

STATE OF NEW YORK

JUDICIARY

—REQUEST FOR BID—

(This is not an order)
BID MUST BE MADE ON THIS SHEET
OR AS OTHERWISE SPECIFIED

NYS OFFICE OF COURT ADMINISTRATION
Contract & Procurement Unit
25 Beaver Street, R-850
New York, NY 10004

(Agency Name and Address)

Direct Inquiries to: Marie-Claude Ceppi
E-mail: mceppi@nycourts.gov

Price to include delivery to (describe exact location and method of delivery) All prices to be net and inclusive of all services specified herein unless otherwise specified.

Bid Number: OCA/JSO/DOT-217	Commodity Group:
Opening Date: 09/08/2016 Time: 3:00 pm Issue Date: 08/10/2016	Commodity Name: Address Cleansing, NCOA, Merge/Purge

OFFICE OF GENERAL SERVICES "GENERAL SPECIFICATIONS" (DECEMBER 1998) ARE FULLY INCORPORATED HEREIN.

Agency's Specification of item(s) Required (include quantities)	Bidder's Quotation and Specific Description of Item Offered
UCS ATTACHMENT I, III, and IV ATTACHED & INCORPORATED HEREIN.	ALL BID RESPONSES MUST BE ENTERED ON THE ENCLOSED BID RESPONSE FORM UNLESS SPECIFIED OTHERWISE HEREIN.

NOTICE TO BIDDERS

Pursuant to the Rules and Regulations of the Chief Administrator for the Courts, sealed bids for furnishing the item(s) in this Request for Bid will be received at the above address. When submitting a bid, you must:

1. Complete this form in its entirety using ink or typewriter and return with all other documents.
2. Explain any deviations or qualifications if your bid deviates from the specifications. If necessary, attach a separate sheet setting forth such explanations.

3. Sign the bid. The bid must be completed in the name of the bidder (corporate or other) and must be fully and properly executed by an authorized person.

4. INDICATE THE BID NUMBER, THE BID OPENING DATE AND TIME ON THE ENVELOPE CONTAINING THE SEALED BID.

5. Mail the bid to the above agency address in sufficient time for it to be received before the specified bid opening. **LATE BIDS WILL BE REJECTED.**

BIDDER HEREBY CERTIFIES THAT THE ABOVE QUOTED (OR OTHERWISE NOTED) PRICES ARE APPLICABLE TO ALL CUSTOMERS FOR COMPARABLE QUANTITIES, QUALITY, STYLES OR SERVICES.

BIDS MUST BE SIGNED

Bidder's Firm Name:		Employer's Federal Identification Number	
Address Street	City	State	Zip
Bidder's Signature		Official Title	
Printed or Typed Copy of Signature		Area Code/ Telephone Number E-mail:	

TABLE OF CONTENTS

DOCUMENT ENCLOSURE CHECKLIST (2 pages) 3

I. PURPOSE AND SCOPE 5

II. BIDDER’S QUALIFICATIONS..... 5

III. BID RESPONSE SUBMISSION 6

Bidder’s Contact Name and Required Information 6

Packaging, Identifying and Delivering of Bids/Proposals 6

No-Bids..... 6

Questions..... 7

IV. AWARD..... 7

Term of Award 7

Method of Award..... 8

Bidders’ Evaluation..... 8

V. DETAILED SPECIFICATIONS 9

Subcontracting..... 9

OCA’ Responsibilities..... 9

Vendor’s Responsibilities 9

Data Security and Confidentiality..... 9

Definitions..... 10

VI. SCOPE OF SERVICES 11

A. QUARTERLY ADDRESS HYGIENE SERVICES..... 11

1. Quarterly Processing 11

2. Quarterly Deliverables 11

B. ANNUAL DUPLICATE DETECTION AND MERGE/PURGE PROCESSING..... 11

1. Annual Processing 12

2. Annual deliverables 13

C. DELIVERY OF FILES AFTER QUARTERLY AND ANNUAL PROCESSING 14

Exhibit 1 – OCA Source List Codes 14

VII. PRICING AND EXHIBIT A/PRICING SHEET 15

Pricing..... 15

EXHIBIT A/PRICING SHEET 16

VIII. The RFB/RFP PROCESS: GENERAL SPECIFICATIONS..... 17

Note to Bidders 17

**1. Attachment I - Standard Request for Bid Clauses & Forms and Attachment IV-
Procurement Lobbying Law required forms 17**

2. Attachment III - Vendor Responsibility Questionnaire..... 17

3. New York State Vendor File Registration..... 18

Online RFB/RFP Package: Disclaimer 18

Bid Response/Proposal: Original and Copies 19

NYS OGS General Specifications 19

Binding Nature of Bid/Proposal on Bidders 19

Estimated Quantities 19

Compliance with Laws 19

Independent Contractor Status..... 20

Rejected and Unacceptable Bids/Proposals 20

Responsible Bidder 20

Clarification/Correction of Bids/Proposals..... 21

References..... 21

Indemnity..... 21

Unified Court System Self-Insurance..... 22

Insurance Requirements 22

Confidentiality 23

Confidential/Proprietary Information 24

Financial Stability..... 24

Termination 24

Implied Requirements 24

Silence of the Specifications..... 24

DOCUMENT ENCLOSURE CHECKLIST (2 pages)

_____ Exhibit A/Pricing Sheet: Exhibit A/Pricing Sheet **must be fully executed and included** in bidder's proposal. Failure to do so will immediately disqualify bidder's response.

The following forms must be fully executed and included in bidder's proposal. Failure to do so may disqualify bidder's response:

- _____ UCS Request for Bid/Proposal Form (rfb1.frm) and complete bid response with original signature
- _____ Attachment I - Standard Request for Bid Clauses & Forms
 - p.3 - Non-Collusive Bidding Certificate
 - p.4 - Corporate Acknowledgment
- _____ Attachment II - Not Applicable
- _____ Attachment III - Vendor Responsibility Questionnaire
 - Questionnaire filed online via OSC VendRep System and certified within 6 months of the bid opening due date, **or**
 - Paper questionnaire
- _____ Attachment IV - Procurement Lobbying forms
 - Disclosure of Prior Non-Responsibility Determination (UCS 420)
 - Affirmation of Understanding and Agreement (UCS 421)
- _____ Certificates of NYS Worker's Compensation and NYS Disability Benefits Insurance, or Certificate of Attestation of Exemption. Please see paragraph "Insurance Requirements" for a list of accepted forms.
- _____ Copies of bidder's certificate(s) of insurance or other adequate proof evidencing the insurance coverages required by the bid specifications

The following documents and information must be included in bidder's proposal. Failure to do so may disqualify bidder's response:

- _____ Three (3) complete copies of original bid response
- _____ List of references
- _____ Bidder's contact name
- _____ Proof that bidder is a licensed US Postal Service vendor
- _____ Description of bidder's ongoing experience providing the services required in this RFB
- _____ Notarized statement describing bidder's procedures to ensure complete confidentiality or records
- _____ Signed Document Enclosure Checklist
- _____ Proprietary information in separate folder from bid response, if applicable

IMPORTANT:

1. All documents requiring an original signature must bear the **BLUE INK** signature of the same authorized individual. Signatory notarization must be that of the person whose signature is affixed to all required documents.
2. Exhibit A/Pricing Sheet and the other forms listed above must all have the SAME COMPANY NAME AND TAX ID NUMBER in order for a purchase order or contract to be approved by the NYS Comptroller.
3. Do not alter this solicitation in any manner. Any changes, deletions, or additions to this RFB, including Exhibit A/Pricing Sheet, will result in the rejection of this offer as non-responsive.
4. Please note that the terms and conditions of this RFB will form the basis of the contract with the awarded vendor.
- 5. Please verify that all required documents are included before signing.**

COMPANY NAME:

AUTHORIZED OFFICER'S NAME AND TITLE:

SIGNATURE: _____ DATE: _____

I. PURPOSE AND SCOPE

The NYS Unified Court System (“UCS”) Office of Court Administration/Jury Support Office (“OCA/JSO”) is soliciting sealed bids to provide: quarterly address hygiene services every ninety (90) days on an OCA/JSO file of approximately 15,000,000 names and addresses; and, annual services once a year for duplicate detection, selection of the best record from among duplicates obtained from multiple files, and merging of files. The annual processing will be performed on two files: one containing OCA/JSO’s 15,000,000 records and another containing 35,000,000 names and addresses obtained by OCA/JSO from other New York State government agencies.

The awarded vendor (hereafter “Vendor”) will not make any changes to OCA/JSO’s records. Changes or additions to OCA/JSO’s records that are identified as a result of quarterly processing will be supplied in a separate file with records organized in the same way as OCA/JSO’s records. In addition, after annual processing, Vendor will supply to OCA/JSO a new file of unique records obtained from the New York State government agency file excluding records already included in OCA/JSO’s files.

The purpose of this contract is to maintain the accuracy and completeness of names and addresses used by OCA/JSO in connection with the qualification and summoning of jurors. The goal is to include as many names as possible of people who live in New York State and are 18 years old or older and to avoid duplication of individuals on OCA/JSO’s lists of names and addresses used in connection with qualification and summoning of jurors.

All counts referred to in this document are approximate.

II. BIDDER’S QUALIFICATIONS

1. Bidder must be, and provide proof that it is, a licensed United States Postal Service vendor able to provide trademarked USPS address hygiene processing including NCOA^{Link}, DSF2, LACS^{Link} and CASS address processing.
2. Bidder must have the ability to identify records of deceased persons, persons under 18, and Department of Corrections addresses.
3. Bidder must have the ability to identify correct city, town, or village and zip code plus 4 including correct municipality of address, where municipality varies from zip code.
4. Bidder must have the ability to provide a comprehensive solution to duplicate detection and Merge/Purge processing including, but not limited to, ability to match records with differences in name spelling and in address to include variations and matching criteria specified by the UCS.

5. Bidder must comply with the provisions of paragraph "OCA/JSO Data Security and Confidentiality."

III. BID RESPONSE SUBMISSION

Bidder's Contact Name and Required Information

Bidder shall designate, in its bid response, a staff member as primary contact for all questions OCA/JSO may have regarding bidder's bid response. Bidder shall include in its bid response all forms and documents listed on the Document Enclosure Checklist.

Packaging, Identifying and Delivering of Bids/Proposals

Bids/Proposals must be clearly addressed and submitted to:

Marie-Claude Ceppi
Management Analyst
NYS Office of Court Administration
25 Beaver Street, R-850
New York, NY 10004

All envelopes/cartons must also be labeled with the following information on two sides:

Deliver immediately to Marie-Claude Ceppi R-850
Sealed bid - Do not open
RFB# OCA/JSO/DOT-217 due September 8, 2016 at 3:00 p.m.

Failure to seal and mark the bid/proposal as prescribed may result in non-delivery and/or rejection of the bid/proposal. Please note that bids/proposals must be received by the above-named OCA-designated person by September 8, 2016 at 3:00 pm at the latest or bids will be declared late bids and they will be disqualified. It is recommended that bidders allow several extra days for shipping in order to meet the deadline.

No-Bids

Bidders are requested to send a no-bid letter to OCA, Attn: Marie-Claude Ceppi, at the above address, should they decide not to answer this solicitation. The envelope shall be clearly marked in the lower left corner as follows: RFB# OCA/JSO/DOT-217. No-bid letters may be sent by

RFB# OCA/JSO/DOT-217
ADDRESS CLEANSING, NCOA, MERGE/PURGE

Bid Opening Date: September 8, 2016
3:00 p.m.

email to mceppi@nycourts.gov. Please indicate in "Subject" field: RFB# OCA/JSO/DOT-217 – No-Bid.

Questions

Any and all questions bidders may have in connection with this solicitation are to be directed by email only to:

Marie Claude Ceppi
mceppi@nycourts.gov

Please indicate in "Subject" field: RFB# OCA/JSO/DOT-217 - Question(s)

The deadline to submit questions is August 23, 2016 before 5:00 pm. No questions will be entertained after this deadline. A written Questions & Answers (Q&A) listing all questions received and their answers will be posted on the UCS website at www.nycourts.gov/admin/bids in the Addenda column for the appropriate solicitation and mailed to the bidders list promptly after this deadline.

IMPORTANT: All questions regarding this solicitation must be in writing by email and directed solely to the attention of the above designated person. Contact by any prospective bidder, or any representative thereof, with any other personnel of the UCS in connection with this RFB/RFP may violate the Procurement Lobbying Act of 2005 (see Attachment IV), will jeopardize the respective bidder's standing and may cause rejection of its proposal.

IV. AWARD

Term of Award

A single contract will be awarded for an initial term of three (3) years (“Initial Term”). The OCA/JSO shall have the option to renew the contract for two (2) additional one (1) year terms (each, a “Renewal Term”) upon the same terms and conditions including pricing. OCA/JSO also reserves the right to extend the contract for a maximum of six (6) months upon the same terms and conditions, including pricing, as of the expiration date of the Initial Term, or the first Renewal Term of the contract, as the case may be. The maximum term of the contract will be five (5) years. The initial contract, renewals and extension are subject to the approval of the NYS Attorney General and the NYS Comptroller.

Method of Award

A single contract shall be awarded to the bidder scoring the highest point total (max. 100) for the specified criteria

1. Lowest Total Cost for the initial 3-year term of the contract: **30 points**

The method of awarding points will be to award 30 points to the lowest responsible bidder and a percentage of 30 points to each additional responsible bidder equal to the ratio of the lowest bid price to the price of each other bid times 30. For example:

Lowest \$ bidder/second (third, etc.) lowest \$ bidder) x 30 = x points

Lowest bidder = \$100.00 30 points

Second lowest bidder = \$125.00 (100/125) x 30 = 24 points

2. Quality of Duplicate Record Matching and Address Identification **35 points**
3. Ability to deliver in the time frame specified: **10 points**
4. Data Security and Confidentiality: **10 points**
5. A Description of the Merge/purge process **15 points**

Bidders' Evaluation

A committee consisting of managerial personnel representing the Division of Technology, the Office of Court Research and the Jury Support Office shall review and analyze the bid responses according to the Method of Award stated above.

OCA/JSO will provide selected Vendor with file layouts of input and expected output and test data. OCA/JSO will have previously analyzed and verified the test data. Vendor shall perform work as specified herein on the test data and provide results back to OCA/JSO within five (5) days of receiving test data. Vendor's ability to perform the work specified herein will be assessed by comparison of the vendor's results to OCA/JSO's expected results on the test data.

V. DETAILED SPECIFICATIONS

Subcontracting

No subcontracting or outsourcing is permitted.

OCA' Responsibilities

On an annual basis, OCA/JSO will supply Vendor with two files for address correction, duplicate detection and merging:

- OCA/JSO's JMS2 Jury File (approximately 15,000,000 jury records), and
- a Master Source File (approximately 35,000,000 records) containing records obtained from the New York State Division of Tax and Finance, Department of Labor, Division of Motor Vehicles, Department of Social Services, and the Board of Elections.
- OCA/JSO will review and select the appropriate address correction matching criteria.

Vendor's Responsibilities

Vendor must comply with all "Detailed Specifications" as well as perform the services and provide the deliverables as specified in VI. SCOPE OF SERVICES below.

Data Security and Confidentiality

Bidders and Vendor are hereby advised that any and all information, records, files, documents or reports generated by, or contained in, any media format (e.g. print, electronic) provided to contractor by an individual or component of the UCS, or otherwise obtained by contractor in the performance of contractual services, shall be considered confidential and shall be treated and maintained accordingly at all times. Neither the contractor nor any of its employees, agents, subcontractors, representatives, interns or volunteers shall at any time be permitted to utilize any such information for any purpose outside the scope of awarded contract without the express written authorization of UCS/OCA/JSO. Further, any and all material and documents, records and any other data or information developed by contractor, or any person or entity acting on behalf of contractor, remains the sole property of the UCS/OCA/JSO. Vendor, or subcontractors, may not make use of such data or information for any purpose outside the scope of awarded contract without the express knowledge and written consent of the UCS/OCA/JSO.

Vendor will also be prohibited from maintaining files and records provided to or generated by Vendor in a mobile or portable device. In addition, Vendor will be required to comply with the data security and confidentiality requirements of other government agencies that supply data to UCS/OCA/JSO.

Notarized Statement

Bidder must provide a complete, notarized statement describing in detail the procedures and steps bidder will follow to assure the complete confidentiality of the records. This notarized description shall include the names and/or titles of the authorized officers within the company who will have access to these records and indicate how the computer records and physical media will be safeguarded. Failure to submit such notarized statement shall disqualify bidder's proposal.

Definitions

The following definitions are necessary in order to understand the OCA/JSO requirements:

Master Source File: A file containing records obtained by OCA/JSO from other New York State agencies.

JMS2 Jury File: A file containing all records in the New York State Unified Court System's jury management system. This file contains records of approximately 15,000,000 names and addresses used in connection with qualification and summoning of jurors.

New Eligible File YYYY: A file containing merged records from the Master Source file and excluding duplicate records and records that are already in the JMS2 Jury File (where YYYY is the year for which the file is supplied).

VI. SCOPE OF SERVICES

A. QUARTERLY ADDRESS HYGIENE SERVICES

1. Quarterly Processing

Vendor will be supplied the JMS2 Jury File every 90 days, on a start date to be determined by OCA/JSO.

In accordance with USPS regulations concerning USPS trademarked processing, all of the services and deliverables listed below must be performed within seven (7) days of OCA/JSO providing the file to Vendor.

The following address hygiene services shall be applied by Vendor:

- USPS trademarked processes: NCOA^{Link}, DSF2, LACS^{Link} and CASS address standardization
- identification of deceased persons, persons under 18, and addresses of prisons
- correct city, town or village based on the address and zip code
- correct zip code + four for all addresses
- correct municipality for all addresses

2. Quarterly Deliverables

Each name and address in the JMS2 Jury File has a unique index number. Quarterly, Vendor shall provide updated and corrected address information (including identification of records that should be removed as a result of change of address or status) in a separate file that is formatted the same way as the original file JMS2 Jury File and includes the index number from the original file.

B. ANNUAL DUPLICATE DETECTION AND MERGE/PURGE PROCESSING

Once a year, OCA/JSO will supply Vendor with two files for address correction, duplicate detection and merging: OCA/JSO's JMS2 Jury File (approximately 15,000,000 jury records), and a Master Source File (approximately 35,000,000 records) containing records obtained from other New York State agencies including: Division of Tax and Finance, Department of Labor, Division of Motor Vehicles, Department of Family Services, and Board of Elections.

Vendor must complete all annual processing and deliver all deliverables to OCA/JSO within twenty (20) days of delivery to Vendor of JMS2 Jury File and Master Source File.

1. Annual Processing

Vendor shall be required to perform annual duplicate detection and merge/purge via the following four step process.

a. Identify and eliminate duplicates from the Master Source File:

Vendor shall identify duplicate records in the Master Source File. The matching process must temporarily retain all records in a duplicate group. Vendor must confirm that duplicate records belong to the same person.

Vendor will identify records to be selected for further processing and those to be eliminated according to the source of each record based on the following prioritizing:

<u>Priority</u>	<u>List</u>
1	Tax
2	Labor
3	Department of Family Services
4	Motor Vehicle
5	Board of Elections

After duplicate detection processing, the highest priority record must be retained. If there are multiple records the highest priority record must be marked as to the original source or combination of sources as specified in Exhibit 1. Remaining duplicate records within the duplicate group will be eliminated.

The final record must contain as much of the following information as possible: Name, address, city (or municipality), state, zip code plus 4, date of birth, Social Security number and census tract number.

If the highest priority record is incomplete, Vendor shall use information from other records within the duplicate group to provide complete information. For example, if the highest priority record within a duplicate group is from the Division of Taxation and Finance and this record has no date of birth, but the next record within the group is from the Department of Motor Vehicles and it has a date of birth, the vendor retains the record from Tax and inserts the date of birth from the Department of Motor Vehicles. This record will be marked with a source code of "3" indicating that it came from both the Motor Vehicle and Tax files. See Exhibit 1- OCA Source List Codes attached.

b. Identify and eliminate JMS2 Jury File records from the Master Source File:

After duplicates are eliminated from the Master Source File, Vendor must compare this file with the JMS2 Jury File and eliminate from the Master Source File records that duplicate records in the JMS2 Jury File.

The remaining Master Source File records make up a new file called the New Eligible File YYYY.

c. Delete records of deceased persons and persons under 18 years old in New Eligible File YYYY:

Vendor shall delete records in the New Eligible File YYYY where the date of birth indicates a person is under the age of 18 and provide a report showing the number of records deleted by county.

d. Identify duplicate records in the JMS2 Jury File:

Vendor must identify duplicate records in the JMS2 Jury File.

2. Annual deliverables

a. Upon completion of the annual processing vendor shall supply OCA/JSO with the New Eligible File YYYY containing records in the same format as is used in the JMS2 Jury File. The New Eligible File YYYY must include all records remaining in the Master Source File after address correction, duplicate detection and elimination, merging of source files and elimination of records in source files that are already included in the JMS2 Jury File.

b. Vendor shall supply OCA/JSO with a sample of 10,000 duplicate groups

c. The identified duplicate records in the JMS2 Jury File shall be included in a file provided to OCA/JSO that is formatted the same way as the original file JMS2 Jury File and including the index number from the original file.

d. Vendor shall deliver a report to OCA/JSO showing the number of unique and duplicate records on the JMS2 Jury File (both within county and statewide) and the number of duplicate records resulting from the matching process, categorized by type of duplicate.

e. Vendor shall deliver an industry-standard report to OCA/JSO summarizing and describing the work performed as detailed below:

- A description and summary data concerning duplicates detected in the JMS2 Jury File.
- A description and summary data concerning numbers of unique records and numbers selected from duplicate groups included in the New Eligible File YYYY.

- A description and summary data explaining the results of all address correction processing in the JMS2 Jury File.
- A description and summary data describing the merge purge process and resulting file produced for OCA/JSO including numbers of records selected from duplicate groups and the number of unique records selected.
- A description of data by source and by county including results of all duplicate detection and address correction and merge purge processing.
- A report showing Vendor's application of CASS-certified address standardization to all records and which includes fields on each record containing the reformatted address.
- A report showing the results of the address correction process including the number of records with country, state, county, and municipality information added and the number of records for which this information could not be added.

C. DELIVERY OF FILES AFTER QUARTERLY AND ANNUAL PROCESSING

Vendor must deliver all files specified as Sections VI.A.2 and V.B. via SFTP or custom designed web services.

Exhibit 1 – OCA Source List Codes

VII. PRICING AND EXHIBIT A/PRICING SHEET

Pricing

Except as otherwise expressly set forth herein, pricing shall include all costs for the performance of the services described herein. Additionally, pricing shall be submitted only on, and in the format prescribed by, Exhibit A/ Pricing Sheet. Unless specified otherwise herein, all prices shall remain unchanged throughout the Initial Term of the awarded contract, the Renewal Terms and the Extension.

Bidder shall quote pricing on a per million basis for each of the categories indicated in Exhibit A/ Pricing Sheet.

EXHIBIT A/PRICING SHEET

Services	Price per Million	Price per Year
1. Quarterly Address Cleansing/NCOA processing 15 million* records per quarter x4 = 60 million* records per year (JMS2 files)	\$ _____/million	x60 = \$ _____
2. Annual Duplicate Detection and Merge/Purge Processing 35 million* records per year (Master Source File)	\$ _____/million	X35 = \$ _____
	Total Price/Year (Sum of 1.+2.)	\$ _____
	Total Price for Initial 3 Years	\$ _____

*estimated quantity

Company Name: _____

Authorized Officer's Name and Title:

Signature and Date: _____

VIII. The RFB/RFP PROCESS: GENERAL SPECIFICATIONS

Note to Bidders

1. Attachment I - Standard Request for Bid Clauses & Forms and Attachment IV - Procurement Lobbying Law required forms

In addition to such other specifications and criteria as are presented herein, the NYS Unified Court System Attachment I - Standard Request for Bid Clauses & Forms , and Attachment IV - Disclosure of Prior Non-Responsibility Determination (UCS 420) as well as Affirmation of Understanding and Agreement (UCS 421) and Termination Clause (UCS 423) pursuant to the Procurement Lobbying Act, which must be downloaded or printed from the UCS Contract & Procurement website under "Addenda" for the appropriate solicitation, are incorporated and made a part of this solicitation.

2. Attachment III - Vendor Responsibility Questionnaire

The NYS Unified Court System (UCS) is required to conduct a review of a prospective contractor to provide reasonable assurances that the vendor is responsible. The required Vendor Responsibility Questionnaire is designed to provide information to assist UCS in assessing a vendor's responsibility prior to entering into a contract with the vendor. Vendor responsibility is determined by a review of each prospective contractor's legal authority to do business in New York State, business integrity, financial and organizational resources, and performance history (including references).

The UCS recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. However, vendors may choose to complete a paper questionnaire and submit it with their proposal.

Online Questionnaire: To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at http://www.osc.state.ny.us/vendrep/vendor_index.htm or go directly to the VendRep System online at <https://portal.osc.state.ny.us>. Vendors must provide their New York State Vendor Identification Number when enrolling (see paragraph headed 'New York State Vendor File Registration' for instructions on obtaining a Vendor Identification Number.) For VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at ciohelpdesk@osc.state.ny.us.

Bidders who file the Vendor Responsibility Questionnaire online via the OSC VendRep System are requested to checkmark the appropriate box on the Document Enclosure Checklist. Please note that online submissions must be certified and dated/updated not more than six (6) months prior to the bid opening date of this RFB/RFP. Bidders' authorized signature of the RFB/RFP form will serve as confirmation that bidders have knowingly filed their questionnaire online if

the paper questionnaire is not included with the bidder's submission.

Paper Questionnaire: Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website www.osc.state.ny.us/vendrep or may contact the UCS or the Office of the State Comptroller's Help Desk for a copy of the paper form.

3. New York State Vendor File Registration

Prior to being awarded a contract pursuant to this solicitation, the bidder(s) must be registered in the New York State Vendor File (Vendor File) administered by the OSC. This is a central registry for all vendors who do business with New York State agencies and the registration must be initiated by a State agency. Following the initial registration, a unique New York State ten-digit vendor identification number (Vendor ID) will be assigned to vendors for usage on all future transactions with New York State. Additionally, the Vendor File enables vendors to use the Vendor Self-Service application to manage certain vendor information in one central location for all transactions related to the State of New York.

If the bidder is already registered in the Vendor File, the vendor must enter the vendor's ten-digit Vendor ID on the first page of this bid document.

If the bidder is not currently registered in the Vendor File, upon award of a contract the Bidder must complete the OSC Substitute W-9 Form (http://www.osc.state.ny.us/vendors/forms/ac3237_fe.pdf) and submit the form to UCS. **The UCS will initiate the vendor registration process** for the awarded contractor. Once the process is initiated, awarded contractor will receive an e-mail identifying their unique ten-digit Vendor ID and instructions on how to enroll in the online Vendor Self-Service application. For more information on the Vendor File please visit the following website:
http://www.osc.state.ny.us/vendor_management/.

Online RFB/RFP Package: Disclaimer

Bidders accessing any UCS/OCA/JSO solicitations and related documents from the New York State UCS website www.nycourts.gov/admin/bids under "Current Solicitations" shall remain solely and wholly responsible for reviewing the respective solicitation & bid documents on the internet regularly, up to the scheduled date and time of the bid/proposal due date, to ensure their knowledge of any amendments, addenda, modifications or other information affecting the solicitation or bid documents in question.

Bid Response/Proposal: Original and Copies

Bidders shall submit all the following required **original RFB/RFP documents**: Bid/Proposal; Executed RFB/RFP Form; Attachment I - pages 3, 4, of 10; Attachment III - Vendor Responsibility Questionnaire (questionnaire may be filed electronically with OSC); Attachment IV - Disclosure of Prior Non-Responsibility Determinations UCS 420 and Affirmation of Understanding and Agreement UCS 421; proof of Workers' Compensation and Disability Benefits insurance coverage (See "Insurance Requirements"); and any other required documentation, brochures, etc. listed on the Document Enclosure Checklist. Complete the paperwork on the forms provided with this solicitation unless otherwise requested. Do not retype or amend any portion of this solicitation. Failure to provide all original documents and the requested number of copies may result in disqualification of a bidder's response.

NYS OGS General Specifications

New York State Office of General Services (NYSOGS) General Specifications (May 2015) are incorporated herein by reference, except to the extent any provision thereof is not applicable to UCS. Any reference in the NYSOGS General Specifications to 'Commissioner' shall be deemed to refer to the Chief Administrator of the Courts or the designee of the Chief Administrator. In the event of any conflict or express or implied ambiguity between this solicitation document, including attachments hereto, and the NYSOGS General Specifications, this solicitation document shall take precedence. The NYSOGS General Specifications are available at: <http://www.ogs.ny.gov/purchase/spg/pdfdocs/CL815.pdf>.

Binding Nature of Bid/Proposal on Bidders

All bids/proposals shall remain binding on bidders until such time as OCA/JSO provides written notification of its intent to award the contract to a specific bidder or until the bidder withdraws its bid/proposal in writing, whichever occurs first.

Estimated Quantities

Any quantities specified in this solicitation constitute estimates only, and accordingly no commitment or guarantee to reach any specified volume of business is made or implied.

Compliance with Laws

Awarded contractor(s) must comply with all applicable federal, state and local laws, rules and regulations, including but not limited to, fire, health and safety codes, prior to and during the provision of all services under the contract resulting from this RFB/RFP.

Independent Contractor Status

It is expressly understood and agreed that the awarded contractor's status shall be that of an independent provider of services and that no officer, employee, servant or subcontractor of the contractor is an employee of the UCS, OCA or State of New York. The awarded contractor shall be solely responsible for the work, assignment, compensation, benefits and personal conduct and standards of all such persons assigned to the provision of services. Nothing herein shall be construed to impose any liability or duty on the UCS, OCA or State of New York to persons, firms, consultants or corporations employed or engaged by the awarded contractor either directly or indirectly in any capacity whatsoever, nor shall the UCS, OCA or State of New York be liable for any acts, omissions, liabilities, obligations or taxes of any nature including, but not limited to, unemployment and Workers' Compensation insurance of the awarded contractor or any of its employees or subcontractors.

Rejected and Unacceptable Bids/Proposals

UCS reserves the right to reject any and all proposals or bids submitted in response to this solicitation. In addition, UCS may reject any bids/proposals from any bidders who are in arrears to the State of New York upon any debt or performance of any contract; or who have previously defaulted on any contractual obligations, (as contracting party, surety or otherwise), or on any obligation to the State of New York; or who have been declared not responsible or disqualified by any agency of the State of New York, who have any proceeding pending against them relating to the responsibility or qualification of the bidders to receive public contracts, whose proposal is incomplete or otherwise non-responsive in any material respect, or who are found to be non-responsible based on any of the criteria specified in the section headed 'Responsible Bidder'.

UCS also reserves the right to reject any bidder: (i) whose facilities and/or resources are, in the opinion of OCA, inadequate, too remote from the UCS locations to render services in a timely manner in accordance with all requirements of this solicitation; (ii) who does not provide references in accordance with the bid specifications, or whose references report significant failure to comply with specifications; or (iii) who are otherwise, in the opinion of OCA, unable to meet specifications.

Responsible Bidder

A bidder shall be defined as "responsible" in accordance with, but not limited to, references, past performance history, financial stability, the criteria set forth in paragraph 2 of the General Specifications (Attachment III-Vendor Responsibility Questionnaire), and the criteria set forth in the paragraph headed "Rejected and Unacceptable Bids/Proposals" as well as any other criteria necessary and reasonable to establish the bidder's responsibility.

Clarification/Correction of Bids/Proposals

In addition to any rights articulated elsewhere in this solicitation, UCS reserves the right to require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of a bidder's proposal and/or to determine a bidder's compliance with the requirements of this solicitation. This clarifying information, if required in writing by UCS, must be submitted by the bidder, in accordance with formats as prescribed by UCS at the time said information is requested and, if received by the due date set forth in UCS's request for clarification, shall be included as a formal part of the bidder's proposal. Clarifying information, if any, whether provided orally, visually or in writing will be considered in the evaluation process. Failure to provide required information by its associated due date may result in rejection of the bidder's proposal. Nothing in the foregoing shall mean or imply that it is obligatory upon UCS to seek or allow clarifications or corrections as provided for herein.

References

Each bidder must provide at least three (3) references, other than UCS, including the company/agency name, complete address, contact name, title, telephone number and email address, for whom the bidder has provided similar services at any time during the past three (3) years.

Indemnity

Awarded contractor shall indemnify, defend and hold harmless UCS, its officers and employees from and against any and all claims, causes of action, damages, costs, liabilities and expenses of any kind (including reasonable attorney's fees and the cost of legal defense) which UCS may incur by reason of: (i) awarded contractor's breach of any term, provision, covenant, representation or warranty contained in the contract awarded as a result of this bid; (ii) any act, omission, negligence or intentional misconduct of awarded contractor or its employees, subcontractors, agents, volunteers or of other persons under its direction and control; (iii) awarded contractor's performance or failure to perform under the contract; and (iv) enforcement by UCS of the awarded contract or any provisions thereof.

Unified Court System Self-Insurance

UCS, a New York State governmental entity, is self-retained for risk of loss and liability.

Insurance Requirements

Awarded contractor shall be required to maintain during the term of the contract, including any renewal terms, at their own cost and expense:

1. Workers' compensation and disability benefit insurance coverage as required under NYS law. **Each vendor must provide with its proposal proof of such workers' compensation and disability benefits insurance coverage or, if it is legally exempt from such coverage, proof of exemption.** Vendor must obtain the appropriate Workers Compensation Board forms from its insurance carrier or licensed agent, or must follow the procedures set forth by the Workers' Compensation Board for obtaining an exemption from coverage. See Workers' Compensation Board website at <http://www.wcb.ny.gov> under "Forms" for a manual listing required forms and procedures. Any questions regarding workers' compensation coverage requirements or debarments should be directed to:

Workers' Compensation Board
Bureau of Compliance
(518) 462-8882
(866) 298-7830

Only the following forms will be accepted:

Proof of Workers' Compensation 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
- **Form CE-200** - Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage.
-

Proof of Disability Benefits Coverage

- **Form DB-120.1** - Certificate of Disability Benefits Insurance, or
- **Form DB-155** - Certificate of Disability Benefits Self-Insurance; or
- **Form CE-200** - Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage.

On forms that have a space for a certificate holder to be listed, the carrier must enter:

NYS Unified Court System
Office of Court Administration
25 Beaver Street, Room 850
New York, NY 10004

The insurance carrier will notify the certificate holder if a policy is canceled.

Please note: An ACORD Certificate of Insurance is not acceptable proof of NYS workers' compensation or disability benefits insurance coverage.

For additional information regarding worker's compensation and disability benefits requirements, please refer to the New York State Workers' Compensation Board website at: <http://www.wcb.ny.gov> under "Employers/Businesses."

2. Commercial General Liability Insurance (bodily injury and property damage on an occurrence basis), contractual and products/completed operations liability coverage, and auto liability with minimum limits as follows:

Bodily Injury and Property Damage	\$1 million, per occurrence, \$2million, aggregate
Personal Injury and Advertising:	\$1 million aggregate
Contractual and Products/ Completed Operations	\$2 million aggregate
Auto Liability, Combined single limits	\$1 million

Commercial General Liability insurance coverage shall be obtained from commercial insurance carriers licensed to do business in the State of New York.

Confidentiality

Bidder acknowledges that any and all information, records, files, documents or reports contained in any media format provided to the bidder by the court, or which may be otherwise encountered by bidder shall be considered extremely confidential and shall be handled accordingly at all times. Neither the bidder nor any of its employees, servants, Contractors, agents or volunteers shall at any time be permitted to utilize such confidential information for any purpose outside the scope of any resulting agreement without the express prior written authorization of UCS. Any breach of this confidentiality by the bidder or by any of its employees, servants, subcontractors, agents, or volunteers may result in the immediate termination of any resulting agreement by UCS and may subject the bidder to further penalties.

Awarded Contractor shall use, and require its employees and authorized agents to use, at least the degree of care a reasonably prudent person would use to protect and prevent improper access to the records.

Confidential/Proprietary Information

If applicable, bidders should specifically identify those portions of the proposal deemed to contain confidential or proprietary information or trade secrets, and must provide justification why such material, upon request, should not be disclosed to parties other than UCS. Bidders are advised that any material deemed confidential by bidder may still be subject to disclosure in connection with any governmental or judicial proceeding or inquiry or as may be required by applicable law, including but not limited to Article 6 of the New York Public Officers Law (Freedom of Information Law). Such confidential/proprietary information must be easily separable from the non-confidential sections of the proposal.

Financial Stability

Upon request by UCS, bidder shall provide its audited financial statements prepared in accordance with GAAP-Generally Accepted Accounting Principles for the past three (3) consecutive years and a copy of its last three (3) annual reports.

Termination

Early termination of the contract for cause may result in, among other consequences, all remedies available to UCS and New York State, the awarded contractor both being declared non-responsible by the UCS/OCA/JSO, pursuant to the UCS and Office of the State Comptroller's guidelines on vendor responsibility and in the contractor's removal from the UCS/OCA/JSO's bidders list for future solicitations.

Implied Requirements

Products and services that are not specifically requested in this solicitation, but which are necessary to provide the functional capabilities proposed by the bidder, shall be included in the offer except as specified herein.

Silence of the Specifications

The apparent silence of the specifications contained as part of this package as to any detail or to the apparent omission of a detailed description concerning any point, shall be regarded as meaning that only the best commercial practices are to prevail. All interpretations of these specifications shall be made on the basis of this statement.

RFB# OCA/JSO/DOT-217
ADDRESS CLEANSING, NCOA, MERGE/PURGE

Bid Opening Date: September 8, 2016
3:00 p.m.

THIS PAGE IS INTENTIONALLY BLANK.

Exhibit 1

OCA Source List Codes

Code	Source(s)
1	BOE DMV
2	BOE TAX
3	DMV TAX
4	BOE DMV TAX
5	BOE LAB
6	DMV LAB
7	BOE DMV LAB
8	TAX LAB
9	BOE TAX LAB
B	BOE
C	DMV TAX LAB
D	BOE DMV TAX LAB
M	DMV
E	BOE HR
F	DMV HR
G	BOE DMV HR
H	HR
I	TAX HR
J	BOE TAX HR
K	DMV TAX HR
L	LAB
N	LAB HR
O	BOE LAB HR
P	DMV LAB HR
Q	BOE DMV LAB HR
R	TAX LAB HR
S	BOE TAX LAB HR
T	TAX
U	BOE DMV TAX HR
W	BOE DMV TAX LAB HR
X	DMV TAX LAB HR