

**REQUEST FOR PROPOSALS #0001**  
**ONLINE FINANCIAL LITERACY PROGRAM**  
**OFFICE OF THE STATE COMPTROLLER**  
**RESPONSES TO QUESTIONS**

The official responses to questions submitted pursuant to the above-captioned procurement are listed below. Responses are in **bold blue type**.

**Question #1:**

Why is it important to measure "the user's pre- and post-financial knowledge after completing the Program modules."? Wouldn't a better measure of the program's success be not only how many people logged in and completed the modules, but then track those that actually took ACTION on what they learned and got results?

**Response:**

**OSC declines to respond.**

**Question #2:**

Being mindful of section 4.0 Post-Award Security And Confidentiality Verification section (i)... Or telephone number;

Would you all be more comfortable and confident in offering an option that was a series of videos and applications that collected a name, email and phone number (which can be optional) from the participants but then a follow-up could be made (if a phone # or email is provided) by **licensed financial professionals** from a company who have **no quotas, no products they must sell and are independent business operators** that work 100% for the best interest of the clients they serve, regardless of their net worth and the services are complementary, confidential and customized?

**Response:**

**The Office of the State Comptroller (OSC) declines to alter the requirement prohibiting the selected Proposer from requesting or collecting user telephone numbers. In addition, proposers are directed to Minimum Qualification 3.2.ii which states the Program must not include references, links, or other associations with commercial services or products.**

**Question #3:**

Have you asked the participants if they would like access to a live, un-biased licensed professional (someone who doesn't currently make money by selling them something) so that their questions could be asked and answered?

**Response:**

**See response to Question #2.**

**Question #4:**

Would you consider partnering with an accredited financial education firm that has been delivering conflict-free financial education to organizations of all sizes—including retirement systems—since 1989, and currently utilizes a self-assessment and an optional post-course exam but has the capability to develop a pre/post-test tool for this program?

**Response:**

**The RFP is open to all vendors authorized to do business in New York State that meet the minimum qualifications and who can provide the services in accordance with the requirements set forth in the RFP.**

**Question #5:**

I wanted to quickly follow up if the team had a proposed budget for this project?

**Response:**

**It is OSC's practice not to disclose the budget of a particular project or procurement so as to encourage competition and better pricing.**

**Question #6:**

Appendix B: Is the Contractor ESD Certified? Is this required certification?

**Response:**

**An Empire State Development Corporation certification is not required to submit a proposal for this RFP.**

**Question #7:**

Post-Award Security and Confidentiality Verification: Is the collection and storage of First name; Last name; Email address acceptable for the purpose of authentication and individual data reporting?

**Response:**

**Yes. As noted in the RFP Section 4.0, NYSLRS expects the selected Proposer to minimize its collection of personal information to only that which is necessary to provide the Services, while also putting in place protections to safeguard confidential information collected by the selected Proposer in connection with the services. With those safeguards in place, NYSLRS would approve the selected Proposer's collection and storage of a participant's first name, last name, and email address for authentication purposes.**

**Question #8:**

Is NYS amenable to these amendments:

- Section II Right to Work Product, we will request "except for any preexisting intellectual property of the Contractor" before the first paragraph.
- Section XV will have to be mutual as related to contractor's confidential information.
- Section E 1 we will request 72 hours rather than 48.
- Section X vii. We will indemnify for "directly related acts" not "arising from".
- Section XIX A needs to be deleted in its entirety. As we cannot have immediate termination.

- Section B needs to add “reasonable discretion” at the end of the sentence.
- Section XX c needs to be mutual.

**Response:**

As noted in the RFP, the Proposer must be willing to enter into a contract substantially in accordance with the terms of Attachment G should the Proposer be selected for contract award. Proposers should submit any proposed modifications to the Draft Contract as an attachment to their Administrative Proposal. OSC will consider modifications to the Draft Contract in alignment with industry standards, so long as such proposed modifications do not seek to materially reduce OSC’s rights and protections or increase OSC’s obligations. OSC has no obligation to accept any such proposed modifications and reserves all rights to reject any proposed changes. However, OSC notes the following:

- OSC does not intend to own Contractor’s pre-existing intellectual property.
- OSC is willing to treat Contractor’s confidential information as confidential in accordance with the law (e.g., see Section 6.9 regarding New York State’s Freedom of Information Law).
- The specific time period in which notice must be made will be discussed with the selected Proposer (see Section 4.0.F). Proposers should consider New York State General Business Law §§899-aa and 899-bb which sets forth an entity’s obligations as to notice regarding “breach of the security of the system” and State Technology Law Article 2 which sets forth notification obligations applicable to OSC.

**Question #9:**

Is completion of the Form AC 3239-A (Contractor’s/Subcontractor’s EEO Staffing Plan of Anticipated Workforce) necessary in our instance given that we are a technology vendor and would not be hiring anyone to work on this project, nor would we be bringing staffing into the state of NY in order to implement our courses if chosen?

**Response:**

A contractor performing work on a State contract exclusively with employees who are located outside of New York State is exempt from these reporting requirements. However, submission of Form AC 3239-A would become mandatory if the contractor subsequently engaged staff located in New York State to perform any of the services on the State contract.