REQUEST FOR PROPOSAL (RFP)

**RFP # 23-018**

**NEW YORK STATE EDUCATION DEPARTMENT**

Title: Performance-Based Learning and Assessment Networks Professional Learning Providers

The New York State Education Department (NYSED) **Office of Education Policy** is seeking proposals for professional learning providers (PLPs) to operate three Performance-Based Learning and Assessment Networks (PLAN) technical assistance centers (TACs) in the State, as part of the PLAN Pilot. Each TAC will specialize in one of three Focus Areas, as defined in this RFP. As a group and individually, the PLPs will work in partnership with NYSED staff to provide technical assistance and professional learning to PLAN Pilot Schools and Networks, to support their transition to implementing performance-based learning and assessment approaches.

Subcontracting will be limited to **fifty percent (50%)** of the total contract budget. Subcontracting is defined as non-employee direct personal services and related incidental expenses, including travel.

NYSED will award **three** contract(s) pursuant to this RFP. The contract(s) resulting from this RFP will be for a term anticipated to begin **October 1, 2023** and to end **September 30, 2026**. One optional one-year renewal or no-cost extension may be granted, dependent on approval from the United States Department of Education (USDOE). **NYSED intends to allocate a total amount not to exceed $1,650,000 for all three contracts combined—i.e., approximately $550,000 for each TAC.**

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.

Service Area**: Statewide**

**Components contained in RFP #23-018** **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 **PLAN.Pilot@nysed.gov** no later than the close of business **June 28, 2023**. Questions regarding this request should be identified as Program, Fiscal or M/WBE. A Questions and Answers Summary will be posted to [**P-12 Competitive Procurement Opportunities Website**](https://www.p12.nysed.gov/compcontracts/compcontracts.html)no later than **July 12, 2023**. The following are the designated contacts for this procurement:

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| **Program Matters**  Nicole Lennon  **PLAN.Pilot@nysed.gov** | **Fiscal Matters**  Lucas Rodriguez  **PLAN.Pilot@nysed.gov** | **M/WBE Matters**  Brian Hackett  **PLAN.Pilot@nysed.gov** |

A Notice of Intent (NOI) is not a requirement for submitting a complete proposal by the proposal due date; however, please submit a simple email notice stating your organization’s intent to submit a proposal in response to this RFP. Please send the NOI to [**PLAN.Pilot@nysed.gov**](mailto:PLAN.Pilot@nysed.gov) **by July 19, 2023.**

Bidders are requested to submit their bids electronically. The following documents should be submitted by email as detailed in the Submission section of the RFP, and must be received at NYSED no later than **July 26, 2023** **by 3:00 PM Eastern Time**:

1. Submission Documents labeled **[name of bidder]** **Submission Documents [Focus Area A, B, or C] RFP #23-018**
2. Technical Proposal labeled **[name of bidder]** **Technical Proposal [Focus Area A, B, or C] RFP #23-018**
3. Cost Proposal labeled **[name of bidder]** **Cost Proposal [Focus Area A, B, or C] RFP #23-018**
4. M/WBE Documents labeled **[name of bidder] M/WBE Documents [Focus Area A, B, or C] RFP #23-018**

**An entity may submit separate and complete proposals, each for a different Focus Area. Each separate proposal submitted in response to this RFP should be clearly labeled with the Focus Area for that proposal.**

Instructions for Submitting an Electronic Bid:

1. The 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 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:
   1. handwritten signatures on scanned documents
   2. e-signatures that have been authenticated by a third-party digital software, such as DocuSign and Adobe Sign
   3. 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:
5. a typed name, including a signature created by selecting a script or calligraphy font for the typed name of the person “signing”
6. 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."

1. In order to ensure the timely receipt of your bid, please use the subject line "BID SUBMISSION RFP 23-018" - 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 or considered for award.
2. **Bids must be received by 3:00 pm Eastern Time on the due date.**

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## 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.

### 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](https://ny.newnycontracts.com/FrontEnd/searchcertifieddirectory.asp).

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](https://ny.newnycontracts.com/FrontEnd/searchcertifieddirectory.asp); 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](http://www.oms.nysed.gov/fiscal/MWBE/Forms.html) webpage.

### Service-Disabled Veteran-Owned Business (SDVOB) Participation Goals Pursuant to Article 3 of the Veterans’ Services Law

[Article 3 of the Veterans’ Services Law](https://www.nysenate.gov/legislation/laws/VET/A3) allows eligible Veteran business owners to get certified as a New York State Service-Disabled Veteran-Owned Business (SDVOB). The goal of Article 3 is to encourage and support eligible SDVOBs to play a greater role in the state's economy by increasing their participation in New York State's contracting opportunities. 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](https://www.ogs.ny.gov/veterans)

### Background and Context

###### Relationship Between PLAN and NYSED’s Graduation Measures Initiative

The Board of Regents and NYSED are in the midst of a thoughtful review of what a New York State high school diploma should signify, known as the Graduation Measures initiative. This initiative is, in part, about ensuring that what students are learning is relevant to them and the world they live in, and providing multiple, different ways for students to demonstrate—throughout the entire learning process—that they are developing the knowledge, skills, and dispositions they will need to be successful. In stakeholder meetings convened throughout the state as part of the Graduation Measures initiative, the idea of performance-based learning and assessment has been a recurring theme expressed by participants.

Accordingly, NYSED applied for and was awarded funding through the USDOE’s Competitive Grants for State Assessment (CGSA) to implement the Performance-Based Learning and Assessment Networks (PLAN) project. The PLAN project is based on an “implementation science”[[1]](#footnote-2) approach that will support networks of Pilot Schools—at the high school and middle school levels—to adopt, adapt, and implement evidence-based performance-based learning and assessment (PBLA) approaches.

For additional background and context about the PLAN project, bidders are encouraged to familiarize themselves with [NYSED’s funded CGSA proposal](https://oese.ed.gov/files/2022/08/NewYorkCGSA2022application_Redacted.pdf).

###### Performance-Based Learning and Assessment: Definition and Key Features

Within a system that includes multiple assessment measures, each type of assessment has a valuable role to play, and different types of assessments work together to provide a picture of students’ mastery of learning standards. Performance-based approaches can be designed to incorporate real-world problems and tasks, giving students opportunities to develop and apply knowledge and skills in settings that resemble authentic, real-life situations. Such approaches to teaching, learning, and assessment can be used to promote students’ deeper learning and higher-order thinking skills and have been shown to prepare students for college and the workplace.

Performance-based assessment requires students to demonstrate or apply their knowledge, skills, and strategies by creating a response or product or doing a task. Students’ responses or performances are typically judged against standards or criteria in a checklist or rubric focusing on the stages of skill development and what a student can do. Depending on the purpose for which an assessment is being used, performance tasks can be part of standardized assessments, or can be designed to incorporate a greater degree of student initiative and choice.

Because performance-based assessments require students to construct a response or perform an open-ended task, they are an important tool for measuring higher-order thinking and skills, such as the ability to apply knowledge and use reasoning to solve realistic problems, evaluate the reliability of sources of information, and synthesize and analyze information to draw conclusions.

For additional information about PLAN’s conception of PBLA, see the [Resources & Guidance](http://www.nysed.gov/plan-pilot/resources-guidance) page of NYSED’s PLAN Pilot website.

###### The PLAN Pilot

The PLAN Pilot will look at how successful PBLA approaches can be implemented in diverse types of schools, and how to support schools in making that transition. There are several school models in which performance-based learning and assessment is a key component that provides authentic measures of student readiness and informs teaching and learning in ways that support high-quality instructional practices, advance deeper learning, and strengthen family and community engagement. Three types of promising models that are already operating successfully in New York State include:

* School networks and regional hubs that are implementing high-quality career and technical education and work-based learning in ways that prepare students for success in the workplace;
* School networks that use inquiry-based pedagogical approaches and assessments, designed around a learner profile, to measure students' individual performance on specified objectives; and
* School networks that use a project-based learning approach and practitioner-developed performance-based assessment tasks to determine student progress.

To support high-quality implementation of a system of PBLA, Pilot School leaders and their teams will require substantial technical assistance and professional learning over a sustained period. For example, school leaders will require technical assistance to develop a school culture around PBLA, build schedules that incorporate PBLA collaboration time, and cultivate family and community support and engagement with PBLA. Teachers will need professional learning that demonstrates for them the shifts in instruction and assessment practices required to implement PBLA in their classrooms. Learning communities of educators, students, and families will need support to engage with student performance data and build assessment literacy. The exact combination of supports needed will vary, depending on the characteristics of each Pilot School community—their context, existing strengths, and goals—and the model they choose to pursue.

Consistent with implementation science, NYSED has designed the PLAN Pilot to be implemented in stages, as shown below in the timeline excerpt from [NYSED’s funded CGSA proposal](https://oese.ed.gov/files/2022/08/NewYorkCGSA2022application_Redacted.pdf). TACs will support participating schools and networks as they move from installation of the elements required for implementation, to initial implementation, and then expanded implementation.

NYSED and its research partners will conduct a rigorous evaluation of the PLAN Pilot to identify key professional learning supports, technical assistance, and other conditions needed for schools to implement PBLA. Furthermore, the evaluation will guide continuous improvement during the program and, ultimately, lead to the development of a field-informed set of recommendations and road maps for scaling the transition to a statewide assessment strategy that incorporates PBLA.

**Timeline excerpt from NYSED’s funded CGSA proposal**

| **Dates** | **Professional Learning Provider (PLP) Activities** | |
| --- | --- | --- |
| ONGOING  2023 – 2026 | * Provide training, professional learning, and support to Pilot Schools * Facilitate Communities of Practice (CoPs) * Support Mentor Schools in providing peer support to Pilot Schools |
| October 2023 | * NYSED convenes PLAN Pilot Networks with PLPs to establish norms, shared goals, and expectations |
| November 2023 – May 2024 | * Support Pilot Schools through **Installation** of elements required for implementation and Mentor Schools in providing customized support (site visits, faculty exchanges, etc.) |
| June 2024 – July 2024 | * Work with each Pilot School’s designated PBLA Transition Leader to create detailed transition plans to support Initial Implementation for SY 24-25 * Work with Initial Implementation Teachers to prepare curricular and instructional plans for SY 24-25 |
| August 2024 | * PLAN Leadership Academy—Week-long intensive training and support for school and district leaders to understand and plan for Full Implementation by SY 25-26 |
| September 2024 | Pilot Schools begin **Initial Implementation** | |
| October 2024 – June 2025 | Pilot Schools carry out Initial Implementation |
| November 2024 | *Pilot Schools and Districts submit to NYSED 5-year plans for shifting to PBLA, including curriculum purchases, professional learning plans, budgets* |
| January 2025– March 2025 | * Support Pilot Schools to develop Expanded Implementation plans for SY 25-26 |
| April 2025 – June 2025 | * Support/provide training to staff and faculty that will be part of the Expanded Implementation in SY 25-26 |
| June 2025 – July 2025 | * Work with PBLA Transition Leaders to create detailed transition plans to support Expanded Implementation for SY 25-26 * Work with Expanded Implementation Teachers to prepare curricular and instructional plans for SY 25-26 |
| September 2025 | Pilot Schools begin **Expanded Implementation** | |
| October 2025 – June 2026 | Pilot Schools carry out Expanded Implementation |
| January – March 2026 | * Support Pilot Schools to develop Full Implementation plans for SY 26-27 |
| April 2026– June 2026 | * Support/provide training to staff and faculty that will be part of the Full Implementation in SY 26-27 |
| June 2026– July 2026 | * Work with PBLA Transition Leaders to create detailed transition plans to support Full Implementation for SY 26-27 * Work with Full Implementation Teachers to prepare curricular and instructional plans for SY 26-27 |
| September 2026 | Pilot Schools begin **Full Implementation** | |

### Project Description and Scope of Services to be Performed

###### Overview

NYSED seeks to engage professional learning providers (PLPs) with demonstrated experience and expertise in supporting schools to implement evidence-based PBLA methods and transition to using multiple measures for assessing student learning. These PLPs will serve as implementation drivers in the PBLA change process by supporting capacity building and improvements in instructional and assessment practice in Pilot Schools. As a group and individually, the PLPs will work in partnership with NYSED staff to provide technical assistance and professional learning to PLAN Pilot Schools, Mentor Schools, and Networks, through the operation of three TACs.

TACs funded through this RFP will implement extensive professional learning experiences for educators in Pilot Schools to increase their capacity to:

* develop and use high-quality, performance-based approaches to learning that foster culturally and linguistically responsive, engaging, student-centered instruction; and
* develop, administer, and score performance assessments, interpret the results, and use them to support teaching and learning.

All professional learning experiences provided by TACs need to incorporate, be consistent with, and advance the commitments and values outlined in the following documents:

* Board of Regents’ [Diversity, Equity, and Inclusion Policy Statement](http://www.nysed.gov/diversity-equity-inclusion/diversity-equity-and-inclusion-framework-and-policy-statement)
* NYSED’s [Culturally Responsive and Sustaining Education Framework](http://www.nysed.gov/crs/framework)
* NYS [Professional Learning Standards](http://www.nysed.gov/educator-quality/professional-learning-and-growth)
* NYSED’s [Social-Emotional Learning Benchmarks](https://www.p12.nysed.gov/sss/sel.html)
* NYS [Student Learning Expectations (Standards](http://www.nysed.gov/curriculum-instruction))
* NYS [Teaching Standards](http://www.nysed.gov/educator-quality/teaching-and-educational-leadership-standards) and [Professional Standards for Educational Leaders](http://www.nysed.gov/educator-quality/teaching-and-educational-leadership-standards)

###### Number of Schools to be Supported

All winning providers will be expected to perform both a Pilot-Wide role and a Focus-Area-specific role, as follows:

* Pilot-Wide: All TACs will provide general PBLA technical assistance to all participating schools (at least 30 Pilot Schools plus 10 Mentor Schools, for a minimum of 40 schools total).
* Focus-Area-specific: Each TAC will provide more intensive, Focus-Area-specific services to a smaller subset of approximately 4 Pilot Networks (3 Pilot Schools and 1 Mentor School per network, for a total of 16 schools across 4 networks), based on a process of matching schools to TACs that NYSED will manage after TAC contracts are awarded.

###### Technical Assistance Center Location and Staffing

Contractors must maintain an office in New York State where project staff will be located throughout the term of the contract. The office may be located in any area of the state, and support may be provided via a combination of in-person, virtual, and hybrid modalities. However, TAC staff will be expected to travel, as needed, to provide Focus-Area-specific supports to the Pilot Networks and Schools assigned to their TAC. Expenses for TAC staff to conduct this travel must be built into the Cost Proposal.

This project requires expertise across multiple domains. Therefore, NYSED encourages bidders to assemble a team of partner entities and/or consultants, as needed, to complement their skills and expertise. The contractor is ultimately responsible for all deliverables.

Each contractor must, at a minimum, designate one FTE staff position to coordinate all aspects of the project, including coordinating work and serving as liaison with such partners/consultants (“TAC Lead”). This individual must be experienced in providing professional learning and/or technical assistance.

###### PBLA Technical Expertise—General

To fulfill their Pilot-Wide role, each TAC needs to be able to support schools and educators in implementing evidence-based PBLA approaches that meet the definition of “useable innovations” (i.e., must be teachable, learnable, doable, and assessable), within the domain of implementation science (see Footnote 1). Each PLP needs to be familiar with research-based expectations for high-quality PBLA systems[[2]](#footnote-3) and skilled at supporting educators and schools in strategically developing their systems and practices by co-creating plans that leverage strengths and prioritize areas to work on.

To support the overall work of the PLAN Pilot, each PLP must have general technical expertise in the following domains:

* Successful approaches to performance-based learning and assessment;
* Providing professional learning and supports to educators;
* Fostering positive shifts in school culture; and
* Student-centered approaches to improving student outcomes.

Providers must be knowledgeable about the values and commitments outlined in the following documents and how they relate to PBLA:

* Board of Regents’ [Diversity, Equity, and Inclusion Policy Statement](http://www.nysed.gov/diversity-equity-inclusion/diversity-equity-and-inclusion-framework-and-policy-statement)
* NYSED’s [Culturally Responsive and Sustaining Education Framework](http://www.nysed.gov/crs/framework)
* NYS [Professional Learning Standards](http://www.nysed.gov/educator-quality/professional-learning-and-growth)
* NYSED’s [Social-Emotional Learning Benchmarks](https://www.p12.nysed.gov/sss/sel.html)
* NYS [Student Learning Expectations (Standards](http://www.nysed.gov/curriculum-instruction))
* NYS [Teaching Standards](http://www.nysed.gov/educator-quality/teaching-and-educational-leadership-standards) and [Professional Standards for Educational Leaders](http://www.nysed.gov/educator-quality/teaching-and-educational-leadership-standards)

###### PBLA Technical Expertise—3 Focus Areas

To fulfill their Focus-Area-specific role, each TAC will specialize in one of three Focus Areas, as described below, and will be assigned to provide more intensive, Focus-Area-specific supports to the Pilot Networks that have selected to implement a model from that Focus Area. These three Focus Areas correspond to the three types of promising PBLA models described in The PLAN Pilot section, above.

NYSED’s vision is that each Pilot Network will include a Mentor School proficient in implementing PBLA in accordance with the key features of a particular Focus Area. NYSED anticipates that each Mentor School will be associated with a PBLA school support organization that already works with multiple schools that utilize their PBLA model, independently of the PLAN Pilot. Bidders are encouraged to consider how they will collaborate effectively with Mentor Schools and existing PBLA school support organization(s) in their chosen Focus Area. In addition to providing direct support and training, professional learning, and technical assistance, each PLP will facilitate the Pilot Networks in their Focus Area as a Community of Practice[[3]](#footnote-4)

The three Focus Areas are differentiated by the following key features:

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| **Focus A: Career and Technical Education and Work-Based Learning** |

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| Grade Level: | High School |
| Instructional Model: | Structured learning experiences for students that are explicitly connected to classroom-based learning;  Features coaching/mentoring and hands-on experiences in authentic settings, including work-based learning, internships, and other real-world opportunities;   * Focused on exploring postsecondary career pathways and technical training to provide students with opportunities to apply their knowledge gained from classroom instruction to real-world situations. |
| Assessment: | Incorporates performance measures on student application of knowledge and skills to the workplace and other settings, including knowledge of career pathways and exhibition of technical skills, such as those assessed for [CDOS Option 1 or CTE 4+1 pathways](http://www.nysed.gov/career-technical-education/requirements-cte-and-cdos-graduation-pathways-and-cdos-credential);  Includes a portfolio of student work;   * Culminates in a credential that communicates evidence about each student’s learning, achievement, and competencies. |

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| **Focus B: Inquiry-Based Approach with Learner Profile** |

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| --- | --- |
| Grade Levels: | Middle School and High School |
| Instructional Model: | Inquiry-based pedagogical approach designed around a “learner profile” that aims to help students develop a set of attributes through their educational experience;  Focused on understanding individual strengths and weaknesses, to support learning and personal development;  Promotes conceptual learning;  Develops skills for inquiry, research, and responsible action;   * Offers students authentic opportunities to connect their learning to the world around them. |
| Assessment: | Uses a combination of school-based and externally evaluated assessment strategies to measure students’ individual performance on specified objectives;  Includes personal and community projects. |

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| **Focus C: Project-Based Learning and Performance-Based Assessment Tasks (PBATs)** |

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| --- | --- |
| Grade Level: | High School |
| Instructional Model: | Project-based learning approach that organizes learning around student design of complex tasks and presentation of an original product, following a self-directed, long-term investigation;  Features inquiry- and literacy-based curriculum across content areas, designed to build toward student completion of PBATs;  Purposefully includes interdisciplinary and experiential learning opportunities and collaborative structures that build on the strengths of each member of the school community to motivate students, support the development of strong language skills, and enhance students’ capacity to successfully participate in modern society. |
| Assessment: | Uses practitioner-developed, externally evaluated PBATs that comprise both oral and written components to assess graduation-level work in core subject areas. |

###### Services to be Provided

Pilot-Wide

The TACs will function as a collaborative network to provide training and technical assistance to all Pilot Schools, Mentor Schools, and Pilot Networks on the following topics:

* Successful approaches to performance-based learning and assessment;
* Fostering positive shifts in school culture;
* Student-centered approaches to improving student outcomes; and
* Assessment literacy.

Focus-Area-specific

More intensive, Focus-Area-specific supports and activities provided by the TACs to a smaller subset of Pilot Schools (and their districts), Mentor Schools, and Pilot Networks will include, but are not limited to, the following:

**Pilot School and District Leaders**

* PLAN Leadership Academy—Conduct an intensive training and support event for school and district leaders in assigned Pilot Networks to understand and plan for Full Implementation by SY 25-26. In the timeline excerpt from NYSED’s funded CGSA proposal above, this is listed as a week-long event in August 2024; however, bidders may propose an alternative timing and format.
* Assist school and district leadership in assessing project-related strengths and needs, developing school-based transition plans and district-level support plans, and supporting annual review and editing of those plans to support the sustainability of PBLA shifts in Pilot Schools.
* Provide early, intensive, Focus-Area-specific training to leaders in Pilot Schools on specific PBLA models.
* Provide ongoing training and professional learning to leaders in Pilot Schools on topics including, but not limited to:
  + Fostering facilitative leadership and collaborative teaching practices;
  + Modifying school schedules, budgets, and resource allocations to support PBLA; and
  + Designing professional learning experiences and opportunities that support implementation of PBLA with efficacy for the students attending their school.

**Pilot School Teachers, Instructional Leaders, and Staff**

* Provide ongoing training and professional learning to teachers, instructional leaders, and staff (e.g., school counselors) in Pilot Schools on topics including, but not limited to:
  + Preparing curricular and instructional plans, as well as supporting annual review, editing, and expansion of those plans across grade levels and/or subject areas in Pilot Schools;
  + Designing and administering performance-based assessments (PBAs);
  + Adopting, adapting, and/or designing evaluation rubrics across the curriculum and revising them as needed;
  + Scoring PBA results and establishing inter-rater reliability;
  + Evaluating both student work and the assigned tasks;
  + Communicating PBA results;
  + Interpreting PBA results and using them to modify instruction;
  + Making learning goals transparent to students and families;
  + Supporting all student populations, including students with disabilities and English language learners;
  + Collaborating on linked learning activities/assignments;
  + Assessment literacy throughout the school community; and
  + Other curricular and instructional shifts necessary to implement specific evidence-based PBLA models with efficacy in their classrooms.

**Pilot Network Community Activities**

* Support Professional Learning Communities in each Pilot School to encourage educators to sustainably collaborate within their own school community to implement PBLA approaches as a means of improving student learning.
* Provide assessment literacy training to each Pilot School’s educational community.[[4]](#footnote-5)
* Support Mentor Schools in providing learning opportunities to educators in their Pilot Network, such as school intervisitations, modeling PBLA practices, peer coaching and mentoring, and collaboratively addressing problems of practice.
* Bring together all Pilot Networks in the TAC’s Focus Area as a Community of Practice that engages in the Plan-Do-Study-Act Cycle, to continuously improve implementation at the Pilot School and Pilot Network levels.

###### Collaborative Approach to Achieving PLAN Pilot Goals

Consistent with the services to be provided, each PLP will engage in collaborative efforts, communication, and activities in support of the PLAN project’s goals, objectives, and performance outcomes,[[5]](#footnote-6) including, but not limited to the following:

* Maintain a collaborative working relationship with NYSED and the other PLAN TAC PLPs, through regularly scheduled communications, ongoing contact, and participation in PLAN Pilot data collection and dissemination activities, to ensure that:
  + All TAC professional learning and technical assistance activities are coordinated and aligned with PLAN project goals, objectives, and outcomes, as well as other relevant NYSED policies and initiatives; and
  + Pilot-Wide services and activities are complementary, to avoid duplication of effort in the provision of technical assistance and professional learning by the TACs.
* Establish constructive working relationships with the educational community for each Pilot Network that their TAC is assigned to support.[[6]](#footnote-7) This will help to ensure that the Pilot’s PBLA implementation efforts are sustainable after the conclusion of the PLAN Pilot.

Collaborate with Mentor Schools and their associated PBLA school support organization(s), if any, to facilitate and support the provision of high-quality learning opportunities to Pilot School educators. Collaborate with New York’s existing school support networks—including the [Staff and Curriculum Development Network](https://www.nyscdn.com/), ￼[Regional Bilingual Education Resource Networks](https://www.nysed.gov/bilingual-ed/regional-supportrberns), [Office of Special Education Regional Partnership Centers](https://osepartnership.org/), [Teacher Centers](http://www.nysed.gov/curriculum-instruction/teacher-centers), and [Career and Technical Education TAC](http://www.nysed.gov/career-technical-education/cte-technical-assistance-center-new-york). This is to ensure that supports provided to schools and educators by multiple providers are coordinated and—ideally—mutually reinforcing. Furthermore, by involving these existing networks in the Pilot’s PBLA implementation efforts, they will be better positioned to help sustain implementation and support scaling after the conclusion of the PLAN Pilot.

* To allow for coordination across TACs and consultation with assigned Pilot Networks and Schools, the Contractor will submit a Collaboration Plan to:
  + Avoid duplication of work and assure there are no gaps in coverage in Pilot-Wide supports across the TACs;
  + Ensure supports and services provided are responsive to the needs of the assigned schools and networks.
* Contractor will submit the Coordination Plan within 30 days after being matched with Pilot Networks and Schools.

###### Participation in PLAN Pilot Evaluation

To support the PLAN Pilot’s goals, objectives, and outcomes—which include conducting a rigorous evaluation to identify key professional learning supports, technical assistance, and other conditions needed for schools to implement PBLA—each PLP must:

* Cooperate with NYSED and its research and evaluation partners in the collection and reporting of qualitative and quantitative data[[7]](#footnote-8) regarding the PBLA implementation and the associated professional learning, technical assistance, and other supports utilized by Pilot Schools and Pilot Networks in making the transition.
* Take into consideration relevant feedback that NYSED and its project partners obtain through the PLAN Pilot research and evaluation process, to inform continuous improvement in the TACs’ provision of professional learning and technical assistance activities and services.

###### Ownership and Branding of Materials

New York State Education Department shall own all materials, processes, and products (curriculum, documentation, and other written materials – collectively “the Materials”) developed under this RFP. Materials produced under this RFP 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.

All materials created under this RFP shall be branded according to NYSED standards. All materials shall clearly be labeled as being developed with funding from New York State Education Department’s Performance-Based Learning and Assessment Networks Program, through the United States Department of Education’s Competitive Grants for State Assessment (CGSA) Program.

### Payment and Reporting Requirements

The TAC Lead will be responsible for timely and accurate submission of all required reports. All reports, action plans, activities and deliverables, professional development materials, budgets, and other materials will be subject to NYSED’s review and approval.

In addition to the written reports detailed below, contractor will participate in an initial planning meeting within one month of contract execution, followed by regular check-in communications (e.g., emails, calls, and meetings) on a frequency mutually agreed upon with NYSED, to discuss ongoing and planned work as well as any deficiencies found in contractor’s performance to date.

###### Action Plan

Contractor will be required to submit an annual Action Plan by August 31 of each year, except for Year 1; the Year 1 Action Plan will have been submitted with the proposal in response to this RFP.

Using the Action Plan Template provided in the Technical Proposal section below, contractor will outline how the TAC will accomplish its goals and objectives and meet the specific needs it has identified in consultation with its assigned Pilot Networks and Schools. The annual Action Plan must include:

* The goals to which resources and activities will be directed, and specific activities to accomplish each goal. Activities should include a plan to assess the PBLA professional learning and technical assistance strengths and needs of assigned Pilot Networks and Schools and to utilize a feedback loop to continuously improve the provision of services to address those needs;
* The type and projected number of persons who will be served by each activity;
* Who will provide each service (contractor, specific subcontractors and/or consultants);
* Specific, measurable, and quantifiable performance benchmarks (indicator of success and target number) to measure the success of each activity in advancing project goals and objectives;
* A schedule for the beginning and completion of each activity; and
* A plan for collaborating with the entities mentioned above in “Collaborative Approach to Achieving PLAN Pilot Goals” in order to accomplish the activities for each goal.

In Year 2 and beyond, contractor will be required to submit a detailed annual budget and budget narrative explaining how funds will be allocated (see “Budget Information”, below).

###### Payments and Reporting

Payments will be made to the contractor based on NYSED’s approval of timely submitted quarterly programmatic and fiscal reports with an accompanying voucher. NYSED will review these reports to determine whether progress towards project objectives is adequate and expenditures are approvable. Any items in the proposed budget or submitted in a quarterly report or annual Action Plan that is deemed to be non-allowable or inappropriate will be eliminated. Timely reporting means that these submissions are received within 30 days of the end of each quarter. Failure to submit approvable progress reports may result in the suspension of future payments.

Quarterly reports will consist of 2 separate submissions:

1. **Programmatic performance report:** A summary of progress towards the objectives in the annual Action Plan, including (a) accomplishments and milestones achieved; (b) any significant problem, issues, or concerns; and (c) timeline delays.
2. **Fiscal:** A detailed expenditure summary on how funds are utilized by the TAC to implement the Action Plan, including payments to subcontractors (with subcontractor’s name, payment amount, and nature of services provided) as well as explanation of any variances from the approved budget. Accompanying quarterly vouchers are to be submitted on NYSED Standard Vouchers. NYSED reserves the right to request copies of purchase orders or any other supporting documentation.

### Budget Information

ALLOWABLE Costs:

1. Salaries: Include all staff attributable to this agreement. One full-time equivalent (FTE) equals one person working 35-40 hours per week, each week of the project.
2. Employee benefits: A bidder may include costs for employee pension and post-retirement health benefits in its proposed budget, consistent with the federal cost principles and requirements found in OMB’s guidance on the administration of federally funded projects (the “[Omni Circular](https://www.sba.gov/document/support--introduction-omni-circular)”).
3. 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](http://www.gsa.gov) under “travel resources”. Hotel costs must not exceed federal per diem rate. In-state overnight travel (meals and/or lodging) is only allowed if the travel for the employee exceeds 50 miles from their home office. Out-of-state travel requests for TAC staff, including justification and total projected costs, must be submitted to NYSED for approval at least six months prior to the anticipated travel, and approval must be received from NYSED before any commitments are made.
4. 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. Note:
   1. All equipment purchases must be justified and reasonable and are subject to the approval of NYSED.
   2. 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.
5. 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 such as 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.
6. Purchased services: Subcontracting costs for direct services are limited to 50% of the total budget. Purchased services include consultant services. In instances where a subcontract is necessary to fulfill project goals, the subcontract must be for the provision of direct support to the activities of the TAC.
7. Event costs: Costs for conducting training seminars or conferences, which include such expenses as meeting rooms, supplies and materials for the event, and light beverages and snacks for breaks. Note:
   1. When planning logistics for meetings, workshops, and trainings, the contractor shall utilize no-cost meeting venues as the first option. A list of potential no-cost venues near each assigned Pilot Network and School should be developed and utilized. If none can be identified, the contractor shall so notify NYSED. With written approval from NYSED, on a case-by-case basis, other venues may be considered.
   2. Meals may be allowed, subject to advance approval of the NYSED Deputy Commissioner and Chief Financial Officer, when the event necessarily requires a full day (6 hours of actual training time). Meals must adhere to the established NYS travel rates, as indicated at [www.gsa.gov](http://www.gsa.gov) under “travel resources”.
8. Support for educators in participating schools, such as:
   1. Stipends for educators in Mentor Schools, who are experienced with PBLA practices, to provide learning opportunities to educators in their assigned Pilot Networks, such as school intervisitations, modeling PBLA practices, peer coaching and mentoring, and collaboratively addressing problems of practice;
   2. Reimbursing participating schools for substitute teacher coverage, to enable educators from assigned Pilot Networks to participate in professional learning that falls during the school day; and
   3. Stipends to enable educators from assigned Pilot Networks to participate in professional learning that falls outside their contractual professional learning days;
9. Attendance at conferences: A bidder may only include costs for TAC staff or subcontractors to attend conferences if NYSED has approved in advance. Contractor must provide a rationale and expected outcomes for the specific individual(s) attending.
10. 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).

NON-ALLOWABLE Costs:

* Office furnishings
* New construction or renovation of facilities
* Membership fees
* External evaluation services
* Gifts, contributions, alcoholic beverages, entertainment and expenses that violate New York State Ethics Law

Note that the Technical Assistance Center guidelines, located in **5.) Submission Documents (separate document)**, must be followed regarding allowable expenses.

### Requirements of Education Law Section 2-d

The Contractor agrees to comply with FERPA and New York State Education Law § 2-d. The NYS Education Department (NYSED) is required to ensure that all contracts with a third-party contractor that receives PII include a Data Privacy and Security Plan, pursuant to Education Law § 2-d and § 121.6 of the Regulations of the Commissioner of Education. For every contract, the Contractor must complete the following or provide a plan that materially addresses its requirements, including alignment with the NIST Cybersecurity Framework, which is the standard for educational agency data privacy and security policies in New York state.

Pursuant to Education Law § 2-d and § 121.3 of the Regulations of the Commissioner of Education, the NYS Education Department (“NYSED”) is required to post information to its website about its contracts with third-party contractors that will receive Student PII and/or Teacher and/or Principal APPR data (“APPR Data”), collectively referred to as PII.

The New York State Education Department’s Data Privacy Appendix (Appendix R) is annexed to this RFP, the terms of which are incorporated herein by reference, and shall also be part of the Contract.

Bidders should use the templates and instructions in Appendix R to submit the required DPA EXHIBIT 1 - Contractor’s Data Privacy and Security Plan and DPA EXHIBIT 2 - Education Law § 2-d Bill of Rights for Data Privacy and Security and Supplemental Information for Contracts that Utilize Personally Identifiable Information and return them with their proposal for review.

### 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 **50%** 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 **three** contract(s) pursuant to this RFP. The contract(s) resulting from this RFP will be for a term anticipated to begin **October 1, 2023** and to end **September 30, 2026**. **One optional one-year renewal or no-cost extension may be granted, dependent on:**

* Satisfactory performance during the original contract term to date;
* USDOE approval of a corresponding no-cost extension for NYSED’s CGSA grant award;
* successful negotiation of a scope of continued services (which may simply be the continuation of the same services described in the original agreement);
* successful negotiation of associated costs, (which may have been predetermined in the original contract language by limiting rate increases to a specific factor);
* the mutual agreement of both parties; and,
* approval of a contract renewal agreement by the NYS Comptroller as described in section 3 of Appendix A, which is contained in this document.

### 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 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.

4. Contractors and subcontractors shall undertake programs of affirmative action and equal employment opportunity as required by this section[[8]](#footnote-9). 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](https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=4687). 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 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](https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=4687).

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](https://ny.newnycontracts.com/FrontEnd/StartCertification.asp?TN=ny&XID=2029) 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.

### Project Submission

The proposal submitted in response to this RFP must include the following documents submitted by email to [cau@nysed.gov](mailto: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):

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

The proposal must be received by **July 26, 2023** **by** **3:00 PM** by email to [cau@nysed.gov](mailto: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.

**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 completed Technical Proposal should be emailed labeled **Technical Proposal [Focus Area A, B, or C] – RFP #23-018 Do Not Open** and include the following:

1. **Project Description (25 points):** The project description and supporting materials will be reviewed for coherence, completeness, level of detail, and consistency with the scope of required services, as well as adequacy and reasonableness of the activities and level of services proposed.
   1. Describe the bidder’s vision and goals for how its TAC will support sustainable implementation of a high-quality system of PBLA in assigned Pilot Schools and Networks within the selected Focus Area. Explain how the proposed approach will align with and advance the commitments and values of relevant Board of Regents’ and NYSED policies, frameworks, and standards. (5 points)
   2. Describe in detail how the contractor will carry out all activities and functions in the “Project Description and Scope of Services to be Performed” section of the RFP. As appropriate, the proposal should address how the contractor will collaborate with entities mentioned above in “Collaborative Approach to Achieving PLAN Pilot Goals” in order to accomplish the activities described under each of the following prompts:
   3. Describe how the contractor will provide pilot-wide training and technical assistance to all Pilot Schools, Mentor Schools, and Pilot Networks. (5 points)
   4. Describe how the contractor will provide more intensive, Focus-Area-specific professional learning and technical assistance to Pilot School and district leaders in assigned Pilot Networks. (5 points)
   5. Describe how the contractor will provide more intensive, Focus-Area-specific professional learning and technical assistance to Pilot School teachers, instructional leaders, and staff in assigned Pilot Networks. (5 points)
   6. Describe how the contractor will provide Focus-Area-specific Pilot Network community activities. (5 points)
2. **Organizational Capacity and Program Management (25 points):** The organizational capacity and program management and supporting materials will be reviewed to determine the bidder’s ability to implement the activities required in the RFP and described in the application.
   1. Describe the applicant’s track record and capacity to manage projects that are similar in scope and size. Include evidence of the applicant’s capability to plan and provide logistical support for professional learning and technical assistance activities in relevant modalities. (5 points)
   2. Describe the applicant’s track record, capacity, and expertise to effectively provide capacity building and technical assistance, both virtually and on site, to support schools and school networks in: strategically developing PBLA systems and practices by co-creating plans that leverage strengths and prioritize areas to work on; implementing PBLA systems that are high quality and evidence-based; and managing change and fostering positive shifts in the culture of the school community to support PBLA implementation and sustainability. (5 points)
   3. Describe the applicant’s track record, capacity, and expertise to provide professional learning and technical assistance that supports educators to transition to implementing high-quality PBLA learning opportunities and assessments in their Focus Area, in relevant grade levels and subject areas. Provide examples of tools, resources, techniques, and strategies that the applicant and any partner entities have developed and utilized for approaching this type of work: supporting shifts in instruction; serving students with disabilities and English language learners; building assessment literacy; ensuring the validity of performance tasks, rubrics, and scoring; addressing performance gaps; etc. (5 points).
   4. Describe where the TAC will be located, describe how the staffing plan is appropriate to achieve project objectives, and provide evidence that the TAC will have the capacity to serve assigned Pilot Networks and Schools via an appropriate balance of on-site field presence, in-person training events, and virtual modalities. Include job descriptions and attach resumes of TAC Lead and other key personnel, including sub-contractors and consultants. (5 points)
   5. Describe applicant’s track record and capacity to form and sustain necessary partnerships and to effectively collaborate with the entities mentioned above in “Collaborative Approach to Achieving PLAN Pilot Goals” as needed. (5 points)
3. **Action Plan for Year 1 (20 points):** The [Acti](#_Action_Plan_Template_1)[on Plan (see Attachment A)](#_Action_Plan_Template_1) for Year 1 and supporting materials will be reviewed for completeness and consistency with the project description and scope of required services, validity of the benchmarking methods, and reasonableness of the activities, targets, and implementation schedule.
   1. Goals and Activities: (5 points)
      * + 1. Identify the goals to which resources and activities will be directed and list the activities and services to achieve each goal. Include how the contractor will tailor and continuously improve the provision of services in Year 1 based on participants’ strengths, needs, and feedback.
          2. Indicate the type and number of persons projected to be served by each activity.
          3. Indicate which services will be provided directly by the contractor, and which will be provided by specific subcontractors and/or consultants.
   2. Include specific, measurable, and quantifiable performance benchmarks that the contractor will use to measure the success of each activity in advancing project goals and objectives. What is the indicator of success and what is the target number? (5 points).
   3. Include a reasonable schedule of implementation, including projected start date and end date for each activity. (5 points)
   4. Briefly describe how the contractor will collaborate with the entities mentioned above in “Collaborative Approach to Achieving PLAN Pilot Goals” in order to accomplish the activities for each goal. (5 points)

### Cost Proposal (30 points)

The completed Cost Proposal should be emailed labeled **Cost Proposal [Focus Area A, B, or C] – RFP #23-018 Do Not Open** and include the following:

1. Year 1 Detailed Budget
2. Three-Year Budget Summary,
3. Subcontracting Form
4. M/WBE Purchases Form
5. Budget Narrative outlining the use of funds for Year 1 (no points awarded for Budget Narrative)

Budgets must be submitted using whole dollar numbers.

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

### M/WBE Documents

The original completed M/WBE Documents should be emailed labeled **M/WBE Documents [Focus Area A, B, or C] – RFP #23-018 Do Not Open.** 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

**No Participation-Request for Complete Waiver**

* 1. M/WBE Cover Letter, **Signatures Required**
  2. **EEO 100** Staffing Plan
  3. **M/WBE 101** Request for Waiver
  4. **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 (25 points)**
2. **Organizational Capacity and Program Management (25 points)**
3. **Action Plan for Year 1 (20 points)**

### Financial Criteria (30 Points)

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

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. **Applicants applying for the same Focus Area will be ranked according to their aggregate scores.**

The contracts issued pursuant to this proposal will be awarded to the vendor **in each Focus Area** whose aggregate technical and cost score is the highest among all the proposals rated. **If NYSED exercises the right to request best and final offers for one or more Focus Areas, the contract for that Focus Area 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 **within the same Focus Area**, the contract **for that Focus Area** 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 **PLAN.Pilot@nysed.gov**.
2. Upon receipt of a timely written request from the unsuccessful bidder, NYSED will schedule the debriefing to occur within a reasonable time following receipt of the request. Debriefings will be conducted in person, unless NYSED and the bidder mutually agree to utilize other means, including but not limited to telephone, video-conferencing or other types of electronic communication.
3. The debriefing will include: a) the reasons that the proposal submitted by the unsuccessful bidder was not selected for an award; b) the qualitative and quantitative analysis employed by NYSED in assessing the relative merits of the proposals; c) the application of the selection criteria to the unsuccessful bidder’s proposal; and d) when the debriefing is held after the final award, the reasons for the selection of the winning proposal. The debriefing will also provide, to the greatest extent practicable, general advice and guidance to the unsuccessful bidder concerning potential ways that their future proposals could be more responsive.

### Contract Award Protest Procedures

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

1. The protest must be in writing and must contain specific factual and/or legal allegations setting forth the basis on which the protesting party challenges the contract award by NYSED.
2. The protest must be filed within ten (10) business days of receipt of a debriefing or disqualification letter. The protest letter must be filed with the Contract Administration Unit by emailing: **PLAN.Pilot@nysed.gov**.
3. The NYSED Contract Administration Unit (CAU) will convene a review team that will include at least one staff member from each of NYSED’s Office of Counsel, CAU, and the Program Office. The review team will review and consider the merits of the protest and will decide whether the protest is approved or denied. Counsel’s Office will provide the bidder with written notification of the review team’s decision within ten (10) 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](https://www.osc.state.ny.us/state-vendors/vendrep/file-your-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](https://www.osc.state.ny.us/state-vendors/vendrep/vendor-responsibility-documentation) can be viewed at the Office of the State Comptroller’s website.

NYSEDrecommends 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](https://www.osc.state.ny.us/state-vendors/vendrep/vendrep-system) or go directly to the [VendRep System on the Office of the State Comptroller's website](https://onlineservices.osc.state.ny.us/).

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](https://www.osc.state.ny.us/online-services/get-help) at 866-370-4672 or 518-408-4672 or by email at [ITServiceDesk@osc.ny.gov](mailto:ITServiceDesk@osc.ny.gov).

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the [VendRep website](https://www.osc.state.ny.us/state-vendors/vendrep/vendor-responsibility-forms) 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;
* 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](http://www.oms.nysed.gov/fiscal/cau/PLL/procurementpolicy.htm) webpage.

Designated Contacts for NYSED

Program Office – **Nicole Lennon**

Contract Administration Unit – **Lucas Rodriguez**

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](https://www.osc.state.ny.us/agencies/forms/ac3271s.doc) is available on OSC’s website.

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

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

[Form B](https://www.osc.state.ny.us/agencies/forms/ac3272s.doc) is available on OSC’s website.

For more information, please visit [OSC Guide to Financial Operations.](https://web.osc.state.ny.us/agencies/guide/MyWebHelp/Default.htm)

### 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](https://jcope.ny.gov/sites/g/files/oee746/files/documents/2017/09/public-officers-law-73.pdf).

### NYSED Substitute Form W-9

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

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

### Workers’ Compensation Coverage and Debarment

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

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

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

### PROOF OF COVERAGE REQUIREMENTS

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

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

**Proof of Workers’ Compensation Coverage**

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

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

**Proof of Disability Benefits Coverage**

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

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

For additional information regarding workers’ compensation and disability benefits requirements, please refer to the [New York State Workers’ Compensation Board website](http://www.wcb.ny.gov/content/main/Employers/Employers.jsp). 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 with the certification is made. Sales tax quarters are June – August, September – November, December – February, and March – May. In addition, contractors must certify to DTF that each affiliate and subcontractor of such contractor exceeding such sales threshold during a specified period is registered to collect New York State and local sales and compensating use taxes. Contractors must also certify to the procuring State entity that they filed the certification with the DTF and that it is correct and complete.

The selected bidder must file a properly completed Form ST-220-CA (with NYSED as the Contracting Agency) and Form ST-220-TD (with the DTF). These requirements must be met before a contract may take effect. Further information can be found at the [New York State Department of Taxation and Finance’s](https://www.tax.ny.gov/pdf/publications/sales/pub223.pdf) website. Forms are available through these links:

• [ST-220 CA](https://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)

• [ST-220 TD](https://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)

**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 Security and Privacy Plan Provisions) **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
9. Certification Under Executive Order No. 16

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**

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**

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**

1. M/WBE Cover Letter
2. **EEO 100** Staffing Plan
3. **M/WBE 101** Request for Waiver
4. **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 Dr. Betty A. Rosa, Commissioner of Education of the State of New York, party of the first part, hereinafter referred to as the (STATE) and the public or private agency (CONTRACTOR) identified on the face page hereof.

WITNESSETH:

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

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

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

I. Conditions of Agreement

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

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

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

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

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

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

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

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

II. Payment and Reporting

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

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

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, licenser, 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](mailto: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](mailto:mwbecertification@esd.ny.gov)

[NYS M/WBE Directory](https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp)

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](https://ogs.ny.gov/list-entities-determined-be-non-responsive-biddersofferers-pursuant-nys-iran-divestment-act-2012)”).

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

Payment and Reporting

1. 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.

1. 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.
2. 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

1. 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.

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

1. 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.
2. 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.
3. 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.
4. This agreement cannot be modified, amended, or otherwise changed except by a writing signed by all parties to this contract.
5. 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.
6. 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.
7. No fees shall be charged by the Contractor for training provided under this agreement.
8. 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.
9. Nothing herein shall require the State to adopt the curriculum developed pursuant to this agreement.
10. 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**

1. 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.
2. Contractor certifies that it has not knowingly and willfully violated the prohibitions against impermissible contacts found in State Finance Law §139-j.
3. Contractor certifies that no governmental entity has made a finding of nonresponsibility regarding the Contractor in the previous four years.
4. 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.
5. 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).
6. 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

1. 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.
2. 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.

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 –Security and Privacy Mandates (where applicable)

9. Appendix D - Program Work Plan

Revised 05/23/22

# Attachment A

# Action Plan Template

|  |
| --- |
| Goal 1: [Fill in] |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Specific activities to implement Goal 1** | **Type/ # of persons to be served** | **Who will carry out the activity?** | **Quantifiable performance benchmark** | **Schedule of Implementation** |
| [add rows as needed] |  |  |  |  |

|  |
| --- |
| Briefly describe how the contractor will use a collaborative approach to accomplish the activities for Goal 1: |

|  |
| --- |
| Goal 2: [Fill in] |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Specific activities to implement Goal 2** | **Type / # of persons to be served** | **Who will carry out the activity?** | **Quantifiable performance benchmark** | **Schedule of Implementation** |
| [add rows as needed] |  |  |  |  |

|  |
| --- |
| Briefly describe how the contractor will use a collaborative approach to accomplish the activities for Goal 2: |

|  |
| --- |
| [add Goals as needed] |

Appendix R

NEW YORK STATE EDUCATION DEPARTMENT’S

DATA PRIVACY APPENDIX

ARTICLE I: DEFINITIONS

As used in this Data Privacy Appendix (“DPA”), the following terms shall have the following meanings:

1. **Access:** The ability to view or otherwise obtain, but not copy or save, Student Data and/or APPR Data arising from the on-site use of an information system or from a personal meeting.
2. **APPR Data**: Personally Identifiable Information from the records of an Educational Agency relating to the annual professional performance reviews of classroom teachers or principals that is confidential and not subject to release under the provisions of Education Law §§ 3012-c and 3012-d.
3. **Breach:** The unauthorized Access, acquisition, Disclosure or use of Student Data or APPR Data that is (a) accomplished in a manner not permitted by New York State and federal laws, rules, and regulations, or in a manner that compromises its security or privacy, (b) executed by or provided to a person not authorized to acquire, access, use, or receive it, or (c) a Breach of Contractor’s or Subcontractor’s security that leads to the accidental or unlawful alteration, destruction, loss of, Access to or Disclosure of Student Data or APPR Data.
4. **Commercial or Marketing Purpose:**  The Disclosure, sale, or use of Student Data for the purpose of directly or indirectly receiving remuneration, including the Disclosure, sale, or use of Student Data for advertising purposes, or the Disclosure, sale, or use of Student Data to develop, improve, or market products or services to Students.
5. **Disclose or Disclosure**: The intentional or unintentional communication, release, or transfer of Student Data and/or APPR Data by any means, including oral, written, or electronic.
6. **Education Record:** An education record as defined in the Family Educational Rights and Privacy Act and its implementing regulations, 20 U.S.C. § 1232g and 34 C.F.R. Part 99, respectively.
7. **Educational Agency**: As defined in Education Law § 2-d, a school district, board of cooperative educational services, school, or the New York State Education Department (“NYSED”).
8. **Eligible Student:** A Student who is eighteen years of age or older.
9. **Encrypt or Encryption**: As defined in the Health Insurance Portability and Accountability Act of 1996 Security Rule at 45 CFR § 164.304, encrypt means the use of an algorithmic process to transform Personally Identifiable Information into an unusable, unreadable, or indecipherable form in which there is a low probability of assigning meaning without use of a confidential process or key.
10. **Information:**  Student Data and APPR Data from an Educational Agency that is Disclosed or made available to the Contractor pursuant to this contract with NYSED to which this DPA is attached and incorporated.
11. **NIST Cybersecurity Framework**: The U.S. Department of Commerce National Institute for Standards and Technology Framework for Improving Critical Infrastructure Cybersecurity Version 1.1.
12. **Parent:** A parent, legal guardian, or person in parental relation to the Student.
13. **Personally Identifiable Information (PII):** Personally Identifiable Information, as defined in the Family Educational Rights and Privacy Act and its implementing regulations, 20 U.S.C. § 1232g and 34 C.F.R. Part 99, (§ 99.3), and Teacher or Principal APPR Data.
14. **Release:** Shall have the same meaning as Disclose.
15. **School:** As defined in Education Law § 2-d, any (a) public elementary or secondary school, including a charter school; (b) universal pre-kindergarten program authorized pursuant to Education Law § 3602-e; (c) an approved provider of preschool special education; (d) any other publicly funded pre-kindergarten program; (e) a school serving children in a special act school district as defined in Education Law § 4001; (f) an approved private school for the education of students with disabilities; (g) a State-supported school subject to the provisions of Article 85 of the Education Law; or (h) a State-operated school subject to the provisions of Articles 87 or 88 of the Education Law.
16. **Services:** Services provided by Contractor pursuant to this contract with NYSED to which this DPA is attached and incorporated.
17. **Student:** Any person attending or seeking to enroll in an Educational Agency.
18. **Student Records:** An education record as defined in the Family Educational Rights and Privacy Act and its implementing regulations, 20 U.S.C. § 1232g and 34 C.F.R. Part 99, respectively.
19. **Student Data:** PII from Student Records of an Educational Agency and PII regarding a Student provided to the Contractor by the Student or the Student’s Parent.
20. **Subcontractor:** Contractor’s non-employee agents, consultants, volunteers, including student interns, and/or any natural person or entity funded through this contract who is engaged in the provision of Services pursuant to an agreement with or at the direction of the Contractor.

ARTICLE II: PRIVACY AND SECURITY OF INFORMATION

1. **Compliance with Law.**

When providing Services pursuant to this contract, Contractor may have Access to or receive Disclosure of Information that is regulated by one or more New York and/or federal laws and regulations, among them, but not limited to, the Family Educational Rights and Privacy Act ("FERPA") at 12 U.S.C. § 1232g (34 CFR Part 99); Children's Online Privacy Protection Act ("COPPA") at 15 U.S.C. §§ 6501-6502 (16 CFR Part 312); Protection of Pupil Rights Amendment ("PPRA") at 20 U.S.C. § 1232h (34 CFR Part 98); the Individuals with Disabilities Education Act (“IDEA”) at 20 U.S.C. § 1400 et seq. (34 CFR Part 300); New York Education Law § 2-d; and the Regulations of the Commissioner of Education at 8 NYCRR Part 121. Contractor agrees to maintain the confidentiality and security of Information in accordance with (a) applicable New York, federal and local laws, rules, and regulations, and (b) NYSED’s Data Privacy and Security Policy. Contractor further agrees that neither the Services provided nor the manner in which such Services are provided shall violate New York, federal and/or local laws, rules, and regulations, or NYSED’s Data Privacy and Security Policy.

1. **Authorized Use.**

Contractor agrees and understands that Contractor has no property, licensing, or ownership rights or claims to Information Accessed by or Disclosed to Contractor for the purpose of providing Services, and Contractor shall not use such Information for any purpose other than to provide the Services. Contractor will ensure that its Subcontractors agree and understand that neither the Subcontractor nor Contractor has any property, licensing or ownership rights or claims to Information Accessed by or Disclosed to Subcontractor for the purpose of assisting Contractor in providing Services.

1. **Contractor’s Data Privacy and Security Plan**.

Contractor shall adopt and maintain administrative, technical, and physical safeguards, measures, and controls to manage privacy and security risks and protect Information in a manner that complies with New York State, federal and local laws, rules, and regulations, and the NYSED policies. Education Law § 2-d requires that Contractor provide NYSED with a Data Privacy and Security Plan that outlines the safeguards, measures, and controls, that the Contractor will employ, including how the Contractor will implement such safeguards, measures, and controls, to comply with (a) the terms of this DPA, (b) all applicable state, federal and local data privacy and security requirements, (c) the parents bill of rights for data privacy and security that is attached hereto and incorporated herein as DPA Exhibit 2, and (d) applicable NYSED policies. Contractor’s Data Privacy and Security Plan is attached to and incorporated in this DPA as Exhibit 1.

1. **NYSED’s Data Privacy and Security Policy**

State law and regulation require NYSED to adopt a data privacy and security policy that complies with Part 121 of the Regulations of the Commissioner of Education and aligns with the NIST Cyber Security Framework. Contractor shall comply with NYSED’s Data Privacy and Security Policy located at <http://www.nysed.gov/data-privacy-security/nysed-data-privacy-and-security-policy> and other applicable NYSED policies and agrees to contractually require its Subcontractors to comply with NYSED’s Data Privacy and Security Policy.

1. **Right of Review and Audit.**

Upon NYSED’s request, Contractor shall provide NYSED with copies of its policies and related procedures that pertain to the protection of Information. In addition, NYSED may require Contractor to undergo an audit of its privacy and security safeguards, measures, and controls as they pertain to alignment with the requirements of New York State laws and regulations, NYSED’s policies applicable to Contractor, and alignment with the NIST Cybersecurity Framework. Any audit required by NYSED must be performed by an independent third party at Contractor’s expense and the audit report must be provided to NYSED. In lieu of being subject to a required audit, Contractor may provide NYSED with an industry standard independent audit report of Contractor’s privacy and security practices that was issued no more than twelve months before the date that NYSED informed Contractor that it required Contractor to undergo an audit.

1. **Contractor’s Employees and Subcontractors**.
   1. Access to or Disclosure of Information shall only be provided to Contractor’s employees and Subcontractors who need to know the Information to provide the Services and such Access and/or Disclosure of Information shall be limited to the extent necessary to provide such Services. Contractor shall ensure that all such employees and Subcontractors comply with the terms of this DPA.
   2. Contractor must ensure that each Subcontractor performing Services where the Subcontractor will have Access to and/or receive Disclosed Information is contractually bound by a written agreement that includes confidentiality and data security obligations equivalent to, consistent with, and no less protective than, those found in this DPA.
   3. Contractor shall examine the data privacy and security measures of its Subcontractors. If at any point a Subcontractor fails to materially comply with the requirements of this DPA, Contractor shall: (i) notify NYSED, (ii) as applicable, remove such Subcontractor’s Access to Information; and (iii) as applicable, retrieve all Information received or stored by such Subcontractor and/or ensure that Information has been securely deleted or securely destroyed in accordance with this DPA. In the event there is an incident in which Information held, possessed, or stored by the Subcontractor is compromised, unlawfully Accessed, or unlawfully Disclosed, Contractor shall follow the Data Breach reporting requirements set forth in Section 11 of this DPA.
   4. Contractor shall take full responsibility for the acts and omissions of its employees and Subcontractors.
   5. Other than Contractor’s employees and Subcontractors who have a need to know the Information, Contractor must not provide Access to or Disclose Information to any other party unless such Disclosure is required by statute, court order or subpoena, and Contractor notifies NYSED of the court order or subpoena no later than the time the Information is Disclosed, unless such Disclosure to NYSED is expressly prohibited by the statute, court order or subpoena. Notification shall be made in accordance with the Notice provisions of this contract and shall also be provided to the Office of the Chief Privacy Officer, NYS Education Department, 89 Washington Avenue, Albany, New York 12234.
   6. Contractor shall ensure that its Subcontractors know that they cannot provide Access to or Disclose Information to any other party unless such Access or Disclosure is required by statute, court order or subpoena. If a Subcontractor is required to provide Access to or Disclose Information pursuant to a court order or subpoena, the Subcontractor shall, unless prohibited by statute, court order or subpoena, notify Contractor no later than two (2) days before any Information is Accessed or Disclosed. Upon receipt of notice from a Subcontractor, Contractor shall provide notice to NYSED no later than the time that the Subcontractor is scheduled to provide Access or Disclose the Information.
2. **Training**.

Contactor shall ensure that all its employees and Subcontractors who have Access to or will receive Information will be trained on the federal and state laws governing confidentiality of such Information prior to receipt.

1. **Data Return and Destruction of Data**.
   1. Contractor is prohibited from retaining Disclosed Information or continuing to Access Information , including any copy, summary, or extract of Information, on any storage medium (including, without limitation, hard copies and storage in secure data centers and/or cloud-based facilities) beyond the term of this contract unless such retention is expressly authorized for a prescribed period by this contract, necessary for purposes of facilitating the transfer of Disclosed Information to NYSED, or expressly required by law. As applicable, upon expiration or termination of this contract, Contractor shall transfer the Disclosed Information to NYSED in a format and manner agreed to by the Parties.
   2. When the purpose that necessitated Contractor’s Access to and/or Disclosure of Information has been completed or Contractor’s authority to have Access to Information or retain Disclosed Information has expired, Contractor shall ensure that, as applicable, (1) all privileges providing Access to Information are revoked, and (2) all Information (including without limitation, all hard copies, archived copies, electronic versions, electronic imaging of hard copies) retained by Contractor or its Subcontractors and/or all Information maintained on behalf of Contractor or its Subcontractors in a secure data center and/or cloud-based facilities is securely deleted and/or destroyed in a manner that does not allow it to be retrieved or retrievable, read or reconstructed. Hard copy media must be shredded or destroyed such that Information cannot be read, or otherwise reconstructed, and electronic media must be cleared, purged, or destroyed such that the Information cannot be retrieved. Only the destruction of paper Information, and not redaction, will satisfy the requirements for data destruction. Redaction is specifically excluded as a means of data destruction.
   3. Contractor shall provide NYSED with a written certification of, as applicable, (1) revocation of Access to Information granted by Contractor and/or its Subcontractors, and (2) the secure deletion and/or secure destruction of Information held by the Contractor or Subcontractors to the contract at the address for notifications set forth in this contract.
   4. To the extent that Contractor and/or its Subcontractors continue to be in possession of any de-identified data (i.e., data that has had all direct and indirect identifiers removed), Contractor agrees that it will not attempt to re-identify de-identified data and/or transfer de-identified data to any person or entity, except as provided in subsection (a) of this section and that it will contractually prohibit its Subcontractors from the same.
2. **Commercial or Marketing Use Prohibition.**

Contractor agrees that it will not sell, use, or Disclose Student Data for a Commercial or Marketing Purpose and that it will contractually prohibit its Subcontractors from the same.

1. **Encryption.**

Contractor shall use industry standard security measures including encryption protocols that comply with New York law and regulations to preserve and protect Information. Contractor must encrypt Information at rest and in transit in accordance with applicable New York laws and regulations.

1. **Breach**.

Contractor shall promptly notify NYSED of any Breach of Information, regardless of whether Contractor or a Subcontractor suffered the Breach, without delay and in the most expedient way possible, but in no circumstance later than seven (7) calendar days after discovery of the Breach. Notifications shall be made in accordance with the notice provisions of this contract and shall also be provided to the office of the Chief Privacy Officer, NYS Education Department 89 Washington Avenue, Albany, New York 12234, and must, include a description of the Breach which includes the date of the incident and the date of discovery, the types of Information affected, and the number of records affected; a description of Contractor’s investigation; and the name of a point of contact. Violations of the requirement to notify NYSED shall be subject to a civil penalty pursuant to Education Law § 2-d. The Breach of certain Information protected by Education Law § 2-d may subject the Contractor to additional penalties.

1. **Cooperation with Investigations.**

Contractor and its Subcontractors will cooperate with NYSED, and law enforcement where necessary, in any investigations into a Breach. Any costs incidental to the required cooperation or participation of the Contractor will be the sole responsibility of the Contractor if such Breach is attributable to Contractor or its Subcontractors.

1. **Notification to Individuals.**

Where a Breach of Information occurs that is attributable to Contractor and/or its Subcontractors, Contractor shall pay for or promptly reimburse NYSED the full cost of NYSED’s notification to Parents, Eligible Students, teachers, and/or principals, in accordance with Education Law § 2-d and 8 NYCRR Part 121. NYSED will be reimbursed by Contractor within 30 days of a demand for payment under this section.

1. **Termination**.

The confidentiality and data security obligations of Contractor under this DPA shall survive any termination of this contract to which this DPA is attached but shall terminate upon Contractor’s certifying that it and its’ Subcontractors, as applicable (a) no longer have the ability to Access any Information provided to Contractor pursuant to this contract to which this DPA is attached and/or (b) that Contractor and its’ Subcontractors have destroyed all Disclosed Information provided to Contractor pursuant to this contract to which this DPA is attached.

ARTICLE III: PARENT AND ELIGIBLE STUDENT PROVISIONS

1. **Parent and Eligible Student Access**.

Education Law § 2-d and FERPA provide Parents and Eligible Students the right to inspect and review their child's or the Eligible Student’s Student Data stored or maintained by NYSED. To the extent Student Data is held by Contractor pursuant to the Contract, Contractor shall respond within thirty (30) calendar days to NYSED's requests for access to Student Data necessary for NYSED to facilitate such inspection and review by a Parent or Eligible Student, and shall facilitate corrections, as necessary. If a Parent or Eligible Student contacts Contractor or a Subcontractor directly to review any of the Student Data held by Contractor or a Subcontractor pursuant to the Contract, Contractor shall refer the Parent or Eligible Student to NYSED and notify NYSED.

1. **Bill of Rights for Data Privacy and Security**.

As required by Education Law § 2-d, the Parents Bill of Rights for Data Privacy and Security and the Supplemental Information for this contract is attached to and incorporated in this DPA as Exhibit 2 Contractor understands and agrees that, as an agreement with a third-party contractor who will receive Access to and/or Disclosure of Student Data, Education Law § 2-d requires NYSED to post Exhibit 2 to its website.

EXHIBIT 1 - Contractor’s Data Privacy and Security Plan

Pursuant to Education Law § 2-d and § 121.6 of the Regulations of the Commissioner of Education, NYSED is required to ensure that all contracts with a third-party contractor that has Access to or receives Information include a Data Privacy and Security Plan. For every contract, the Contractor must complete the following or provide a plan that materially addresses its requirements, including alignment with the NIST Cybersecurity Framework, which is the standard for educational agency data privacy and security policies in New York state**. While this plan is not required to be posted to NYSED’s website, contractors should nevertheless ensure that they do not include information that could compromise the security of their data and data systems.**

**1. Contractor Name:**

**2. Outline how you will implement applicable data privacy and security contract requirements over the life of the Contract.**

**3. Specify the administrative, operational, and technical safeguards and practices that you have in place to protect Information.**

**4. Address the training received by your employees and any Subcontractors engaged in the provision of services under the Contract on the federal and state laws that govern the confidentiality of Information.**

**5. Outline how you will ensure that your employees and any Subcontractors are bound by written agreement to the requirements of this contract.**

**6. Specify how you will manage any data privacy and security incidents that implicate Information, including a description of any specific plans you have in place to identify data Breaches, unauthorized Access to Information and unauthorized Disclosure of Information, to meet your obligation to report such incidents to the NYSED.**

**7. If applicable, describe how Disclosed Information will be transitioned to NYSED when either (a) it is no longer needed by you to meet your obligations under this contract or (b) your authorization to Access Information or use Disclosed Information has terminated.**

**8. Describe your secure destruction and secure deletion practices and how you will certify to NYSED that all Access to Information has been revoked by you and, as applicable, your Subcontractors and that all Disclosed Information has been either securely deleted or securely destroyed by you and your Subcontractors.**

**9. Outline how your data privacy and security program/practices align with NYSED’s applicable policies.**

EXHIBIT 2 - Education Law § 2-d Bill of Rights for Data Privacy and Security andSupplemental Information for Contracts that Utilize Personally Identifiable Information

Parents (including legal guardians or persons in parental relationships) and Eligible Students (students 18 years and older) can expect the following:

1. A Student’s Personally Identifiable Information (“Student PII”) cannot be sold or released for any Commercial or Marketing purpose. Student PII, as defined by Education Law § 2-d and the Family Educational Rights and Privacy Act ("FERPA"), includes direct identifiers such as a student’s name or identification number, parent’s name, or address; and indirect identifiers such as a student’s date of birth, which when linked to or combined with other information can be used to distinguish or trace a student’s identity. Please see FERPA’s regulations at 34 CFR § 99.3 for a more complete definition.
2. The right to inspect and review the complete contents of the student’s education record stored or maintained by an educational agency. This right may not apply to Parents of an Eligible Student.
3. State and federal laws such as Education Law § 2-d; the Regulations of the Commissioner of Education at 8 NYCRR Part 121, FERPA at 12 U.S.C. § 1232g (34 CFR Part 99); Children's Online Privacy Protection Act ("COPPA") at 15 U.S.C. §§ 6501-6502 (16 CFR Part 312); Protection of Pupil Rights Amendment ("PPRA") at 20 U.S.C. § 1232h (34 CFR Part 98); and the Individuals with Disabilities Education Act (“IDEA”) at 20 U.S.C. § 1400 et seq. (34 CFR Part 300) protect the confidentiality of Student PII.
4. Safeguards associated with industry standards and best practices including, but not limited to, encryption, firewalls and password protection must be in place when Student PII is stored or transferred.
5. A complete list of all student data elements collected by New York State Education Department (“NYSED”) is available at [www.nysed.gov/data-privacy-security/student-data-inventory](http://www.nysed.gov/data-privacy-security/student-data-inventory) and by writing to: Chief Privacy Officer, New York State Education Department, 89 Washington Avenue, Albany, NY 12234.
6. The right to have complaints about possible breaches and unauthorized disclosures of Student PII addressed. Complaints should be submitted to the NYS Education Department at [www.nysed.gov/data-privacy-security/report-improper-disclosure](http://www.nysed.gov/data-privacy-security/report-improper-disclosure), by mail to: Chief Privacy Officer, New York State Education Department, 89 Washington Avenue, Albany, NY 12234; by email to [privacy@nysed.gov;](mailto:Privacy@nysed.gov) or by telephone at 518-474-0937.
7. To be notified in accordance with applicable laws and regulations if Student PII is either unlawfully accessed or unlawfully disclosed.
8. NYSED workers that have access to or receive disclosure of Student PII will receive training on applicable state and federal laws, policies, and safeguards associated with industry standards and best practices that protect PII.
9. NYSED contracts with vendors that receive Student PII will address statutory and regulatory data privacy and security requirements.

***Supplemental Information***

Pursuant to Education Law § 2-d and § 121.3 of the Regulations of the Commissioner of Education, NYSED is required to post information to its website about its contracts with third-party contractors that will be provided Access to or receive Disclosure of Student Data and/or APPR Data.

**1.** **Name of Contractor:**

**2. Description of the exclusive purpose(s) for which the Student Data and/or APPR Data will be used:**

**3. Type(s) of Data that Contractor will be provided Access to or Disclosure of:**

Student Data 🞎 Yes 🞎 No

APPR Data 🞎 Yes 🞎 No

**4. Contract Term:**

Contract Start Date: Contract End Date:

**5. Subcontractor use and written agreement requirement:**

**Contractor will use Subcontractors** 🞎 Yes 🞎 No

**Contractor will not use Subcontractors** 🞎 Yes 🞎 No

If Contractor plans to use Subcontractors, Contractor will not utilize Subcontractors without a written contract that requires the Subcontractors to adhere to, at a minimum, materially similar data protection obligations imposed on the Contractor by state and federal laws and regulations and this contract.

Contractor agrees to bind its Subcontractors by written agreement. 🞎 Yes 🞎 No

Not Applicable because Contractor will not use Subcontractors. 🞎 Yes 🞎 No

**6.** **Data Transition and Secure Destruction**

🞎 Yes 🞎 No Contractor agrees that the confidentiality and data security obligations under this DPA will survive the expiration or termination of this contract but shall terminate upon Contractor’s certifying, that Contractor and its Subcontractors:

* Are unable to Access any Information provided to Contractor pursuant to this contract

• Securely transfer Disclosed Student Data and APPR Data to NYSED, or at NYSED’s option and written discretion, a successor contractor in a format agreed to by the Parties**.**

• Securely delete and destroy Disclosed Student Data and APPR Data.

7. **Challenges to Data Accuracy**

🞎 Yes 🞎 No Contractor agrees that parents, eligible students, teachers, or principals who seek to challenge the accuracy of Student Data or APPR Data will be referred to NYSED and if a correction to data is deemed necessary, NYSED will notify Contractor. Contractor further agrees to facilitate such corrections within 21 days of receiving NYSED’s written request.

**8.** **Secure Storage and Data Security**

Please indicate where Student Data and/or APPR Data will be stored:

🞎 Yes 🞎 No Using a cloud or infrastructure owned and hosted by a third party.

🞎 Yes 🞎 No Using Contractor owned and hosted solution

🞎 Yes 🞎 No Other:

**Please describe how data privacy and security risks will be mitigated in a manner that does not compromise the security of the data:**

**9. Encryption requirement**

Contractor agrees that Student Data and APPR Data will be encrypted while in motion and at rest.

🞎 Yes 🞎 No

**10. Contractor Certification.**

Contractor certifies that Contractor will comply with, and require its Subcontractors to comply with, applicable State and Federal laws, rules, and regulations and NYSED policies.

Contractor’s Name

Signature

Printed Name

Title

Date

1. “Implementation science” is the study of how to foster uptake of evidence-based policies and practices. [↑](#footnote-ref-2)
2. See, e.g., L. Willis, A. Badrinarayan, & M. Martinez, *Quality criteria for systems of performance assessment for school, district, and network leaders* (Palo Alto: Learning Policy Institute, 2022), <https://learningpolicyinstitute.org/product/quality-criteria-performance-assessment-systems-tool> [↑](#footnote-ref-3)
3. Within the context of the PLAN project, NYSED is defining a Community of Practice as convening practitioners from across institutions, who develop their understanding about a professional practice through interacting with one another.    [↑](#footnote-ref-4)
4. “Educational community” is defined broadly to include staff at the BOCES, districts, schools, institutions of higher education, community-based organizations, families, and employers. [↑](#footnote-ref-5)
5. The PLAN Project’s goals, objectives, and outcomes are detailed in [NYSED’s funded CGSA proposal](https://oese.ed.gov/files/2022/08/NewYorkCGSA2022application_Redacted.pdf). [↑](#footnote-ref-6)
6. See Footnote 2, above, for the definition of “educational community.” [↑](#footnote-ref-7)
7. Qualitative data collection could include, for example, interviews, surveys, focus groups, collection of professional learning curriculum materials and de-identified artifacts, and/or recordings of training presentations. [↑](#footnote-ref-8)
8. 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. [↑](#footnote-ref-9)