYSED.

Notes:

- The Technical Assistance Center guidelines, located in **Section 5.) Submission Documents**, must be followed regarding allowable expenses.
- All equipment purchased is the property of NYSED. At the end of the contract period all equipment will be returned to NYSED unless NYSED has deemed it unusable and given the contractor approval to surplus the equipment.

NON-ALLOWABLE Costs

- Office furnishings
- Remodeling
- External evaluation services

Requirements of Education Law Section 2-d

The Contractor agrees to comply with FERPA and New York State Education Law § 2-d. The New York State Data Privacy Appendix R, posted separately, shall also be part of the Contract.

Accessibility of Web-Based Information and Applications

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 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 be limited to 30% of the total contract budget. Subcontracting is defined as non-employee direct personal services and related incidental expenses, including travel.

For vendors using subcontractors, a Vendor Responsibility Questionnaire and a NYSED vendor responsibility review are required for a subcontractor when:

- the subcontractor is known at the time of the contract award;
- the subcontractor is not an entity that is exempt from reporting by OSC; and
- the subcontract will equal or exceed \$100,000 over the life of the contract.

For additional information about Vendor Responsibility, see the **Vendor Responsibility** section contained in **3.) Evaluation Criteria and Method of Award** of this RFP.

If the vendor proposes to change subcontractors during the contract period, NYSED must be notified prior to the change. NYSED reserves the right to reject any replacement subcontractors proposed by the vendor and reserves the right to approve all changes in subcontractors. The Subcontracting Form located in the Submission Documents must be updated annually and submitted to NYSED. Using this form, the vendor must also report to NYSED, on an annual basis, actual expenditures incurred for all subcontractors and indicate which subcontracting costs are associated with M/WBE.

Staff Changes

The contractor will maintain continuity of staff throughout the course of the contract. All changes in staff will be subject to NYSED approval. The replacement staff with comparable skills will be provided at the same or lower hourly rate.

Contract Period

NYSED will award **two** contracts pursuant to this RFP. The contract(s) resulting from this RFP will be for a term anticipated to begin **October 1, 2021** and to end **September 30, 2026**.

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.

M/WBE and Equal Employment Opportunities Requirements: Contractor Requirements and Obligations under New York State Executive Law, Article 15-A (Participation by Minority Group Members and Women with Respect to State Contracts)

In an effort to eradicate barriers that have historically impeded access by minority group members and women in State contracting activities, Article 15-A, of the New York State Executive Law §310-318, (Participation By Minority Group Members and Women With Respect To State Contracts) was enacted to promote equality of economic opportunities for minority group members and women.

The New York State Education Department ("NYSED") has enacted its policies Equal Opportunity, Non-Discrimination and Affirmative Action and on Minority and Women-Owned Business Enterprise Procurements consistent with the requirements as set forth under the provisions of Article 15-A (the "Article") incorporated by reference, requiring Contracting Agencies to implement procedures to ensure that the "Contractor" (as defined under Article 15-A, §310.3 shall mean an individual, a business

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enterprise, including a sole proprietorship, a partnership, a corporation, a not-for-profit corporation, or any other party to a state contract, or a bidder in conjunction with the award of a state contract or a proposed party to a state contract, complies with requirements to ensure Equal Employment Opportunities for Minority Group Members and Women, in addition to providing Opportunities for Minority and Women-Owned Business Enterprises on all covered state contracts.

In keeping with the intent of the Law, it is the expectation of the Commissioner and the responsibility of all contractors participating in and/or selected for procurement opportunities with NYSED, to fulfill their obligations to comply with the requirements of the Article and its implementing regulations.

In accordance with these requirements, the contractor hereby agrees to make every good faith effort to promote and assist the participation of certified Minority and Women-Owned Business Enterprises (“M/WBE”) as subcontractors and suppliers on this project for the provision of services and materials in an amount at least equal to the M/WBE goal (Included in the procurement document) as a percentage of the total dollar value of this project. In addition, the contractor shall ensure the following:

1. All state contracts and all documents soliciting bids or proposals for state contracts contain or make reference to the following provisions:

a. The contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability, marital status, gender, religion, veteran status, sexual orientation, genetic disposition or carrier status 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.

For purposes of the Article, affirmative action shall mean recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff or termination and rate of pay or other forms of compensation.

b. 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, marital status, gender, religion, veteran status, sexual orientation, genetic disposition or carrier status and that such union or representative will affirmatively cooperate in the implementation of the contractor’s obligation herein.

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, marital status, gender, religion, veteran status, sexual orientation, genetic disposition or carrier status.

2. The contractor will include the provisions of subdivision one of this section in every subcontract as defined under §310.14, except as provided under §312.6 of the Article, in such a manner that the provisions will be binding upon each subcontractor as to work in connection with the State contract.

3. Contractors or subcontractors shall comply with the requirements of any federal law concerning equal employment opportunity, which effectuates the purpose of this section.

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4. Contractors and subcontractors shall undertake programs of affirmative action and equal employment opportunity as required by this section¹. In accordance with the provision of the Article, the bidder will submit, with their proposal, Staffing Plan (EEO 100).
5. Certified businesses (as defined under Article 15-A, §310.1 means a business verified as a minority or women-owned business enterprise pursuant to §314 of the Article) shall be given the opportunity for meaningful participation in the performance of this contract, to actively and affirmatively promote and assist their participation in the performance of this contract, so as to facilitate the award of a fair share of this contract to such businesses.
6. Contractor shall make a good faith effort to solicit active participation by enterprises identified in the [Empire State Development \(“ESD”\) directory of certified businesses](#). The contractor must document its good faith efforts as set forth in 5 NYCRR 142.8. This document, Contractors Good Faith Efforts, can be found in the M/WBE Submission Documents.
7. Contractor shall agree, as a condition of entering into said contract, to be bound by the provisions of Article 15-A, §316.
8. Contractor shall include the provisions set forth in paragraphs (6) and (7) above in every subcontract in a manner that the provisions will be binding upon each subcontractor as to work in connection with this contract.
9. Contractor shall comply with the requirements of any federal law concerning opportunities for M/WBEs that effectuates the purpose of this section.
10. Contractor shall submit all necessary M/WBE documents and/or forms as described above as part of their proposal in response to NYSED procurement.
11. The percentage goals established for this RFP are based on the overall availability of M/WBEs certified in the particular areas of expertise identified under this RFP. These goals should not be construed as rigid and inflexible quotas that must be met, but as targets reasonably attainable by means of applying every good faith effort to make all aspects of the entire Minority and Women-Owned Business Program work.
12. Contractor shall ensure that enterprises have been identified (M/WBE 102) within the Utilization Plan, and the contractor shall attempt, in good faith, to utilize such enterprise(s) at least to the extent indicated in the plan, as to what measures and procedures contractor intends to take to comply with the provisions of the Article.
13. Upon written notification from NYSED M/WBE Program Unit as to any deficiencies and required remedies thereof, the contractor shall, within the period of time specified, submit compliance reports documenting remedial actions taken and other information relating to the operation and implementation of the Utilization Plan.
14. Where it appears that a contractor cannot, after a good faith effort, comply with the M/WBE participation requirements, contractor may file a written application with NYSED M/WBE Program Unit requesting a partial or total waiver (M/WBE 101) of such requirements setting forth the reasons for such

¹ Notice – Contractors are provided with notice herein, NYSED may require a contractor to submit proof of an equal opportunity program after the proposal opening and prior to the award of any contract. In accordance with regulations set forth under Article 15-A §312.5, contractors and/or subcontractors will be required to submit compliance reports relating to the contractor’s and/or subcontractor’s program in effect as of the date the contract is executed.

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contractor's inability to meet any or all of the participation requirements, together with an explanation of the efforts undertaken by the contractor to obtain the required M/WBE participation.

For purposes of determining a contractor's good faith efforts to comply with the requirements of this section or be entitled to a waiver, NYSED shall consider at the least the following:

I. Whether the contractor has advertised in general circulation media, trade association publications and minority-focused and women-focused media and, in such event;

a. Whether or not the certified M/WBEs which have been solicited by the contractor exhibited interest in submitting proposals for a particular project by attending a pre-bid conference; and

b. Whether certified businesses solicited by the contractor responded in a timely fashion to the contractor's solicitations for timely competitive bid quotations prior to the contracting agency's deadline for submission of proposals.

II. Whether there has been written notification to appropriate certified M/WBEs that appear in the [Empire State Development website](#).

All required Affirmative Action, EEO, and M/WBE forms to be submitted along with bids and/or proposals for NYSED procurements are attached hereto. Bidders must submit subcontracting forms that:

1) fully comply with the participation goals specified in the RFP; OR

2) partially comply with the participation goals specified in the RFP, and include a request for partial waiver, and document their good faith efforts to fully comply with the percentage goals specified in the RFP; OR

3) do not include certified M/WBE subcontractors or suppliers, and include a request for a complete waiver, and document their good faith efforts to fully comply with the participation goals specified in the RFP.

All M/WBE firms are required to be certified by Empire State Development (ESD). Online Certification can be found at the [New York State Contract System website](#).

Failure to comply with the requirements of Article 15-A as set forth under this procurement and in conjunction with the corresponding contract, will result in the withholding of associated funds and other enforcement proceedings set forth under Article 15-A.

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. This will be followed by various terms and conditions that reflect the specific needs of this project.

Project Submission

The proposal submitted in response to this RFP must include the following **Proposal Submission Documents** submitted by email to cau@nysed.gov in Microsoft Office or editable PDF per the electronic proposal submission procedures outlined above, preferably with each of the following sets of documents attached as a single file (i.e. one email with four attachments), or if the size limit is reached, broken up into the least number of files or emails necessary and labeled accordingly (e.g. email 1 of 2):

1. Submission Documents bearing an original signature
2. Technical Proposal
3. Cost Proposal bearing an original signature
4. M/WBE Documents bearing an original signature

Each submission must be clearly labeled with the type of application that is being submitted, either Part A - NYC or Part B – ROS.

The proposal must be received by **June 9, 2021 by 3:00 PM** at NYSED by email to cau@nysed.gov.

Proposals should be prepared simply and economically, avoiding the use of elaborate promotional materials beyond those sufficient 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 must 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.

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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 5) Submission Documents.

Technical Proposal (70 points)

The original completed Technical Proposal must be emailed and labeled **[name of bidder]-Technical Proposal-RFP #21-006** and must include the following:

1. **Project Description (60 Points):** The complete project description and supporting materials will be reviewed to determine the overall consistency of the proposal with the stated purpose and objectives of the RFP. The qualifications of key personnel and the adequacy of the resources of the sponsoring agency will be reviewed to determine the organization’s ability to implement the activities described in the application. The project description should include the bidder’s:
 - a) Description of the organizational capacity to conduct the activities and produce the deliverables specified in the RFP consistent with State and federal laws and regulations that pertain to 21st CCLCs. **(6 Points)**
 - b) Written plan to staff the Center with qualified staff. As stated in this RFP, it is preferred that the Program Director’s degree (BA/BS or higher) be in an education-related field. Further it is preferred that the Program Director has an understanding of program evaluation and experience working with program evaluators during the past 10 years. It is preferred that the 4 Program Specialists hold degrees (BA/BS or higher) in an education-related field. In addition, Program Specialists with experience working in or with out of school time providers and are familiar with program evaluation and have worked with program evaluators in the past are preferred. It is preferred that the Program Specialist/Data Monitor has had experience providing technical support to users of a large scale software systems such as might be used by a large organization, school system, or statewide system. Include how responsibilities will be delegated and supervised - how SMVs and TAs will be distributed among staff, professional development events will be planned and delivered, data support to sub-grantees will be provided and federal data reporting requirements will be met, etc. - to meet all activities and deliverables. **(10 points)**

Deliverable 1 and 2 Written plan to develop the website (ROS applicants only) or support the development of the website (NYC applicants) and plan to develop the Manual for Program Administration (NYC applicants only) or support the development of the Manual (ROS applicants). Include applicant’s experience and success developing websites and/or manuals of a similar scope and nature. **(6 points)**

Deliverable 3 Written plan to provide TA to subgrantees in its region of the state that reflects the applicant’s knowledge and understanding of the advantages and challenges of providing services to programs in either (i) NYC or (ii) Rest of State (urban, suburban, small city and rural). Include applicant’s experience and success in the provision of technical assistance services to schools and community-based organizations **(7 points)**

Deliverable 4 Written plan to provide PD activities for subgrantees, as per requirements in

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this RFP, that reflects the applicant’s knowledge of the potential challenges to serving various grantee organizational types (e.g. non-profit, for-profit, schools, consortiums, colleges/universities, faith-based, municipalities, etc.), as well as subgrantees’ various levels of previous experience with 21st CCLC or other federal grant funding, and how those challenges would be addressed. Include applicant’s experience and success providing researched-based PD related to the key topic areas in out of school time programming as specified in this RPF and 21st CCLC statute. **(7 points)**

Deliverable 5 Written plan to conduct compliance monitoring of subgrantees, as per requirements in this RFP, within either NYC or ROS. Plan should reflect the applicant’s knowledge of federal requirements associated with 21st CCLC and the challenges associated with ensuring compliance with those requirements, as well as how those challenges will be addressed. Include applicants experience and success conducting compliance monitoring of federal grant programs. **(10 points)**

Deliverable 6 Written plan to collaborate with various entities, as specified in this RFP. Include experience and success in working collaboratively with multiple agencies, including the NYSED, the US ED, State and local evaluators, State advisory groups, sub-contractors and peer groups, by ensuring clear and timely communication, collaborative planning, attendance at required meetings and activities, accurate reporting, and collegial support and cooperation **(4 points)**

Deliverable 8 Written plan to comply with all required reporting timelines as specified in this RFP **(4 points)**

Deliverable 9 Written plan to ensure that all data requirements are met in the State data collection and reporting system, EZReports, and the federally contracted data collection and reporting system, 21APR. **(6 points)**

2. **Work Plan (10 Points):** The Work Plan Template below must be completed to describe the annual deliverables that will result in meeting the requirements of the RFP.

The Work Plan will be evaluated based on its completeness, the appropriateness of the sub- activities to achieve each of the required deliverables, indicators of success, how the success will be measured, and the timeline for implementation of the sub-activities. The following template must be used for the Workplan.

Work Plan			
A. Specific Sub-Activity to meet contract deliverable	Indicator of Success	How Indicator Will be Measured	Timeline for Implementation

- a) Specific sub-activities to meet website development/support and Manual for Program Administrators development/support, including the timeline for implementation and measurement. **(1.5 points)**
- b) Specific sub-activities to meet contract TA deliverables, including the timeline for implementation and measurement. **(1.5 points)**

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- c) Specific sub-activities to meet contract professional development deliverables, including the timeline for implementation and measurement. **(1.5 points)**
- d) Specific sub-activities to meet monitoring deliverables **(1.5 points)**
- e) Specific other sub-activities to meet contract deliverables regarding collaboration, reporting, networking, including the timeline for implementation and measurement, where appropriate. **(1.5 points)**
- f) Specific sub-activities to ensure state and federal data reporting requirements are met. **(1.5 points)**
- g) Indicators of success are appropriate and measurable and include both implementation and outcome measures **(1 point)**

Cost Proposal (30 points)

The original completed Cost Proposal must be emailed and labeled **[name of bidder]-Cost Proposal-RFP #21-006** and must include the following:

- 1.) Year 1 Detailed Budget
- 2.) 5 Year Budget Summary, **Signature Required**
- 3.) Subcontracting Form
- 4.) M/WBE Purchases Form

Budgets must be submitted using whole dollar numbers.

Please submit a budget narrative outlining the use of funds. No points will be given for this narrative.

The Financial Criteria portion of the RFP will be scored based upon the grand total of the 5 year budget summary.

M/WBE Documents

The original completed M/WBE Documents must be emailed and labeled **[name of bidder]-M/WBE Documents-RFP #21-006**. Please return the documents listed for the compliance method bidder has achieved:

Full Participation-No Request for Waiver

- 1. M/WBE Cover Letter, **Signatures Required**
- 2. **M/WBE 100** Utilization Plan
- 3. **M/WBE 102** Notice of Intent to Participate
- 4. **EEO 100** Staffing Plan

Partial Participation-Request for Partial Waiver

- 1. M/WBE Cover Letter, **Signatures Required**
- 2. **M/WBE 100** Utilization Plan
- 3. **M/WBE 102** Notice of Intent to Participate
- 4. **EEO 100** Staffing Plan
- 5. **M/WBE 101** Request for Waiver
- 6. **M/WBE 105** Contractor's Good Faith Efforts

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No Participation-Request for Complete Waiver

1. M/WBE Cover Letter, **Signatures Required**
2. **M/WBE 101** Request for Waiver
3. **M/WBE 105** Contractor's Good Faith Efforts

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 any and all proposals, waive minor irregularities and conduct discussions with all responsible bidders.

Technical Criteria (70 Points)

1. Project Description (60 Points): The complete project description and supporting materials will be reviewed to determine the overall consistency of the proposal with the stated purpose and objectives of the RFP. The qualifications of key personnel and the adequacy of the resources of the sponsoring agency will be reviewed to determine the organization’s ability to implement the activities described in the application.

2. Work Plan (10 Points): The Work Plan Template must be completed to describe the deliverables that will result in meeting the requirements of the RFP. The Work Plan will be evaluated based on its completeness, the appropriateness of the sub- activities to achieve each of the required deliverables, indicators of success, how the success will be measured, and the timeline for implementation of the sub-activities.

Financial Criteria (30 Points)

Although a budget narrative is required, no points will be given for this narrative.

The proposed budgets should outline the use of funds. Each budget will be reviewed to determine the extent to which the budget is adequate to support the project, and that the costs are reasonable in relation to the objectives and activities of the RC.

The Financial Criteria portion of this RFP will be scored based upon the grand total for the 5 year budget summary.

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- The **financial portion** of the proposal represents 30 points of the overall score and will be awarded up to 30 points pursuant to a formula. This calculation will be computed by the Contract Administration Unit upon completion of the technical scoring by the technical review panel.
- The submitted budget will be awarded points pursuant to a formula that awards the highest score of 30 points to the budget that reflects the lowest overall cost. The remaining budgets will be awarded points based on a calculation that computes the relative difference of each proposal against the lowest budget submitted. The resulting percentage is then applied to the maximum point value of 30 points.
- **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. The Contract Administration Unit will recalculate the financial score.**

Method of Award

The aggregate score of all the criteria listed will be calculated for each proposal received per region (NYC and ROS).

The contract issued pursuant to this proposal will be awarded to the vendor whose aggregate technical and cost score is the highest among all the proposals rated per region. **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.**

In the event that more than one proposal obtains the highest aggregate score, the contract will be awarded to the vendor 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 an offerer's proposal and/or to determine an offerer'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.

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 request to the Fiscal Contact person at:

NYS Education Department
Contract Administration Unit
89 Washington Avenue
Room 501W EB
Albany, NY 12234

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 filed within ten (10) business days of receipt of a debriefing or disqualification letter. The protest letter must be filed with:

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NYS Education Department
Contract Administration Unit
89 Washington Avenue
Room 501W EB
Albany, NY 12234

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 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.

Subcontractors:

For vendors using subcontractors, a Vendor Responsibility Questionnaire and a NYSED vendor responsibility review are required for a subcontractor where:

- the subcontractor is known at the time of the contract award;

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- the subcontractor is not an entity that is exempt from reporting by OSC; and
- the subcontract will equal or exceed \$100,000 over the life of the contract.

Note: Bidders must acknowledge their method of filing their questionnaire by checking the appropriate box on the Response Sheet for Bids (5. 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 – **Elizabeth Whipple**

Contract Administration Unit – **Adam Kutryb**

M/WBE – **Brian Hackett**

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 §§ 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, 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.

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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;

(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

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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.

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:

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- **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, § 5-a)

Tax Law § 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, 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.

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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), Appendix A-1 (Agency-Specific Clauses), and Appendix R (Data Privacy Appendix) **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 **5.) 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

M/WBE Documents – (the forms below are included in 5.) Submission Documents)

Please return the documents listed for the compliance method bidder has achieved:

Full Participation-No Request for Waiver

Signatures Required

1. M/WBE Cover Letter
2. **M/WBE 100** Utilization Plan
3. **M/WBE 102** Notice of Intent to Participate
4. **EEO 100** Staffing Plan

Partial Participation-Request for Partial Waiver

Signature Required

1. M/WBE Cover Letter
2. **M/WBE 100** Utilization Plan
3. **M/WBE 102** Notice of Intent to Participate
4. **EEO 100** Staffing Plan
5. **M/WBE 101** Request for Waiver
6. **M/WBE 105** Contractor's Good Faith Efforts

No Participation-Request for Complete Waiver

Signature Required

1. M/WBE Cover Letter
2. **M/WBE 101** Request for Waiver
3. **M/WBE 105** Contractor's Good Faith Efforts

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

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exceed the amount noted on the face page hereof or in the respective Appendix designating the payment amount for that given 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. Variations in each budget category not exceeding ten percent (10%) of such category may be approved by the Commissioner of Education. Any such variations shall be reflected in the final expenditure report and filed in the Office of the State Comptroller. Variations in each budget category which do exceed ten percent (10%) of such category must be submitted to the Office of the State Comptroller for approval.
- C. 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 §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 foregoing 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 §139-k and that all information provided to the State Education Department with respect to State Finance Law §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 §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 §139-j (3) and §139-j (6)(b).
- F. Contractor certifies that it is in compliance with NYS Public Officers Law, including but not limited to, §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 §§ 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