

## Exhibit I.A Proposal Submission Requirement Checklist

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Please indicate 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. Sixteen (16) 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.), **twelve (12) copies of each Administrative Proposal, Technical Proposal and Cost Proposal** marked and numbered (i.e., "COPY #1," "COPY #2," etc.) and a separate CD for the Administrative, Technical and Cost Proposal.
  - \_\_\_ 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.A Proposal Submission Requirement Checklist
    - \_\_\_ Exhibit I.C Freedom of Information Law – Request for Redaction Chart
    - \_\_\_ Exhibit I.D MacBride Statement and Non-Collusive Bidding Certification

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- \_\_\_ Exhibit I.G. (A) DCS - EEO Staffing Plan (form EEO-100)
- \_\_\_ Exhibit I.G. (B) NYSIF - EEO Staffing Plan (form EEO-100)
- \_\_\_ Exhibit I.I New York State Standard Vendor Responsibility Questionnaire
- \_\_\_ 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. (A) DCS – Certification of Good Faith Efforts (form MWBE-104)
- \_\_\_ Exhibit I.Q. (B) NYSIF – Certification of Good Faith Efforts (form MWBE-104)
- \_\_\_ Exhibit I.S Formal Offer Letter
- \_\_\_ Exhibit I.T Offeror Attestations Form
- \_\_\_ Exhibit I.U Key Subcontractors
- \_\_\_ Exhibit I.V Program References
- \_\_\_ Exhibit I.Y.1 Participation/Non-Participation Status of Certain Chain Pharmacies
- \_\_\_ Exhibit I.Y.3 Offeror's Proposed Retail Pharmacy Network File
- \_\_\_ Exhibit I.Y.4 Offeror's Proposed Retail Pharmacy Network Access Prerequisite Worksheet
- \_\_\_ 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 "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.

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- \_\_\_E. **Reference Checks:** The Offeror must provide four (4) references of current clients and one reference of a former client(s) for whom the Offeror has supplied prescription drug services similar to those describe in this RFP. The number of covered lives covered by the Offeror for each referenced client must be at least 100,000. For each client reference provided, the Offeror must complete and submit **Exhibit I.V "Program References."** The Offeror shall be solely responsible for providing contact names, e-mail addresses and phone numbers of client references who are readily available to be contacted by the State.
- \_\_\_F. **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.

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).

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\_\_\_ G. **Financial Protections and Transparency:** For the purpose of determining Offeror responsibility, the Offeror must participate in a responsibility determination that will include an assessment of the Offeror's financial protections and transparency. This process will examine the Offeror's proposal and business model to assess the extent to which the financial interests of the Programs and the Offeror are aligned. 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 Programs' Enrollees 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 2014 and for the remaining years of the agreement resulting from this RFP.

\_\_\_ 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
- \_\_\_ 4. Customer Service
- \_\_\_ 5. Medicare Part D-Employer Group Waiver Plan PDP (Exclusive to DCS)
- \_\_\_ 6. Enrollee Communication Support
- \_\_\_ 7. Enrollment Management
- \_\_\_ 8. Reporting
- \_\_\_ 9. Consulting
- \_\_\_ 10. Transition and Termination of Agreements
- \_\_\_ 11. Network Management
- \_\_\_ 12. Claims Processing
- \_\_\_ 13. Retrospective Coordination of Benefits(Exclusive to DCS)
- \_\_\_ 14. Utilization Management
- \_\_\_ 15. Clinical Management/Drug Utilization Review (DUR)
- \_\_\_ 16. Preferred Drug List Development and Management

## **Exhibit I.A Proposal Submission Requirement Checklist**

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- \_\_\_ **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.B. Re-pricing Instructions for Exhibit V.B.2 entitled "Offeror's Re-Priced Claims Files" to be submitted in Support of the Offeror's Proposed Claim Reimbursement Quotes
  - \_\_\_ Exhibit V.B.1 Layout Specifications for Exhibit V.B.2 entitled "Offeror's Re-Priced Claims Files to be submitted in Support of the Offeror's Proposed Claim Reimbursement Quotes
  - \_\_\_ Exhibit V.B.2 Offeror's Re-priced Claim File
  - \_\_\_ 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.C.1 Retail and Mail Service Generic Drugs – MAC List Costs Per GCN (for Offerors proposing to use **First Data Bank** 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 Quote

### **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.

- \_\_\_ **6. REQUESTED REDACTIONS CD and HARD COPY:**  
**At the time of Proposal submission the Offeror is requested to submit:**

\_\_\_ A. 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.

\_\_\_ B. 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).