Exhibit I.A Proposal Submission Requirement Checklist

Please indicates by checkmark that your Proposal meets **each** of the following submission requirements:

_✓___**1.** **TIMELY SUBMISSION:** Proposal submitted to assure receipt by the Procuring Agencies no later than 3:00 p.m. ET on the Proposal Due Date as indicated in RFP Section II.A.1.

__✓___**2.** **FORMATTING REQUIREMENTS:** The Offeror's Proposal must be organized in three parts: Administrative Proposal; Technical Proposal and Cost Proposal and each part must each comply with the formatting requirements stated in Section II.A.7.a and II.A.7.b of this RFP.

__✓__a. Eighteen (18) separately bound hardcopies – **four (4) Originals each of the Administrative Proposal, Technical Proposal and Cost Proposal** containing original documents (i.e., original signatures, no photocopies) and marked and numbered (i.e., "ORIGINAL #1," "ORIGINAL #2," etc.), **fourteen (14) copies of each Administrative Proposal, Technical Proposal and Cost Proposal** marked and numbered (i.e., "COPY #1," "COPY #2," etc.) and **two (2) separate CDs for the Administrative, Technical and Cost Proposal (6 CDs total)**

__✓__b. Proposals must be prepared in Adobe Acrobat, as applicable.

_✓___c. Each Administrative, Technical and Cost Proposal must be separately bound and externally labeled with "Pharmacy Benefit Services for The Empire Plan, Excelsior Plan, Student Employee Health Plan and New York State Workers' Compensation Prescription Drug Programs" and Offeror's name(s). (No cost information [i.e., $ quotes] can be referenced in the Administrative or Technical Proposal.

__✓__d. Table of Contents

__✓__e. Index Tabs

__✓__f. Pagination

_✓___g. Updates/Corrections

_✓___h. Required Content of Proposals - The Proposal shall consist of three parts: the Administrative Proposal must contain the documentation required in Section III of this RFP. The Technical Proposal must be responsive to the programmatic duties and responsibilities set forth in Section IV of this RFP. The Cost Proposal must demonstrate a commitment to perform all programmatic duties and responsibilities in accordance with Section V of this RFP.

__✓___**3.** **REQUIRED CONTENT OF THE ADMINISTRATIVE PROPOSAL:** The Administrative Proposal must contain the following information, in the order enumerated below:

_✓___A. **Formal Offeror Letter**: The Offeror must submit a formal offer in the form of the "Formal Offer Letter" as set forth in RFP, Exhibit I.S in accordance with the requirements set forth in RFP, Section III.A

_✓___B. **Minimum Mandatory Requirements**: The Offeror must submit a completed Exhibit I.T "Offeror Attestations Form" containing the representations and warranties set forth therein.

_✓___C. **Exhibits**: The Offeror must complete and submit the Exhibits specified in Section III.C as follows:

_✓___ Exhibit I.AProposal Submission Requirement Checklist

_✓___ Exhibit I.CFreedom of Information Law – Request for Redaction Chart

Exhibit I.A Proposal Submission Requirement Checklist

_✓___ Exhibit I.D MacBride Statement and Non-Collusive Bidding Certification

_✓___ Exhibit I.I Extraneous Terms Template

_✓___ Exhibit I.K Offeror's Affirmation of Understanding & Agreement

_✓___ Exhibit I.M Compliance with Public Officers Law Requirements

_✓___ Exhibit I.N Compliance with Americans with Disabilities Act

_✓___ Exhibit I.O. (A) DCS-MWBE Utilization Plan (form MWBE-100)

_✓___ Exhibit I.O. (B) NYSIF - MWBE Utilization Plan (form MWBE-100)

_✓___ Exhibit I.P Offeror's Certification of Compliance Pursuant to State Finance Law §139-k

_✓__ Exhibit I.Q.1 Vendor Profile (NYSIF)

_✓___ Exhibit I.Q.2 NYSIF Vendor Security Survey

_✓___ Exhibit I.U.1 Key Subcontractors

_✓___ Exhibit I.U.2 New York State Suppliers and Subcontractors

_✓___ Exhibit I.X Vendor Assurance of No Conflict of Interest or Detrimental Effect

_✓___ Exhibit I.Y.1 Offeror's Proposed Retail Pharmacy Network File

_✓___ Exhibit I.Y.3 Offeror's Proposed Retail Pharmacy Network Access Prerequisite Worksheet

_✓___ Exhibit I.Y.4 Comparison of DCS Current Program Network Pharmacies and Proposed Retail Pharmacy Network

_✓___ Exhibit I.Z, Confidentiality Agreement and Certificate of Non-Disclosure

_✓___D. **Key Subcontractors**: The Offeror must provide a statement identifying all Key Subcontractors, if any, that the Offeror will be contracting with to provide Prescription Drug Program services and must, for each such Key Subcontractor identified, complete and submit **Exhibit I.U.1 "Key Subcontractors"**:

1. provide a brief description of the services to be provided by the Key Subcontractor; and
2. provide a description of any current relationships with such Key Subcontractor and the clients/projects that the Offeror and Key Subcontractor are currently servicing under a formal legal agreement or arrangement, the date when such services began and the status of the project.

The Offeror must indicate whether or not, as of the date of the Offeror's Proposal, a subcontract has been executed between the Offeror and the Key Subcontractor for services to be provided by the Key Subcontractor relating to this RFP. If the Offeror will not be subcontracting with any Key Subcontractor(s) to provide Prescription Drug Program services, the Offeror must provide a statement to that effect.

_✓___E. **Financial Statements**: The Offeror must provide a copy of the Offeror's last issued GAAP annual audited financial statement. A complete set of statements, not just excerpts, must be provided. Additionally, for each Key Subcontractor, if any, that provides any of the Prescription Drug Program services; provide the most recent GAAP annual audited statement. If the Offeror, or a Key Subcontractor, is a privately held business and is unwilling to provide copies of their GAAP annual audited financial statements as part of their Proposal, the Offeror/Key Subcontractor must make arrangements for the procurement evaluation team to review the financial statements.

Exhibit I.A Proposal Submission Requirement Checklist

NOTE: If financial statements have not been prepared and/or audited, the Offeror must provide the following as part of its Administrative Proposal a letter from a bank reference attesting to the Offeror's financial viability and creditworthiness. (Note: for purposes of this reference, the Offeror may not give as a reference, a parent or subsidiary company, a partner or an affiliate organization. For the purpose of this requirement, "affiliate" means an organization which, through stock ownership or any other affiliation, directly, indirectly, or constructively controls another organization, is controlled by another organization, or is, along with another organization, under the control of a common parent.) The letter must include the bank's name, address, contact person name and telephone number and it must address, at a minimum, the following items:

1. a brief description of the business relationship between the parties (i.e., the Offeror and the bank), including the duration of the relationship and the Offeror's current standing with the bank. For example: "*The Offeror is currently and has been for "x" number of years a client in good standing.";*
2. a description of any ownership/partner relationship that may exist between the parties, if any. (Note: One party cannot be the parent, partner or subsidiary of the other, nor can one party be an affiliate of the other.); and,
3. any other facts or conclusions the bank may deem relevant to the State in regard to the bank's assessment of the Offeror's financial viability and creditworthiness concerning the nature and scope of the Project Services, which are the subject matter of this RFP, and the parties (i.e., DCS or NYSIF and the Offeror) contractual obligations should it be awarded the resultant contract(s).

_✓___F. **Financial Protections and Transparency**: It is the goal of the Procuring Agencies to select an Offeror that provides clinically sound Program Services in a manner that aligns the financial interests of the Programs and the Offeror. The Procuring Agencies expect a commitment to full transparency which provides a level of confidence otherwise not present as undisclosed agreements with manufacturers and/or pharmacies can create real or perceived conflicts between the interests of the Programs and the Offeror. The receipt of revenue or other non-revenue considerations not related to the Programs' utilization from pharmaceutical manufacturers or other entities involved in the provision of drugs to Program Enrollees/Claimants is not a disqualifying factor provided the Offeror 's business model protects the clinical and financial interests of the Programs and eliminates real or perceived conflicts of interests. Detailed disclosure of such relationships is necessary to fully evaluate the value of the Offeror's Proposal both for 2019 and for the remaining years of the agreement resulting from this RFP.

The Offeror may be required to submit documentation in support of any attestations made as part of this responsibility determination. The responsibility determination will assess, but not be limited to, the following:

__✓__ 1. Alignment of Financial Interests

_✓___ 2. Pharmaceutical Manufacturer Revenue

_✓___ 3. Retail Pharmacy Network Relationships

_✓___ 4. Drug Pricing

_✓___ 5. Transparency of Financial Interests

_✓___ 6. Financial Protections

Exhibit I.A Proposal Submission Requirement Checklist

____**4.** **REQUIRED CONTENT OF THE TECHNICAL PROPOSAL:** The Technical Proposal must be responsive to the duties and responsibilities and submission requirements set forth in Section IV of this RFP and it must contain the following information, in accordance with the submissions associated requirements, and in the order enumerated below:

_✓___ A. **Program Administration**

_✓___ 1. Executive Summary

_✓___ 2. General Qualifications of the Offeror

___ B. **DCS and NYSIF Prescription Drug Program Services**

_✓___ 1. Account Team

_✓___ 2. Premium Development Services(Exclusive to DCS)

_✓___ 3. Implementation Plan

_✓___ 4. Customer Service

_✓___ 5. Empire Plan Medicare Rx (Exclusive to DCS)

_✓___ 6. Enrollee Communication Support

_✓___ 7. Enrollment Management

_✓___ 8. Reporting

_✓___ 9.Transition and Termination of Agreements

_✓___10. Network Management

_✓___11. Claims Processing

_✓___12. Retrospective Coordination of Benefits(Exclusive to DCS)

_✓___13. Utilization Management

_✓___14. Clinical Management/Drug Utilization Review (DUR)

_✓___15. Drug List Development and Management (Exclusive to DCS)

_✓___ C. **Diversity Practices Questionnaire**

___1. Exhibit IV.B - Diversity Practices Questionnaire

_✓____**5**. **REQUIRED CONTENT OF THE COST PROPOSAL:** The Offeror's Cost Proposal must demonstrate that it will execute the duties and responsibilities set forth in Section V of this RFP and it must contain the following cost exhibits in strict accordance with the directions set forth in this RFP:

_✓___Exhibit V.A Offeror's Proposed Claim Reimbursement Quotes

__✓__Exhibit V.C Retail and Mail Service Generic Drugs – MAC List Costs Per GPI (for Offerors proposing to use **Medi-Span** as the claims adjudication platform)

_✓___Exhibit V.D Specialty Pharmacy Program Dispensing Fee

_✓___Exhibit V.E Pharma Revenue Guarantee Quote

_✓___Exhibit V.E.1 Documentation to Support Pharma Revenue Guarantee Quote

_✓___Exhibit V.F Claims Administration Fee(s) Quotes

Exhibit I.A Proposal Submission Requirement Checklist

_✓___Exhibit V.G Vaccine Administration Fees

6. Supplemental Information:

The FOIL-related materials described herein which the Offeror is requested to provide per RFP, Section II.B.8 will not be considered part of the Offeror's Proposal and will not be reviewed as a part of the Procurement's evaluation process. Notwithstanding this they have been identified in this Checklist as a reminder to Offerors of the need to provide the requested items.

A. Requested Redactions CD and Hard Copy:

At the time of Proposal submission the Offeror is requested to submit:

__✓____1. Separately bound hardcopy of the Administrative Proposal, Technical Proposal, and Cost Proposal with each specific item requested to be protected from FOIL disclosure by highlighting in yellow.

__✓___2. Electronic copy (on CD in Adobe Acrobat format) of the complete Proposal noting each the specific item requested to be protected from FOIL which contains no more than three pdf files; one for each part of the Proposal (Administrative Proposal, Technical Proposal, and Cost Proposal).