



Department of Civil Service

INVITATION FOR BID #DEAS-2015-1

“New York State Health Insurance Program Dependent Eligibility Audit Services”

RELEASE DATE: May 7, 2015

PROPOSAL DUE DATE: **June 10, 2015**

IMPORTANT NOTICE: A Restricted Period under the Procurement Lobbying Law is currently in effect for this Procurement and it will remain in effect until State Comptroller approval of the resultant Contract. During the Restricted Period for this Procurement ALL communications must be directed, in writing, solely to the Department’ Procurement manager as listed below and shall be in compliance with the Procurement Lobbying Law and the NYS Department of Civil Service “*Rules Governing Conduct of Competitive Procurement Process*” (refer to Section II: Procurement Protocol and Process).

Department of Civil Service Contact for Inquiries and Submissions for this Solicitation:

DEAS Procurement Manager
Employee Benefits Division, Room 1106
New York State Department of Civil Service
Albany, New York 12239
(518) 402-2096
e-mail: DEAS2015IFB@cs.ny.gov

Jerry Boone
Commissioner
NYS Department of Civil Service

David Boland
Director
NYS Department of Civil Service
Employee Benefits Division

SECTION I: INTRODUCTION**A. Purpose**

The purpose of this Invitation for Bid (IFB), #DEAS-2015-1 entitled “New York State Health Insurance Program Dependent Eligibility Audit Services” is to competitively secure the services of a qualified entity to administer a one-time verification of Dependent eligibility for the Employee Benefits Division of the NYS Department of Civil Service in its administration of the New York State Health Insurance Program (NYSHIP) either directly or through subcontracts with organizations qualified to perform all or some of the Project Services required by this IFB.

- **Note:** The Department has taken care in preparing the data accompanying this IFB, however, the Department does not warrant the accuracy of the data. The numbers or statistics which appear in the IFB are for informational purposes only and should not be used or viewed by prospective Offerors as guarantees or representations of any levels of past or future performance or participation. Accordingly, prospective Offerors should rely upon and use such numbers or statistics in preparing their Proposals at their own discretion.

The Department will accept Proposals only from qualified Offerors and will consider for evaluation and selection purposes only those Proposals that it determines to be responsive to the requirements of the IFB and the Project Services duties and responsibilities set forth in the IFB, Section IV “Technical Section.”

Enrollees will be granted a one-time Amnesty Period to report Dependents who are not eligible to participate in NYSHIP and to terminate their eligibility on a current basis. Article XI Section 164 of NYS Civil Service Law has been amended to state:

“2. During the fiscal year ending March thirty-first, two thousand sixteen, the President may establish an Amnesty Period not to exceed sixty days. During this Amnesty Period when any Employee enrolled in the plan voluntarily identifies any ineligible Dependent:

- (a) the termination of the ineligible Dependent's coverage resulting from such Employee's timely compliance shall be made on a current basis;
- (b) the plan shall not seek recovery of any claims paid based on the coverage of the ineligible Dependent;
- (c) the Employee shall not be entitled to any refund of premium paid on behalf of any such ineligible Dependent; and
- (d) the Employee shall not be subject to any disciplinary, civil or criminal action, directly as a result of the coverage of the ineligible Dependent.”

It is the Department's intent to enter into a Contract (Agreement) with one (1) Offeror selected as a result of this IFB. The Agreement will be for a term of fifteen (15) months, including a 60-Day Implementation Period, an Amnesty Period (not to exceed 60 Days), an Eligibility Verification Period comprised of up to three (3) Phases, and 90 Day Appeal and Reinstatement Period(s) for each Phase of the Eligibility Verification. All eligibility verification must be completed within one (1) year of the Agreement start date and all Project Services must be completed within fifteen (15) months of the Agreement start date. This Agreement is subject to approval by the NYS Office of the Attorney General and the NYS Office of the State Comptroller.

The Offeror must agree to be bound by its Proposal which will be explicitly incorporated by reference into the executed Agreement. The Department will only contract with a single Offeror, which will be the sole contact with regard to all provisions of the Agreement. If the Offeror's Proposal includes Key Subcontractors or Affiliates, the Offeror will be considered the Prime Contractor, and the Offeror shall assume full responsibility for the fulfillment of all of the Contractor responsibilities under the Agreement. This IFB and other relevant information may be reviewed at: <http://www.cs.ny.gov/DEAS2015IFB/index.cfm>.

Note: Refer to Section VIII: Glossary of Terms, for definitions of terms used throughout this IFB.

B. Overview of the New York State Health Insurance Program

The New York State Health Insurance Program (NYSHIP) was established by the New York State Legislature in 1957 to provide essential health insurance protection to New York State (NYS) Employees, Retirees, and their eligible Dependents. Civil Service Law allows the New York State Employee Health Insurance Plan the option to be self-funded. The Participating Provider Organization option of NYSHIP, The Empire Plan, became fully self-funded in 2014. Public authorities, public benefit corporations, and other quasi-public entities, such as the NYS Thruway Authority and the Dormitory Authority may choose to participate in NYSHIP; those that do are called Participating Employers (PEs). Article XI of the NYS Civil Service Law also allows local units of government such as school districts, special districts, and municipal corporations to participate in NYSHIP; those local government units which choose to participate in NYSHIP are called Participating Agencies (PAs). At present, there are approximately 457 NYS agencies, 95 PE agencies, and 792 PA agencies in NYSHIP. Under Article XI of the Civil Service Law, as amended and 4 New York Code of Rules and Regulations (NYCRR) Part 73, as amended, the President, who also serves as the Commissioner of the Department, through the Department's Employee Benefits Division (EBD), is responsible for the ongoing administration of NYSHIP.

NYSHIP currently covers over 606,500 NYS, PA and PE Employees and Retirees. Eligible covered Dependents bring the total number of covered lives to approximately 1,232,200.

NYSHIP currently provides health benefits coverage through The Empire Plan, a Participating Provider Organization (PPO) with managed care components, and nine (9) Health Maintenance Organizations (HMOs). The Excelsior Plan is a lower cost version of The Empire Plan available only to PAs. Additionally, the Student Employee Health Plan (SEHP) is administered through The Empire Plan contracts. SEHP is a health benefits plan for graduate student Employees of New York State and the New York City University systems. NYS and PE Employees and Retirees may elect to enroll in either The Empire Plan or in HMOs offered through NYSHIP. NYSHIP offers only The Empire Plan and the Excelsior Plan to PAs. PAs may, and

frequently do, offer HMOs directly to their own Employees and Retirees as an alternative to Empire Plan coverage.

Upon award and approval of the Agreement by the Office of the Attorney General, and Office of the State Comptroller, there will be a 60-Day Implementation Period. Following the 60-Day Implementation Period, eligibility verification will be conducted in two parts: an Amnesty Period; and an Eligibility Verification Period in which Enrollees will be required to provide proof of each Dependent's eligibility directly to the Contractor. There will only be one Amnesty Period for all groups (NY, PE and PA). The Contractor will be responsible for administering the Amnesty Period under this Agreement.

After conclusion of the Amnesty Period, the Eligibility Verification Period will be performed in up to, but no more than three (3) Phases. The duration and composition of the Phases will be conducted as mutually agreed upon by the Department and the Contractor.

Additional 90-Day Appeal and Reinstatement Period(s) associated with each Phase of the Eligibility Verification Period will be used to process coverage Reinstatements when the Enrollee files an Appeal and a determination is made by the Contractor that the termination of the Dependent's coverage should be repealed, based on review of supporting documents provided by the Enrollee or Dependent.

The 60-Day Implementation Period, Amnesty Period, and the Eligibility Verification Period must be completed within one (1) year from the Agreement start date. All DEA Project Services, including DEA verification services and completion of the 90-Day Appeal and Reinstatement Period(s) must be completed within fifteen (15) months of the Agreement start date.

C. Overview of Health Insurance Enrollment Transaction Processing

Enrollment information is maintained on the New York Benefits Eligibility and Accounting System (NYBEAS), which is administered by the Department. Each State Agency, Participating Employer and Participating Agency designates one or more of their Employees as the Health Benefits Administrators (HBAs) for their Enrollees. The HBA determines member eligibility (see Exhibit II.A of this IFB for Dependent

Eligibility Guidelines) and effective dates of coverage based on policies and procedures provided by the Department and in most cases enrolls the members directly in NYBEAS. NYBEAS contains numerous edits to verify the eligibility of the member and to ensure the proper waiting period has been met prior to accepting the enrollment transaction. HBAs are responsible for reviewing and storing all proofs of Enrollee and Dependent eligibility.

Department staff acts as the HBA for Employees who have left State service and continue their enrollment in NYSHIP (Retirees, Vesteers, COBRA, etc.); State Employees who are on Leave without Pay or Workers' Compensation Leave; and Dependents who survive Enrollees or who continue coverage under COBRA. See Dependent Survivor Eligibility Guidelines in Exhibit II.B of this IFB. Department staff also acts as the HBA for certain smaller agencies. Department staff is available to assist HBAs with enrollment and eligibility issues and to process or correct transactions on NYBEAS that the HBAs are not authorized to complete themselves.

Eligibility changes are transmitted daily to the Empire Plan Hospital, Medical, Mental Health and Substance Abuse, and Prescription Drug insurance carriers, and daily or weekly to the HMOs. Unless the Enrollee notifies his/her HBA of a change in a Dependent child's status, the Dependent child is maintained in NYBEAS until the end of the month in which they turn 26 years old.

In 2009, the Department contracted with a vendor to perform a Dependent Eligibility Audit. The number of Dependents removed during the Amnesty Period was 18,222 and the number of Dependents removed during the Eligibility Period was 25,763 for a total of 43,985. Initially 71,267 Dependents were removed during the Eligibility Verification Period but 45,504 were reinstated as the result of Enrollee submitted Appeals. The 2009 audit was the first Dependent eligibility audit to be performed since NYSHIP's inception, and although there has been no further audit verification of NYSHIP Dependent eligibility since 2009, NYSHIP's eligibility policies were updated at that time to include more stringent requirements that HBA's must follow when adding Dependents.

As of February 2015, there are approximately 323,000 Family Policies with approximately 638,000 total Dependents enrolled in NYSHIP. The Department

recently performed an internal audit to verify that supporting eligibility documentation is on file for Dependent children who were verified in the previous 2009 DEAS. As a result of the internal audit, of the 638,000 total NYSHIP enrolled Dependents, the Department has estimated approximately 220,000 Dependent children meet NYSHIP's Dependent eligibility criteria, and will be included in the Amnesty Period, but will not be subject to the audit.

SECTION II: PROCUREMENT PROTOCOL AND PROCESS**A. Rules Governing Conduct Of Competitive Procurement Process****Amended May 29, 2015****1. Timeline/Key Events**

IFB Release Date	May 7, 2015
Exhibit I.K Offeror's Affirmation of Understanding & Agreement Due Date	See * below
Questions Due Date	May 18, 2015, 5:00pm ET
Release Date of Official Responses to Questions	May 27, 2015
Exhibit I.J Notice of Bidding Intention Form Deadline	June 5, 2015
Proposals Due Date	June 5 ¹⁰ , 2015 3:00pm ET
Anticipated Contract Start Date	Upon OSC Approval of the Agreement, Dependent Eligibility Audit services on or about August 1, 2015

- * **Prior to the Offeror's initial contact with the Department**, the Offeror must complete and submit **Exhibit I.K** Offeror's Affirmation of Understanding & Agreement to the EBC Procurement Manager.

2. Procurement Lobbying Limitations

- a. Pursuant to State Finance Law sections 139-j and 139-k, this Procurement imposes certain Procurement lobbying limitations. Offerors are restricted from making contacts during the Procurement's "Restricted Period" (from the issuance of the IFB until the date of the Agreement's final approval by the OSC) to other than designated staff of the Department and the Executive Branch of New York State government, unless the contact falls within certain statutory exceptions ("permissible contacts"). For purposes of this Section II.A.2 of the IFB, "Offeror" includes prospective Offerors prior to the due date for the submission of offers/bids (i.e., Proposals) in response to the IFB. Staff is required to obtain certain information from Offerors and others whenever there is a contact about the Procurement during the Restricted Period, and is required to make a determination of the Offeror's responsibility that addresses the Offeror's compliance with the statutes' requirements. Findings of non-responsibility result in rejection for contract award, and if an Offeror is subject to two non-responsibility findings within four years the Offeror also will be determined ineligible to submit a proposal on, or be

awarded a contract for four years from the date of the second non-responsibility finding. The Procuring Agencies' Policy and associated procedures are included as **Exhibit I.L, "Procurement Lobbying Policy: Restrictions on Contacts during the Procurement Process"** to this IFB. Further information about these requirements can be found at:

<http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

- b.** In order to ensure public confidence and integrity in the Procurement process, the Department will strictly control all communications between any Offeror and participants in the evaluation process, from the date the IFB is released until the Agreement is approved by OSC. "Offeror" means any individual or entity, or any Employee, agent, consultant, or person acting on behalf of such individual or entity, who contacts the Department or any other State governmental entity about a governmental Procurement during that Procurement's restricted period, whether or not the caller has a financial interest in the outcome of the governmental Procurement; provided, however, that a governmental agency (or its Employees) that communicates with the Department regarding a governmental Procurement in the exercise of its oversight duties shall not be considered an Offeror. "Offeror" includes prospective Offerors prior to the due date for the submission of offers/bids in response to the solicitation document. All contacts, inquiries, questions, filings and submissions of Proposals in regard to the IFB must be directed, in writing, by mail, facsimile or e-mail, as applicable, solely to the EBC Procurement Manager. An Offeror's failure to comply with this requirement may result in the Offeror's disqualification from this Procurement.

If using the U.S. Postal Service, please use the following address:

DEAS Procurement Manager
Employee Benefits Division, Room 1106
NYS Department of Civil Service
Albany, New York 12239

For all other carriers including couriers, UPS and FedEx please use the following address:

DEAS Procurement Manager
NYS Department of Civil Service
Employee Benefits Division
Agency Building 1
Empire State Plaza

Albany NY 12239
Fax: 518-402-2835
E-mail: DEAS2015IFB@cs.ny.gov

- Additionally, Offerors and prospective Offerors are strictly prohibited from making any contacts or inquiries concerning the Procurement with any member, officer or Employee of any NYS governmental entity other than the Department from the date the IFB is released until the Agreement is approved by OSC subject only to the specific exceptions listed below. Further, any Offeror shall not attempt to influence the Procurement in any manner that would result in a violation or an attempted violation of Public Officers Law sections 73(5) or 74.
- c.** The following contacts are exempted from the provisions of paragraph 3 of section 139-j and as such do not need to be directed to the DEAS Procurement Manager pursuant to section 139-k:
- i.** The submission of written Proposals in response to this IFB;
 - ii.** The submission of written questions by a method set forth in IFB when all written questions and responses are to be distributed to all Offerors who have expressed an interest in the Procurement;
 - iii.** Participation in a demonstration, conference or other means for exchange of information in a setting open to all potential bidders provided for in IFB;
 - iv.** Complaints by an Offeror regarding the failure of the DEAS Procurement Manager to respond to an Offeror's authorized contacts, when such complaints are made in writing to the Department's Office of the General Counsel, provided that any such written complaints shall become a part of the Procurement record;
 - v.** Communications by a successful Offeror(s) who has been tentatively awarded a contract and is engaged in communications with the Department solely for the purpose of negotiating the terms of the Agreement after having been notified of tentative award;
 - vi.** Contact by an Offeror to request the review of a Procurement award when done in accordance with the procedure specified in the solicitation document;

- a. Contacts by an Offeror in protests, Appeals or other review proceedings (including the apparent successful Offeror and its representatives) before the Department seeking a final administrative determination, or in a subsequent judicial proceeding; or
 - b. Complaints of alleged improper conduct in the Procurement when such complaints are made to the NYS Attorney General, Inspector General, District Attorney, or to a court of competent jurisdiction; or
 - c. Written protests, Appeals or complaints to the NYS Comptroller's office during the process of contract approval, where the NYS Comptroller's approval is required provided that the NYS Comptroller shall make a record of such communications and any response thereto which shall be entered into the Procurement record pursuant to State Finance Law Section 163; or
 - d. Complaints of alleged improper conduct in a governmental Procurement conducted by a municipal agency or local legislative body to the NYS Comptroller's office; and
- vii. Communications between Offerors and governmental entities that solely address the determination of responsibility by a governmental entity of an Offeror.
- d. It is ***mandatory*** that all prospective Offerors/Offerors complete Part 1 of **Exhibit I.K, "Offeror's Affirmation of Understanding and Agreement"** affirming their understanding of, and agreement to, comply with the Procurement lobbying requirements set forth in State Finance Law §139-k and §139-j. A completed **Exhibit I.K** must be submitted to the DEAS Procurement Manager **prior to a prospective Offeror making its initial contact with the Department** (e.g., submission of a Notice of Bidding Intention Form, **Exhibit I.J**; submission of questions, etc. or concurrent with an Offeror's submission of its Proposal, whichever shall occur first). Offerors are advised that whenever any of the Offeror's officers, employees, agents or consultants contact the Department, they should be prepared to provide their name, address, telephone number, place of principal employment, occupation, and whether they were retained, employed or designated, by or on behalf of the Offeror to appear before or contact the Department in regards to this Procurement. To that end and to

streamline the process, Offerors are requested to complete and submit Part 2 of **Exhibit I.K** entitled, "Offeror Designated Contact" for each officer, employee, agent or consultant authorized by the Offeror to appear before or contact the Department in regards to this Procurement before appearing or before or at the time such contact is initiated.

Additionally, at the time a Proposal is submitted to the Department, the Offeror is required to provide a completed "Offeror's Certification of Compliance Pursuant to State Finance Law §139-k" form. This certification is included as **Exhibit I.P** of this IFB.

3. Notice of Bidding Intention Form

Filing of this notice is **not** mandatory; however, to assist the Department in better managing the Procurement process, prospective Offerors, whether they intend to submit a Proposal in response to this IFB or not, are requested to complete a "**Notice of Bidding Intention Form,**" **Exhibit I.J** and submit it to the DEAS Program Procurement Manager by the Notice of Bidding Intention Deadline as set forth in Section II.A.1. The completed form may be submitted either in hardcopy, at the address provided in Section II.A.2.b. or electronically at: DEAS2015IFB@cs.ny.gov

On the Notice of Bidding Intention Form, New York State certified Minority and Women-Owned Businesses (M/WBE) may request that their firm's contact information be included on a list of M/WBE firms interested in serving as a subcontractor for this Procurement. The listing will be publicly posted on the Procurement webpage at: www.cs.ny.gov/DEAS2015IFB/index.cfm for reference by the bidding community. A firm requesting inclusion on this list should send a copy of its NYS M/WBE certification with its completed Notice of Bidding Intention Form. Nothing prohibits an M/WBE vendor from proposing as a prime Contractor.

4. Submission of Errors or Omissions in the IFB Document

By participating in activities related to this Procurement, and/or by submitting a Proposal in response to this IFB, prospective Offerors agree to be bound by its terms, including, but not limited to, this process by which a prospective Offeror may submit errors or omissions for consideration. In the event that a prospective Offeror believes there is an

error or omission in the IFB, the prospective Offeror may raise such issue according to the following provisions:

a. Process for Submitting Assertions of Errors or Omissions in IFB Document

- i. **Time Frame:** Assertions of errors or omissions in the Procurement process which are or should have been apparent prior to the Proposal Due Date must be received by the Department, in writing, five (5) Business Days after the Release Date of Official Responses to Questions specified in Section II.A.1.
- ii. **Content:** The submission alleging the error or omission must clearly and fully state the legal and/or factual grounds for the assertion and must include all relevant documentation
- iii. **Format of Submission:** All submissions asserting an error or omission must be in writing and submitted to the DEAS Procurement Manager at the following address:

If using the U.S. Postal Service, please use the following address:

DEAS Procurement Manager
Employee Benefits Division, Room 1106
NYS Department of Civil Service
Albany, New York 12239

For all other carriers including couriers, UPS and FedEx please use the following address:

DEAS Procurement Manager
NYS Department of Civil Service
Employee Benefits Division
Agency Building 1
Empire State Plaza
Albany NY 12239

The envelope or package must clearly and prominently display the following statement:

**"Submission of Errors or Omissions for the
Dependent Eligibility Audit Services
Invitation for Bids"#DEAS-2015-1"**

Any assertion of an error or omission which does not conform to the requirements set forth in this section shall be deemed waived by the prospective Offeror and the prospective Offeror shall have no further recourse.

b. The Review Process for Assertions of Errors or Omissions in IFB Document

The Department shall conduct the review process for submission of errors or omissions. The Commissioner may appoint a designee who will review the submission and make a recommendation to the Commissioner as to the disposition of the matter. The Commissioner's designee may be an Employee of the Department but, in any event, shall be someone who has not participated in the preparation of this IFB, the evaluation of Proposals, or the selection decision. At the discretion of the Commissioner, or the Commissioner's designee, the prospective Offeror may be given the opportunity to meet with the Commissioner or the Commissioner's designee, as the case may be, to support its submission. The prospective Offeror may, but need not, be represented by counsel at such a meeting. Any and all issues concerning the manner in which the review process is conducted shall be determined solely by the Commissioner or the Commissioner's designee.

The Commissioner, or the Commissioner's designee, shall review the matter, and the Commissioner shall issue a written decision within 20 Business Days after the close of the review process. If additional time for the issuance of the decision is necessary, the prospective Offeror shall be advised of the delay and of the time frame within which a decision may be reasonably expected. The Commissioner's decision will be communicated to the party in writing and shall constitute the agency's final determination in the matter.

The Department reserves the right to determine and to act in the best interests of the State in resolving any assertion of error or omission in the IFB document. As a consequence of reviewing the assertion, the Department may elect to extend the Proposal Due Date as may be appropriate. Notice of any such extension will be provided to all organizations that registered via mail, facsimile or e-mail. Notice of any extension will also be posted to: www.cs.ny.gov/DEAS2015IFB/index.cfm

5. Submission of Questions

In the event a prospective Offeror has any substantive or procedural questions concerning the content of the IFB document; those questions can be submitted in the following manner to:

If using the U.S. Postal Service, please use the following address:

DEAS Procurement Manager
Employee Benefits Division, Room 1106
NYS Department of Civil Service
Albany, New York 12239

For all other carriers including couriers, UPS and FedEx please use the following address:

DEAS Procurement Manager
NYS Department of Civil Service
Employee Benefits Division
Agency Building 1
Empire State Plaza
Albany NY 12239
Fax: 518-402-2835
E-Mail: DEAS2015IFB@cs.ny.gov

Prospective Offerors may submit questions to the DEAS Procurement Manager, in writing, via e-mail, facsimile or mail. The Department strongly urges prospective Offerors to submit the questions via e-mail. Each question should cite the particular IFB section, page number and paragraph number to which it refers. All responses will be considered unofficial until issued or confirmed in writing by the Department on the Procurement website. Only those questions due prior to 5:00 p.m. Eastern Time (ET), on the Questions Due Date as shown in Section II.A.1. of this IFB, will be accepted.

To expedite its responses, the Department has provided a questions template form which prospective Offerors are requested to use in submitting questions regarding the IFB (see **Exhibit I.R “Questions Template”**).

After the Questions Due Date, the Department will provide to all organizations who have registered, e-mail notification of the posting of all questions received and the Department’s Official Responses to said questions. The aforementioned information will be posted to: www.cs.ny.gov/DEAS2015IFB/index.cfm and all registered prospective Offerors will be notified of the posting to this site.

6. Submission of Proposal

a. Submission Requirements

The Offeror's Proposal must be organized and separated into three (3) sections: Administrative Section; Technical Section, and Cost Section. To facilitate the evaluation process, Offerors must submit eight (8) separately bound hard copies (two (2) ORIGINALS and six (6) copies) and one (1) electronic copy (CD) **of the three (3) sections** of the Offeror's Proposal. Electronic submissions must be in Adobe Acrobat, as applicable. The Administrative and Technical Sections shall be bound together and clearly labeled. The Cost Section is required to be either separately bound from the Administrative and Technical Sections, or submitted in a separate sealed envelope clearly labeled. These sixteen (16) documents and one (1) CD of the three (3) sections of the Offeror's Proposal are collectively hereafter referred to as "Submissions."

Each ORIGINAL hard copy of each section must be marked "ORIGINAL," contain original signatures of an official(s) authorized to bind the Offeror to its provisions on all forms submitted that require the Offeror's signature and should be numbered sequentially, i.e. Original #1, Original #2. The remaining six (6) hard copies of each section may contain a copy of the official's signature and should be numbered sequentially (e.g. Copy #1, Copy #2, etc.). Please note that, for each of the three (3) sections, that hard copy marked "Original #1" will be deemed controlling by the Department when viewing the Proposal.

Proposals should be placed and packaged in sealed boxes/envelopes. Each sealed box/envelope should contain a label on the outside which contains the information below.

<p style="text-align: center;">New York State Department of Civil Service Invitation for Bid #DEAS-2015-1 "Dependent Eligibility Audit Services" OFFEROR NAME OFFEROR ADDRESS</p>
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All Proposals must be sent to the following:

If using the U.S. Postal Service, please use the following address:

DEAS Procurement Manager
Employee Benefits Division, Room 1106

NYS Department of Civil Service
Albany, New York 12239

For all other carriers including couriers, UPS and FedEx please use the following address:

DEAS Procurement Manager
NYS Department of Civil Service
Employee Benefits Division
Agency Building 1
Empire State Plaza
Albany NY 12239

For those Offerors who plan to have the Proposal hand delivered, arrangements for acceptance of the packages must be made in accordance with Procurement security procedures. **To make such arrangements, the Department requests that the Offeror notify the DEAS Procurement Manager forty-eight (48) hours prior to delivery. All Proposals must be received by 3:00 p.m. ET on the Proposal Due Date as set forth in Section II.A.1 of the IFB. No exceptions will be made for late submission or delays in delivery of the Proposal.** If the Proposal is delivered by mail or courier, the Department recommends that it be sent "return receipt requested," so the Offeror obtains proof of timely delivery.

All Proposals submitted become the property of the Department. Any proposal received after 3:00 p.m. ET on the Proposal Due Date will not be accepted by the Department and may be returned to the submitting entity at the Department's discretion.

The Department will accept amendments and/or additions to an Offeror's Proposal if the amendment and/or addition is received by the Department **prior** to 3:00 p.m. ET on the Proposal Due Date. All amendments to an Offeror's Proposal must be submitted in writing, in accordance with the format set forth in Section II.A.6. of this IFB, and will be included as part of the Offeror's Proposal, if accepted by the Department as provided above.

Offerors are cautioned to verify the content of their Proposal before submission. Except for material received from an Offeror in response to a request by the Department, the Department will not accept amendments or additions to a Proposal if such material is received after 3:00 p.m. ET on the Proposal Due Date. Offerors are

encouraged to submit the Proposal Submission Requirement Checklist (**Exhibit I.A**) to facilitate verification of Proposal contents. An Offeror's request to withdraw a Proposal after the Proposal Due Date may be considered at the sole discretion of the Department.

b. Formatting Requirements

The Administrative Section, Technical Section and Cost Section each should comply with the following formatting requirements (Failure to comply with the formatting requirements herein below may, but will not necessarily, result in the Proposal being deemed non-responsive and may, but will not necessarily, result in rejection of the Proposal):

- i. *Binding of Proposal:*** The Administrative and Technical Sections must be separate, clearly labeled, and bound as one complete package. The Cost Section is required to be separately bound from the Administrative and Technical Sections, or submitted in a separate sealed envelope, clearly labeled. The official name of the organization(s), the Proposal Due Date and IFB # DEAS-2015-1 "Dependent Eligibility Audit Services" must appear on the outside front cover of each copy of the package containing the Offeror's Administrative, Technical and Cost Sections. If the Proposals are submitted in loose-leaf binders, the official name(s) of the organization(s) and IFB # DEAS-2015-1 "Dependent Eligibility Audit Services" also must appear on the spine of the binders;
- ii. *Table of Contents:*** Each Proposal must include a table of contents;
- iii. *Index Tabs:*** Each major Section of the Proposal, each subsection in the Technical Section and each Exhibit must be labeled with an index tab that completely identifies the title of the Section, subsection or Exhibit as named in the table of contents;
- iv. *Pagination:*** Each page of the Proposal, including Exhibits, must be labeled on the upper right with the Section title and Section reference, page number, and date. Pages within each Section and Exhibit must be numbered consecutively;
- v. *Proposal Updates/Corrections:*** Each Offeror must submit its Proposal so that any update pages required by the Department can be easily incorporated into the

Proposal. Should it be necessary for an Offeror to submit additional information in support of its Proposal, it must be submitted in accordance with the following: upon written notification by the Offeror and Agreement by the Department, new or replacement pages may be placed in the Proposal. All new or replacement pages will show the date of the revision and indicate the portion of the page being changed. This latter requirement will be fulfilled by drawing vertical lines down both margins of all affected passages. All new/ replacement pages will be noted by the Department on the errata sheet to be placed at the front of the Proposal copy; and,

- vi. **Required Content of Proposals:** The Proposal must consist of three parts: 1) the Administrative Section, which must respond to the requirements set forth in Section III of this IFB; 2) the Technical Section, which must respond to the requirements set forth in Section IV of this IFB; and 3) the Cost Section, which must respond to the requirements set forth in Section V of this IFB.

c. **Material Deviations**

New York State Law prohibits NYS from awarding a contract based upon material deviations from the specifications, terms, and conditions set forth in the IFB. Consequently, each Offeror's Proposal must conform to the specifications, terms, and conditions set forth in this IFB and prospective Offerors are strongly advised to raise issues and/or concerns relating to this Procurement during the question and answer Phase rather than taking exceptions within their Proposals. Material deviations from the specifications, terms, and conditions set forth in the IFB may render the Proposal non-responsive and may result in rejection of the Proposal.

In general, a material deviation is one that would (i) impair the interests of NYS, (ii) place the successful Offeror in a position of unfair economic advantage, (iii) place other Offerors at a competitive disadvantage, or (iv) which, if it had been included in the original IFB, could have formed a reasonable basis for an otherwise qualified Offeror to change its determination concerning the submission of a Proposal.

Offerors are advised that Offeror's standard, pre-printed material (including but not limited to: product literature, order forms, manufacturer's license agreements, standard contracts or other pre-printed documents), which are physically attached or

summarily referenced in the Offeror's Proposal, unless specifically required by the IFB to be submitted as part of the Offeror's Proposal, will not be considered as having been submitted with or intended to be incorporated as part of the official offer contained in the Proposal, but rather will be deemed by the State to have been included by Offeror for informational or promotional purposes only.

In order to be deemed responsive to this IFB, the Offeror must submit a Proposal which independently satisfies all of the requirements set forth in this IFB, without substitution or modification ("stated requirements"). The Proposal will be evaluated against the requirements and specifications set forth in this IFB to determine the "best value" submission. Best value determination will be considered lowest cost for the proposal that is both responsive and responsible.

As stated above in part, New York State Law prohibits NYS from awarding a contract based upon material deviations from the specifications, terms, and conditions set forth in the IFB. Consequently, each Offeror's Proposal must conform to the specifications, terms, and conditions set forth in this IFB. In addition to, but not in lieu of, its response to the IFB's stated requirements, the Offeror may propose supplemental, "or equal", additional or alternative terms (Extraneous Terms) to the stated requirements within the Proposal, provided that, in the State's sole judgment, the Extraneous Term(s) does not constitute material deviations to the stated requirements. Proposed Extraneous Term(s) may only be considered by the State to the extent that such Extraneous Term(s) constitute non-material deviations from the requirements set forth in the IFB as determined in the Department's sole discretion. Material deviations from the specifications, terms, and conditions set forth in the IFB may render the Proposal non-responsive and may result in rejection of the Proposal.

Therefore, in order for Extraneous Term(s) to be considered, the Extraneous Term must:

- i. Independently satisfy the applicable requirement(s) of the IFB on its own merits;
- ii. Be clearly and separately identified as an "Extraneous Term" within the Administrative, Technical and/or Cost Proposals - Extraneous Terms Submission;
and

- iii. Be separately evaluated and scored in accordance with the bid evaluation criteria.

If the Offeror proposes to include Extraneous Terms in its official Proposal, the Offeror must meet all of the following requirements:

- a. Each proposed Extraneous Term must be specifically enumerated in a separate section of the applicable Submission(s) (Administrative, Technical and/or Cost) labeled "Extraneous Terms Submission," using the format as set forth in **Exhibit I.X** entitled, "Extraneous Terms Template."
- b. The "Extraneous Terms" section must be in a writing prepared by Offeror and may not include any pre-printed literature or vendor forms;
- c. The writing must identify by part, section and title the particular IFB requirement (if any) which the Offeror proposes to supplement by inclusion of the Extraneous Term, with a brief description of the specific provision being modified by the Extraneous Term; and
- d. The Offeror shall enumerate the proposed additional or alternative term from the IFB requirement, and the reasons therefore.

Only those terms meeting the above requirements (a) through (d) shall be considered as having been submitted as part of the formal offer.

Extraneous Term(s) submitted on standard, pre-printed forms (including but not limited to: product literature, order forms, manufacturer's license agreements, standard contracts or other pre-printed documents), which are physically attached or summarily referenced in the Proposal, or that, in the State's sole judgment, have not been submitted in compliance with the above requirements (a) through (d) above, will not be considered as having been submitted with or intended to be incorporated as part of the official offer contained in the Proposal, but rather will be deemed by the State to have been included by Offeror for informational or promotional purposes only.

Absent the State's express written acceptance and incorporation of an Extraneous Term, acceptance and/or processing of the Proposal shall not constitute the State's acceptance of Extraneous Term(s) or be deemed a waiver of the State's

rights set forth herein.

7. Notification of Award

A proposed award notification letter will be sent to the selected Offeror indicating a conditional award subject to successful contract negotiations. The remaining Offerors will be notified of the conditional award and the possibility that failed negotiations could result in an alternative award. No public discussion or news releases relating to this IFB, the associated Procurement process, including but not limited to the bid solicitation, proposal evaluation and award and contract negotiation processes or the Agreement shall be made by any Offeror or their agent without the prior written approval of the Department.

8. Debriefing

As stated in IFB, Section II.A.7 above, proposed award notification letters will be sent to the selected and non-selected Offerors. At that time, Offerors will be advised of the opportunity to request a Debriefing and the timeframe by which such requests must be made, dependent upon the nature of the Debriefing, i.e., pre-award or post-award. Debriefings are subject to the Department's Debriefing Guidelines which are set forth in **Exhibit I.H** entitled, "NYS Department of Civil Service Debriefing Guidelines." An unsuccessful Offeror's written request for a debriefing shall be submitted to:

If using the U.S. Postal Service, please use the following address:

DEAS Procurement Manager
Employee Benefits Division, Room 1106
NYS Department of Civil Service
Albany, New York 12239

For all other carriers including couriers, UPS and FedEx please use the following address:

DEAS Procurement Manager
NYS Department of Civil Service
Employee Benefits Division
Agency Building 1
Empire State Plaza
Albany NY 12239
Fax: 518-402-2835
E-Mail: DEAS2015IFB@cs.state.ny.us

9. Submission of Award Protests

By participating in activities related to this Procurement, and/or by submitting a Proposal in response to this IFB, all Offerors agree to be bound by its terms including, but not limited to, the process by which an Offeror may submit protests of the selection award for consideration. In the event that an Offeror decides to protest the selection decision, the Offeror may raise such issue according to the following provisions.

a. **Process for Submitting Post Award Protests of the Selection Decision**

- i. ***Time Frame:*** Any protest of the selection decision must be received no later than ten (10) Business Days after an Offeror's receipt of written notification by the Department of a conditional award.
- ii. ***Content:*** The submission of the protest must clearly and fully state the legal and/or factual grounds for the protest and must include all relevant documentation.
- iii. ***Format of Submission:*** All submissions of protest must be in writing and submitted to the DEAS Procurement Manager at the following address:

If using the U.S. Postal Service, please use the following address:

DEAS Procurement Manager
Employee Benefits Division, Room 1106
NYS Department of Civil Service
Albany, New York 12239

For all other carriers including couriers, UPS and FedEx please use the following address:

DEAS Procurement Manager
NYS Department of Civil Service
Employee Benefits Division
Agency Building 1
Empire State Plaza
Albany NY 12239

A protest of the selection decision must have the following statement clearly and prominently displayed on the envelope or package:

**“Submission of Selection Protest for
IFB # DEAS-2015-1
Dependent Eligibility Audit Services”**

Any assertion of protest which does not conform to the requirements set forth in this section shall be deemed waived by the Offeror, and the Offeror shall have no further recourse.

b. Review of Submitted Protests

The Department shall conduct the review process of submitted protests. The Department's Commissioner may appoint a designee to review the submission and to make a recommendation to the Commissioner as to the disposition of the matter. The Commissioner's designee may be an Employee of the Department but, in any event, shall be someone who has not participated in the preparation of this IFB, the evaluation of Proposals, or the selection decision. At the discretion of the Commissioner, or the Commissioner's designee, the Offeror may be given the opportunity to meet with the Commissioner or her designee, as the case may be, to support its submission. The Offeror may, but need not, be represented by counsel at such a meeting. Any and all issues concerning the manner in which the review process is conducted shall be determined solely by the Commissioner, or the Commissioner's designee. The Commissioner, or the Commissioner's designee, shall review the matter, and the Commissioner shall issue a written decision within 20 Business Days after the close of the review process. If additional time for the issuance of the decision is necessary, the Offeror shall be advised of the delay and of the time frame within which a decision may be reasonably expected. The Commissioner's decision will be communicated to the party in writing and shall constitute the Department's final determination in the matter.

In the event that an Offeror protests the selection decision, the Department shall continue contract negotiations regarding the terms and conditions of the Agreement with the selected Offeror pending the outcome of the protest. Any Offeror whose Proposal might become eligible for a conditional award in the event that the intended selection is disqualified may be asked to extend the time for which their Proposal shall remain valid.

The Department reserves the right to determine and to act in the best interests of the State in resolving any post award selection protest.

10. Department of Civil Service Reservation of Rights

In addition to any rights articulated elsewhere in this IFB, the Department reserves the right to:

- a. Make or not make an award under the IFB, either in whole or in part.
- b. Prior to the bid opening, amend the IFB. If the Department elects to amend any part of the IFB, notification of the amendment will be provided to all prospective Offerors who submitted a Procurement Registration Form and/or a Offeror's Affirmation of Understanding and Agreement (Exhibit I.K.) via e-mail, facsimile or mail. Any amendments will also be posted to: www.cs.ny.gov/DEAS2015IFB/index.cfm
- c. Prior to the bid opening, direct Offerors to submit Proposal modifications addressing subsequent IFB amendments;
- d. Withdraw the IFB, at any time, in whole or in part, at the Department's sole discretion, prior to OSC approval of award of the contract.
- e. Waive any requirements that are not material;
- f. Disqualify any Offeror whose conduct and/or Proposal fails to conform to any of the mandatory requirements of the IFB;
- g. 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 Offeror's Proposal and/or to determine an Offeror's compliance with the requirements of this IFB;
- h. Reject any or all Proposals received in response to this IFB, at its sole discretion;
- i. Change any of the scheduled dates stated in this IFB;
- j. Seek clarifications and revisions of Proposals;
- k. Establish programmatic and legal requirements to meet the Department's needs, and to modify, correct, and/or clarify such requirements at any time during the Procurement, provided that any such modifications would not materially benefit or

- disadvantage any particular Offeror;
- I. Eliminate any mandatory, non-material specifications that cannot be complied with by all of the Offerors;
 - m. Use the Proposal, information obtained through any site visits, management interviews, and the Department's own investigation of an Offeror's qualifications, experience, ability or financial standing, and any other material or information submitted by the Offeror in response to the Department's request for clarifying information, if any, in the course of evaluation and selection under this IFB;
 - n. Negotiate with the successful Offeror within the scope of the IFB in the best interests of the Department;
 - o. Utilize any and all ideas submitted in the Proposal(s) received;
 - p. Conduct contract negotiations with the next responsible bidder, should the Department be unsuccessful in negotiating with the selected Offeror; and
 - q. Unless otherwise specified in the IFB, every offer is firm and not revocable for a minimum period of 365 Days from the Proposal Due Date as set forth in the IFB.

11. Limitation of Liability

The Department is not liable for any cost incurred by any Offeror prior to approval of the Agreement by OSC. Additionally, no cost will be incurred by the Department for any prospective Offeror or Offeror's participation in any Procurement related activities.

The Department has taken care in preparing the data accompanying this IFB (hard copy Exhibits, website Exhibits, and sample document Exhibits). However, the Department does not warrant the accuracy of the data; the numbers or statistics which appear in hardcopy Exhibits, website Exhibits, and sample document Exhibits referenced throughout this IFB which are for informational purposes only and should not be used or viewed by prospective Offerors as guarantees or representations of any levels of past or future performance or participation. Accordingly, prospective Offerors should rely upon and use such numbers or statistics in preparing their Proposals at their own discretion.

B. Compliance with Applicable Rules, Laws, Regulations, and Executive Orders

This Procurement is being conducted in accordance with, and is subject to, the competitive bidding laws of the State of New York (New York State Finance Law, Article 11) and it is governed by, at a minimum, the legal authorities referenced below. All Offerors must fully comply with the provisions and set forth in this Section II.B. of the IFB. The Department will consider for evaluation and selection purposes only those Offerors who agree to comply with these provisions whose Proposal contains the Statements, Formal Certifications, and Exhibits submissions required.

1. Public Officers Law

All Offerors and Offerors' employees and agents must be aware of and comply with the requirements of the New York State Public Officers Law ("POL"), particularly POL Sections 73 and 74, as well as all other provisions of New York State law, rules and regulations, and policy establishing ethical standards for current and former State Employees. In signing its Proposal, each Offeror guarantees knowledge and full compliance with such provisions for purposes of this IFB and any other activities including, but not limited to, contracts, bids, offers, and negotiations. Failure to comply with these provisions may result in disqualification from the Procurement process, termination, suspension or cancellation of the Agreement and criminal proceedings as may be required by law. Per IFB Section III.C, Offerors must submit an affirmative statement as to the existence of, absence of, or potential for conflict of interest on the part of the Offeror because of prior, current, or proposed contracts, engagements, or affiliations, by submitting a completed **Exhibit I.M** in the Offeror's Administrative Proposal.

2. Omnibus Procurement Act of 1994 and its 2000 Amendment

Offerors are hereby notified that, if their principal place of business is located in a foreign or domestic jurisdiction that penalizes New York State vendors, and if the goods or services they offer would be produced or performed substantially outside New York State, the Omnibus Procurement Act of 1994 and its 2000 amendments require that they be denied contracts which they otherwise could obtain. The list of jurisdictions subject to this provision is set forth in Article 20 of Appendix A.

3. Contractor Requirements and Procedures for Business Participation Opportunities for NYS Certified Minority and Women-Owned Business Enterprises

(MWBE) and Equal Employment Opportunities (“EEO”) for Minority Group Members and Women**New York State Law:**

Pursuant to New York State Executive Law Article 15-A and 5 NYCRR 140-145 the Department recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of the Department contracts.

In 2006, the State of New York commissioned a disparity study to evaluate whether minority and women-owned business enterprises had a full and fair opportunity to participate in state contracting. The findings of the study were published on April 29, 2010, under the title "The State of Minority and Women-Owned Business Enterprises: Evidence from New York" ("Disparity Study"). The report found evidence of statistically significant disparities between the level of participation of minority-and women-owned business enterprises in state Procurement contracting versus the number of minority-and women-owned business enterprises that were ready, willing and able to participate in state Procurements. As a result of these findings, the Disparity Study made recommendations concerning the implementation and operation of the statewide certified minority- and women-owned business enterprises program. The recommendations from the Disparity Study culminated in the enactment and the implementation of New York State Executive Law Article 15-A, which requires, among other things, that the Department establishes goals for maximum feasible participation of New York State Certified minority- and women – owned business enterprises (“MWBE”) and the employment of minority groups members and women in the performance of New York State contracts.

Business Participation Opportunities for MWBEs

For purposes of this solicitation, the Department hereby establishes an overall goal of 30% for MWBE participation, 15% for New York State certified minority-owned business enterprises (“MBE”) participation and 15% for New York State certified women-owned business enterprises (“WBE”) participation (based on the current availability of qualified MBEs and WBEs). A Contractor (“Contractor”) on the subject contract (“Contract”) must document its good faith efforts to provide meaningful participation by MWBEs as

subcontractors or suppliers in the performance of the Contract and the Contractor agrees that the Department may withhold payment pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com>. For guidance on how the Department will determine a Contractor's "good faith efforts," refer to 5 NYCRR §142.8.

In accordance with 5 NYCRR §142.13, the Contractor acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in the Contract, such finding constitutes a breach of Contract and the Department may withhold payment from the Contractor as liquidated damages.

Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and (2) all sums actually paid to MWBEs for work performed or materials supplied under the Contract.

By submitting a bid or proposal, a bidder on the Contract ("Bidder") agrees to demonstrate its good faith efforts to achieve its goals for the utilization of MWBEs by submitting evidence thereof through the New York State Contract System ("NYSCS"), which can be viewed at <https://ny.newnycontracts.com>, provided, however, that a Bidder may arrange to provide such evidence via a non-electronic method by contacting the Department. Please note that the NYSCS is a one stop solution for all of your MWBE and Article 15-A contract requirements. For additional information on the use of the NYSCS to meet Bidder's MWBE requirements please see the attached MWBE guidance, "Your MWBE Utilization and Reporting Responsibilities Under Article 15-A."

Additionally, a Bidder will be required to submit the following documents and information as evidence of compliance with the foregoing:

- A. An MWBE Utilization Plan – Form MWBE-100 (**Exhibit I.O**) with their bid or proposal. Any modifications or changes to the MWBE Utilization Plan after the Contract award and during the term of the Contract must be reported on a revised MWBE Utilization Plan and submitted to the Department.

The Department will review the submitted MWBE Utilization Plan and advise the Bidder the Department's acceptance or issue a notice of deficiency within 30 Days of receipt.

- B. If a notice of deficiency is issued, the Bidder will be required to respond to the notice of deficiency within seven (7) Business Days of receipt by submitting to the Department, a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by the Department to be inadequate, the Department shall notify the Bidder and direct the Bidder to submit, within five (5) Business Days, a request for a partial or total waiver of MWBE participation goals on Form MWBE-101 entitled "Request for Waiver Form" available at: <http://www.cs.ny.gov/pio/mwbe-eeo-forms.cfm>. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

The Department may disqualify a Bidder as being non-responsive under the following circumstances:

- a) If a Bidder fails to submit a MWBE Utilization Plan;
- b) If a Bidder fails to submit a written remedy to a notice of deficiency;
- c) If a Bidder fails to submit a request for waiver; or
- d) If the Department determines that the Bidder has failed to document good faith efforts.

The Contractor will be required to attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract Award may be made at any time during the term of the Contract to the Department, but must be made no later than prior to the submission of a request for final payment on the Contract.

The Contractor will be required to submit a Contractor's Quarterly M/WBE Contractor Compliance & Payment Report to the Department, by the 10th day following each end of quarter over the term of the Contract documenting the progress made toward achievement of the MWBE goals of the Contract. Form MWBE-103 is available at: <http://www.cs.ny.gov/pio/mwbe-eeo-forms.cfm>.

Equal Employment Opportunity Requirements

By submission of a bid or proposal in response to this solicitation, the Bidder/Contractor agrees with all of the terms and conditions of Appendix A – Standard Clauses for All New York State Contracts including Clause 12 - Equal Employment Opportunities for Minorities and Women. The Contractor is required to ensure that it and any subcontractors awarded a subcontract over \$25,000 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, undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

The Bidder will be required to submit a Minority and Women-Owned Business Enterprises and Equal Employment Opportunity Policy Statement (**Exhibit I.Q**), to the Department with their proposal.

To ensure compliance with this Section, the Bidder will be required to submit with its proposal an Equal Employment Opportunity Staffing Plan - Form EEO-100 (**Exhibit I.G**) identifying the anticipated work force to be utilized on the Contract and if awarded a Contract, will, upon request, submit an Equal Employment Opportunity Workforce Employment Utilization Compliance Report identifying the workforce actually utilized on the Contract, if known, through the New York State Contract System; provided, however, that a Bidder may arrange to provide such report via a non-electronic method by contacting the Department.

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and sub-contractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the

Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.

Per IFB Section III.C, executed copies of:

Exhibit I.G entitled “EEO Staffing Plan (form EEO-100),”

Exhibit I.O entitled, “MWBE Utilization Plan (form MWBE-100),” and

Exhibit I.Q entitled, “Minority and Women-Owned Business Enterprises & Equal Employment Opportunity Policy Statement,”

must be submitted as part of the Offeror’s Administrative Proposal.

4. Americans with Disabilities

Act The Contractor will be required to assure its compliance with the Americans with Disabilities Act (42 USC§12101 et. seq.), in that any services and programs provided during the course of performance of the Agreement shall be accessible under Title II of the Americans with Disabilities Act, and as otherwise may be required under the Americans with Disabilities Act by submitting a completed Compliance with Americans with Disabilities Act form, **Exhibit I.N** in the Offeror’s Administrative Section.

5. MacBride Fair Employment Principles Act & Non-Collusive Bidding Certification

In accordance with Chapter 807 of the Laws of 1992, Offerors must certify whether they or any individual or legal entity in which the Offeror holds a ten percent (10%) or greater ownership interest, or any individual or legal entity that holds a ten percent (10%) or greater ownership in the Offeror have business operations in Northern Ireland. If an Offeror does have business operations in Northern Ireland, they must certify that they are taking lawful steps in good faith to conduct such business operations in accordance with the MacBride Fair Employment Opportunity Principles relating to nondiscrimination in employment and freedom of workplace opportunity regarding such operations in

Northern Ireland, and shall permit independent monitoring of their compliance with such principles.

The Department also requires that Offerors certify that prices in their Proposal have been arrived at independently without collusion, consultation, communication or agreement for the purpose of restricting competition with any other Offeror or competitor. In addition, that unless required by law, the prices quoted in the Offeror's Proposal have not been knowingly disclosed by the Offeror and will not knowingly be disclosed by the Offeror prior to opening, directly, indirectly, to any other Offeror or to any competitor. Offerors must also certify that no attempt has been made or will be made by the Offeror to induce any person, partnership or corporation to submit or not to submit a proposal for the purpose of restricting competition. An executed copy of the combined MacBride Act statement form and Non-collusive Bidding Certification, **Exhibit I.D** is required to be submitted in the Offeror's Administrative Section.

6. Vendor Responsibility Requirements – State Finance Law §163

New York State Finance Law §163 requires contracts for services and commodities be awarded on the basis of lowest price or best value “to a responsive and responsible Offeror.” Furthermore, §163(9)f requires the Department to make a determination of responsibility of the proposed Contractor prior to making an award.

To assist the Department in evaluating the responsibility of Offerors, a completed “**New York State Standard Vendor Responsibility Questionnaire**” must be submitted in the Offeror's Administrative Proposal. A person legally authorized to represent the Offeror must execute the questionnaire. To the extent that the Contractor is proposing the use of Key Subcontractors or Affiliates (i.e., part of the Offeror's proposed Account Team) and expected to receive more than \$100,000 in payments during the term of the Agreement, the Offeror must submit a completed “New York State Standard Vendor Responsibility Questionnaire” for each Key Subcontractor or Affiliate completed by a person legally authorized to represent the Key Subcontractor or Affiliate.

The Department recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System; however, vendors may choose to complete and submit a paper 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. To request assignment of a Vendor ID or 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: itservicedesk@osc.state.ny.us.

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 Office of the State Comptroller's Help Desk for a copy of the paper form.

7. Tax Law Section 5-a Certification Regarding Sales and Compensating Use Taxes

Section 5-a of the New York Tax Law requires that any contract valued at more than \$100,000 entered into by a State agency shall not be valid, effective, or binding against the agency unless the Contractor certifies to the Tax Department that it is registered to collect New York State and local sales and compensating use taxes, if the Contractor 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 specified period. In addition, the Contractor must certify to the Tax Department 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. For the purpose of this requirement, "Affiliate" means a person or organization which, through stock ownership or any other affiliation, directly, indirectly, or constructively controls another person or organization, is controlled by another person or organization, or is, along with another person or organization, under the control of a common parent. The Contractor also must certify to the procuring state entity that it filed the certification with the Tax Department and that the certification is correct and complete. Accordingly, in the event the value of the Agreement exceeds \$100,000, the Contractor must file a properly completed Form ST-220-CA, **Exhibit I.E** with the Department and a properly completed Form ST-220-TD, **Exhibit I.F** with the Department of Taxation & Finance before the Agreement may take effect. In addition, after the Agreement has taken effect, the Contractor must file a properly completed Form ST-220-CA with the Department if the Agreement's term is renewed. Further, a new Form ST-220-TD must be filed with the Department of Taxation & Finance if no ST-

220-TD has been filed by the Contractor or if a previously filed Form ST-220-TD is no longer correct and complete.

Submission of these forms (ST-220CA and ST-220TD) is **NOT** required at time of Proposal submission however, the selected Offeror will be required to complete and submit these forms as a condition of contract award. These forms may also be found at: http://www.tax.ny.gov/forms/sales_cur_forms.htm

8. Disclosure of Proposal Contents – Freedom of Information Law (FOIL)

NOTICE TO OFFEROR’S LEGAL COUNSEL

All materials submitted by an Offeror in response to this IFB shall become the property of the Department and may be returned to the Offeror at the sole discretion of the Department. Proposals may be reviewed or evaluated by any person, other than one associated with a competing Offeror, designated by the Department. Offerors may anticipate that Proposals will be evaluated by staff and consultants retained by the Department and may also be evaluated by staff of other NYS agencies interested in the provision of the subject services including, but not limited to, the Governor’s Office of Employee Relations and the Division of the Budget, unless otherwise expressly indicated in this IFB. The Department has the right to adopt, modify, or reject any or all ideas presented in any material submitted in response to this IFB.

To request that materials be protected from FOIL disclosure, the Offeror must follow the procedures below regarding the New York State Freedom of Information Law (FOIL). If an Offeror believes that any information in its Proposal or supplemental submission(s) constitutes proprietary and/or trade secret information and desires that such information not be disclosed if requested pursuant to the New York State Freedom of Information Law, Article 6 of the Public Officers Law, the Offeror must make that assertion by completing **Exhibit I.C “Freedom of Information Law – Request for Redaction Chart.”** The Offeror must complete the form specifically identifying by page number, line, or other appropriate designation, the specific information requested to be protected from FOIL disclosure and the specific reason why such information should not be disclosed. Page 2 of Exhibit I.C contains information regarding appropriate justification for protection from FOIL disclosure. Vague, non-specific, summary allegations that material is proprietary or trade-secret are inadequate and will not result in protection from FOIL

disclosure.

The completed **Exhibit I.C** must be submitted to the Department at the time of its Proposal submission; it should be included with the Requested Redactions (CD and Hard Copy), described below. It should not be included in the Offeror's Proposal. If the Offeror chooses not to assert that any Proposal material and/or supplemental submission should be protected from FOIL disclosure, the Offeror should so advise the Department by checking the applicable box on **Exhibit I.C** and submitting it to the Department at the time of its Proposal submission, but separately from its Proposal. If a completed **Exhibit I.C** form is not submitted, the Department will assume that the Offeror chooses not to assert that any proposal material or supplemental submission, as applicable should be protected from FOIL disclosure.

The FOIL-related materials described herein will not be considered part of the Offeror's Proposal and will not be reviewed as a part of the Procurement's evaluation process.

Requested Redactions (CD and Hard Copy):

At the time of Proposal submission, the Offeror is required to identify the portions of its Proposal that it is requesting to be redacted, in accordance with the instructions below, to be used in the event that its Proposal is the subject of a Freedom of Information Law (FOIL) request received by the Department:

The Offeror must provide an electronic copy of the Administrative Section, the Cost Section and the Technical Section, each on a separate CD, which reflect the Offeror's requested redactions. Additionally, the Offeror must provide a separately bound hardcopy of each of the three (3) Sections of the Proposal with redactions marked that are included on the CDs. The electronic documents must be prepared in PDF format using the Redaction Function in Adobe Acrobat Professional software, version 8 or higher. Each specific portion of the Proposal documents requested to be protected from FOIL disclosure must be identified using the Adobe "**Mark for Redaction**" function; **do not use the "Apply Redactions" function.** The resulting documents must show the Offeror's requested redactions as outlined, while the content remains visible. This will allow the Department to either apply or remove requested redactions when responding to FOIL requests. The documents included on the CD and in hard copy must be complete Proposals, including all Exhibits and Attachments. No section may be omitted from the

CD or hard copy even if the entire section is requested to be redacted; such sections should be marked for redaction, not removed. For forms, Exhibits and charts please mark for redaction only those cells/fields/entries that meet the criteria for protection from FOIL, not the entire page.

During the Proposal evaluation process, the Department may request additional information through clarifying letters and at management interviews. Any requested redactions for additional written material provided by the Offeror in response to the Department's requests also must be submitted following the instructions, above.

9. Compliance with New York State Workers' Compensation Law

Sections 57 and 220 of the New York State Workers' Compensation Law (WCL) provides that the Department shall not enter into any contract unless proof of workers' compensation and disability benefits insurance coverage is produced. Prior to entering into a contract with the Department, the selected Offeror and Key Subcontractor(s) or Affiliates, with more than \$100,000 in expected expenses over the life of the contract, if any, will be required to verify for the Department, on forms authorized by the New York State Workers' Compensation Board, the fact that they are properly insured or are otherwise in compliance with the insurance provisions of the WCL. The forms to be used to show compliance with the WCL are listed in **Exhibit I.W** – Compliance with NYS Workers' Compensation Law. Any questions relating to either workers' compensation or disability benefits coverage should be directed to the State of New York Workers'

Compensation Board, Bureau of Compliance at 518-486-6307. You may also find useful information at their website: <http://www.wcb.ny.gov>.

Submission of the proof of workers' compensation and disability benefits insurance coverage is required at the time of Proposal submission. Failure to provide verification of either of these types of insurance coverage with the Offeror's Administrative Proposal may be grounds for disqualification of an otherwise successful Proposal.

To the extent that the Offeror is proposing the use of Key Subcontractors or Affiliates (i.e., part of the Offeror's proposed Project Team), the Offeror must verify for the Department, on forms authorized by the New York State Workers' Compensation Board, the fact that the Key Subcontractors or Affiliates are properly insured or are otherwise in compliance

with the insurance provisions of the WCL.

10. Iran Divestment Act

By submitting a Proposal in response to this solicitation or by assuming the responsibility of a contract awarded hereunder, Offeror/Contractor (or any assignee) certifies 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” list (“Prohibited Entities List”) posted on the OGS website at:

<http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> and further certifies that it will not utilize on such contract any subcontractor that is identified on the Prohibited Entities List. Additionally, Offeror/Contractor is advised that should it seek to renew or extend an Agreement awarded in response to the solicitation, it must provide the same certification at the time the Agreement is renewed or extended.

During the term of the Agreement, should the Department of Civil Service receive information that a person (as defined in State Finance Law §165-a) is in violation of the above-referenced certifications, the Department of Civil Service 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 Department of Civil Service shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, seeking compliance, recovering damages, or declaring the Contractor in default.

The Department of Civil Service reserves the right to reject any Proposal, 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.

11. New York Subcontractors and Suppliers

New York State businesses have a substantial presence in State contracts and strongly contribute to the economies of the State and the nation. In recognition of their economic activity and leadership in doing business in New York State, Offerors for this contract for

DEAS Program Services or are strongly encouraged and expected to consider New York State businesses in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles.

Offerors need to be aware that all authorized users of this contract will be strongly encouraged, to the maximum extent practical and consistent with legal requirements, to use responsible and responsive New York State businesses in utilizing services and technology. Furthermore, Offerors are reminded that they must continue to utilize small, minority and women-owned businesses, consistent with current State law.

Utilizing New York State businesses in State contracts will help create more private sector jobs, rebuild New York's infrastructure, and maximize economic activity to the mutual benefit of the Contractor and its New York State business partners. New York State businesses will promote the Contractor's optimal performance under the contract, thereby fully benefiting the public sector programs that are supported by associated Procurements.

Public Procurements can drive and improve the State's economic engine through promotion of the use of New York businesses by its contractors. The State therefore expects Offerors to provide maximum assistance to New York businesses in their use of the contract. The potential participation by all kinds of New York businesses will deliver great value to the State and its taxpayers. Offerors are required to complete **Exhibit I.U.2, NYS Subcontractors and Supplies**.

SECTION III: ADMINISTRATIVE SECTION

This section of the IFB sets forth the requirements for the Offeror's Administrative Section submission, including the Minimum Mandatory Requirements that must be satisfied to qualify an Offeror to be considered for selection. The Department will accept Proposals only from qualified Offerors and will consider for evaluation and selection purposes only those Proposals the Department determines to be in compliance with the requirements set forth in this Section III.

The Offeror's *Administrative Section* must respond to all of the following items as set forth below in the order and format specified and using the forms set forth in the IFB. Additional details pertaining to the required forms are found in Section II.B. Compliance With Applicable Rules, Laws, Regulations & Executive Orders, and Section III.

The Administrative Section must contain the following information, in the order enumerated below:

A. Formal Offer Letter

At this part of its Administrative Section, the Offeror must submit a formal offer in the form of the "**Formal Offer Letter**" as set forth in **Exhibit I.S**. The formal offer must be signed and executed by an individual with the capacity and legal authority to bind the Offeror in its offer to the State. Each of the two copies of the Offeror's Administrative Section marked "ORIGINAL" requires a letter with an original signature; the remaining copies of the Offeror's Administrative Section may contain photocopies of the signature. The Offeror must accept the terms and conditions as set forth in IFB, Section VII, and Appendices A, B, C and D and agree to enter into a contractual Agreement with the Department containing, at a minimum, the terms and conditions identified in the IFB section and appendices as cited herein.

(**Note:** Appendix A, "Standard Clauses for New York State Contracts" is basically a compilation of statutory requirements applicable to all persons and entities contracting with the State and therefore has been deemed to be non-negotiable by the Offices of the Attorney General and the NYS State Comptroller. Appendix B, "Standard Clauses for All Department Contracts", Appendix C, "Third Party Connection and Data Exchange Agreement" and Appendix D, "Participation by Minority Group Members and Women With Respect to State Contracts: Requirements and Procedures" are compilations of standard clauses/requirements for the contracts and also are non-negotiable.) If an Offeror proposes

to include the services of a Key Subcontractor(s) or Affiliate(s), the Offeror must be required to assume responsibility for those services as “Prime Contractor.” The Department will consider only the Prime Contractor in regard to contractual matters.

Amended May 18, 2015

B. Minimum Mandatory Requirements

The Department will only accept Proposals from Offerors that attest and demonstrate through current valid documentation to the satisfaction of the Department that the Offeror meets the Proposal's Minimum Mandatory Requirements set forth herein this Section III.B. At this part of its Administrative Section, the Offeror must submit a completed **Exhibit I.T “Offeror Attestations Form”** representing and warranting that it:

1. Possesses, as of the Proposal due date, the legal capacity to enter into a Contract with the President of the New York State Civil Service Commission (“Commissioner”);
2. Attests that it understands and agrees to comply with all specific duties and responsibilities set forth in Section IV of this IFB;
3. Attests that it has provided dependent eligibility verification services for a minimum of five (5) years;
4. Attests that it has provided dependent eligibility verification services comparable to the services outlined in this IFB for at least one (1) client **in the past three (3) years** with a size of at least one hundred fifty thousand Dependent lives subject to audit verification services;
5. Attests that it can complete the Implementation Period within 60 Days from the date the Department notifies the Contractor that the Agreement has been approved by OSC, complete the Amnesty Period and Eligibility Verification Period within twelve (12) months and complete the entire DEA Project, including the Appeal and Reinstatement Period(s) within fifteen (15) months;
6. Attests that its entire DEA Project is fully HIPAA compliant;

7. Guarantees a return on investment, as defined in Sections IV.A.10 of this IFB, of at least three to one (3:1) for the Project including administration of the Amnesty Period; the Eligibility Verification Period and the Appeal and Reinstatement Period(s);
8. Will maintain a complete and accurate set of records as may be required by the State to be produced for review by the State pursuant to Appendix A of the draft Agreement, contained in Section VII of this IFB, including any and all financial records as deemed necessary by the State to discharge its fiduciary responsibilities to NYSHIP participants and to ensure that public dollars are spent appropriately;
9. Acknowledges and agrees that:
 - a. all enrollment data provided by the Department is being provided to the Offeror (Contractor) solely for the purposes of allowing the Contractor to fulfill its duties and responsibilities under the Agreement;
 - b. said materials are the sole property of the State; and
 - c. it will not share, sell, release, or make the data available to third parties in any manner without the written consent of the Department, except as directed by a court of competent jurisdiction, or as necessary to comply with applicable New York State or federal law;
10. Attests that it will agree to provide minimum service levels for performance guarantees and credits, as defined in Section IV.A.11 of this IFB;
11. Attests that it will provide a customizable:
 - a. secure online web portal (online reporting access) for DEA services, as defined in Section IV.A.5 of this IFB that, at a minimum:
 - (1) allows Enrollees to upload scanned documents;
 - (2) allows Enrollees to view the status of their current compliance with the current audit;
 - (3) allows Enrollees to view all documents sent to the Enrollee by the Contractor;

- (4) allows the Department to compile periodic management reports documenting the progress and outcomes of the Project; and
- b. DEA Project that utilizes NYSHIP eligibility criteria, as defined in Section IV.B of this IFB.
- 12.** Attests that it will provide a Call Center as defined in Section IV.A.4 of this IFB that, at a minimum:
- a. Is located in the United States;
 - b. Fully staffed with trained Call Center representatives and supervisors from 8 am to 8 pm ET from the start of the 60-Day Amnesty Period through the end of the Appeal and Reinstatement Period(s), except for Business Holiday(s) observed by the State and have management reporting capability to provide information on the quality and effectiveness of the Call Center;
 - c. Is staffed appropriately based on anticipated peak call times (i.e., after Enrollee mailings);and
 - d. Uses an integrated system to log and track all Enrollee calls. The system must create a record of the Enrollee contacting the call center, the call type, and all customer service actions and resolutions.

Amended May 29, 2015

C. Exhibits

At this part of its Administrative Section, the Offeror must complete and submit the various Exhibits specified in Section II.B and Section III of this IFB, in satisfaction of the regulatory requirements described therein. A listing of the required Exhibits is set forth below:

Exhibit Name	Exhibit
Proposal Submission Requirement Checklist	Exhibit I.A
MacBride Statement and Non-Collusive Bidding Certification	Exhibit I.D
EEO Staffing Plan (Form EEO-100)	Exhibit I.G
Offeror's Affirmation of Understanding and Agreement	Exhibit I.K*
Compliance with Public Officer's Law Requirements	Exhibit I.M

Compliance with Americans with Disabilities Act	Exhibit I.N
MWBE Utilization Plan (Form MWBE-100)	Exhibit I.O
Offeror's Certificate of Compliance Pursuant to State Finance Law §139-k	Exhibit I.P
Certification of Good Faith Efforts (Form MWBE-104)	Exhibit I.Q
Formal Offer Letter	Exhibit I.S
Offeror Attestations Form	Exhibit I.T
Project Services Attestation Form	Exhibit I.T.1
Performance Guarantees Attestation Form	Exhibit I.T.2
Key Subcontractors or Affiliates	Exhibit I.U.1
NYS Supplier and Subcontractor	Exhibit I.U.2
Program References	Exhibit I.V

***Note: If not already provided to the Department by the time of Proposal submission, the Offeror must enclose a completed Exhibit I.K - Offeror's Affirmation of Understanding and Agreement with their Administrative Section.**

D. Key Subcontractors or Affiliates

At this part of its Administrative Section, the Offeror must provide a statement identifying all Key Subcontractors or Affiliates, if any, that the Offeror will be contracting with to provide Program Services and must, for each such Key Subcontractor or Affiliate identified, complete and submit **Exhibit I.U.1**; "Key Subcontractors or Affiliates:"

1. Provide a brief description of the services to be provided by the Key Subcontractor or Affiliate; and
2. Provide a description of any current relationships with such Key Subcontractor or Affiliate and the clients/projects that the Offeror and Key Subcontractor or Affiliate 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 (or shared services agreement) has been executed between the Offeror and the Key Subcontractor or Affiliate for services to be provided by the Key Subcontractor or Affiliate relating to this IFB. If the Offeror will not be subcontracting with any Key

Subcontractor(s) or Affiliate(s) to provide Project Services, the Offeror must provide a statement to that effect.

Amended May 29, 2015

E. Reference Checks

At this part of its Administrative Section, for the purpose of reference checks, the Offeror must list two (2) references of current clients and one (1) reference of a former client for a total of three (3) references for which the Offeror has supplied DEA Project Services similar to those required in this IFB. At least one (1) of the referenced clients must be an entity with at least one hundred fifty thousand or more Dependent lives subject to audit. If the Offeror has no former clients to include as references, the Offeror must include a statement attesting to that fact. Otherwise, the Offeror must include, at minimum, one (1) former client as a reference for which the Offeror has supplied services similar in nature to those required in this IFB. If the Offeror is proposing any Key Subcontractors or Affiliates, the references should be with clients for whom the Offeror and Key Subcontractor or Affiliate have jointly supplied services similar to those described in this IFB. For each Reference provided the Offeror must complete and submit **Exhibit I.V**, entitled "Program References." The Offeror shall be solely responsible for providing contact names and phone numbers that are readily available to be contacted by the State. The Offeror must also indicate what participation, if any, the project manager and each key staff person proposed for this Project had in the referenced services.

Amended May 29, 2015

F. Financial Statements

As part of its Administrative Section, 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 or Affiliate, if any, that provides any of the Project Services; which are the subject matter of this IFB, provide the most recent GAAP annual audited statement. If the Offeror, or a Key Subcontractor or Affiliate, 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/Affiliate 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 /Key Subcontractor/ Affiliate must provide the following as part of its Administrative Section: a letter from a bank reference attesting to the Offeror/Key Subcontractor/Affiliate'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.) 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/Key Subcontractor/Affiliate and the bank), including the duration of the relationship and the Offeror's current standing with the bank. For example: "*The (Offeror/Key Subcontractor/Affiliate's name) is currently and has been for "x" number of years a client in good standing*";
2. 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 /Key Subcontractor/Affiliate's financial viability and creditworthiness concerning the nature and scope of the Program Services, which are the subject matter of this IFB, and the Parties (i.e., Department, and the Offeror or the Offeror and Key Subcontractor or Affiliate) contractual obligations should the Offeror be awarded the resultant Contract.

SECTION IV: TECHNICAL SECTION

This Section of the IFB sets forth the Offeror's responsibilities in regard to the content of the Technical Section of the Offeror's Proposal and the services, which are the subject of this IFB. The Offeror must provide responses in the Technical Section that confirm the Offeror will satisfy all of the "Contractor's Responsibilities" requirements set forth in Section IV.A. of the IFB and also as part of its Administrative Section, submit a completed **Exhibit I.T.I** "Project Services Attestations Form." Failure of the Offeror to satisfy all requirements set forth in this Section IV of the IFB may result in a determination by the Department that the Offeror is non-responsive.

Note: Numbers, data, or statistics which may appear in the Exhibits referenced throughout this IFB are for informational purposes only and should not be used or viewed by prospective Offerors as guarantees or representations of any levels of past or future performance or participation.

A. Contractor's Responsibilities:

During the term of the Agreement that results from this IFB, the Contractor will be responsible for the performance of all those services/tasks as set for in this Section IV.A of the IFB.

1. **Project Team:** Throughout the term of the Agreement that results from this IFB, the Contractor must:
 - a. Maintain an organization of sufficient size with staff that possesses the necessary skills and experience to administer, manage, and oversee all aspects of the DEA Project during implementation and operation;
 - b. Dedicate a project manager who will be available full time for the entire term of the DEA Project and who has at least three (3) years' experience serving as a project manager. The Contractor must advise the Department immediately if replacement of the project manager is contemplated during the term of this DEA Project;
 - c. Assign a project management team that is experienced, accessible, and sufficiently staffed to provide timely (one (1) Business Day) responses to administrative concerns and inquiries posed by the Department, and other users designated by the Department, for the duration of the Agreement to the satisfaction of the Department; and

- d. Immediately notify the Department of actual or anticipated events affecting the delivery of services to the Department and present options available to minimize or eliminate the impact of those events on the delivery of Project Services.

2. **Project Implementation:** During the 60-Day Implementation Period of the DEA Project the Contractor must:

- a. Develop and update, as needed, a written implementation plan for the DEA Project as requested in IV.B.3.a of this IFB. The implementation plan must be detailed and comprehensive and demonstrate a firm commitment by the Contractor to complete all implementation activities within the 60-Day Implementation Period. For all tasks that require Department review and approval, a minimum review period of five (5) Business Days must be built into the implementation plan; and
- b. Undertake and complete all implementation activities, including but not limited to those specific activities set forth below in this Section IV.A.2.b of this IFB. Such implementation activities must be completed no later than the first Day following the 60-Day Implementation Period and includes:
 - (1) Planning and testing the transmission of data to/from the Department as outlined in Section IV.A.3 of this IFB;
 - (2) Establishing and maintaining a fully trained call center as outlined in Section IV.A.4 of this IFB;
 - (3) Establishing a secure online web portal providing access for Enrollees and the Department as outlined in IV.A.5 of this IFB; and
 - (4) Developing Enrollee communications for review and approval by the Department as outlined in IV.A.7 of this IFB.

3. **Electronic Transfer of Data:** Throughout the term of the Agreement that results from this IFB, the Contractor must:

- a. Receive and transmit Dependent data in a secure electronic format and on a schedule mutually agreed upon by the Contractor and the Department;
- b. Receive/transmit data in the format required by the file layouts presented in Exhibit III.E of this IFB;

- c. Ensure all electronic transfer of data and/or storage of files is located solely in the United States;
 - d. Maintain a HIPAA compliant level of security to protect the confidentiality of all Enrollee/Dependent information;
 - e. Have a disaster recovery plan in place that is applicable to this DEA Project;
 - f. Image all documentation received from the Enrollee and transmit a file (or files) to the Department in a standard format (i.e. Multi-Page Tagged Image File Format (TIFF)). The file of images must be accompanied by indexing files and follow a naming convention as outlined in Exhibit III.G of this IFB; and
 - g. Acknowledge that it is the Department's policy that all files need to have a PGP encryption key. If the Department sends the Contractor a file(s), the Department will send to the Contractor's server with the Contractor's PGP encryption key. If the Contractor sends the Department a file(s), the Contractor will send to the Department's server with the Department's PGP encryption key. The files will be exchanged using SFTP protocol.
4. **Call Center Services:** Throughout the term of the Agreement that results from this IFB, the Contractor must:
- a. Establish a dedicated toll-free telephone number that Enrollees can call with questions during the Amnesty Period, the Eligibility Verification Period, and the Appeal and Reinstatement Period(s). The Contractor must maintain a call center with a staffing level sufficient to meet the call center performance guarantees. The Contractor must dedicate a core staff to service the Department's account;
 - b. Establish a call center, located in the United States and staffed with fully trained call center representatives and supervisors, with representatives available, at a minimum, from 8:00 a.m. to 8:00 p.m. ET, except for Business Holidays observed by the State. The Contractor's call center technology must have a system to log and track all inquiries. The system must include call type, actions and resolutions. Call center representatives must be trained to respond to questions and inquiries including, but not limited to, Dependent eligibility and status of documentation review. Any inquiries that cannot be answered in

the initial phone call must be responded to either by telephone or in writing within five (5) Business Days;

- c. Escalate complex and/or difficult calls to more experienced representatives and ultimately supervisory staff; and
- d. Staff the call center during the Appeal and Reinstatement Period(s) to assist Enrollees who submit documentation that supports reinstating the terminated Dependent's coverage;

5. **Secure Online Web Portal:** Throughout the term of the Agreement resulting from this IFB, the Contractor must:

- a. Establish a secure online web portal, which allows Enrollees to submit, and confirm submission of, eligibility documentation. The secure online web portal must be available twenty-four hours a day, seven (7) days a week, except for regularly scheduled maintenance. The Department shall be notified of all regularly scheduled maintenance at least one (1) Business Day prior to such maintenance being performed; and
- b. Maintain a secure online web portal that allows Enrollees, or the Department as applicable, to perform the following:
 - (1) Upload documentation;
 - (2) Check Dependent eligibility status in real-time;
 - (3) View all communications sent from the Contractor to the Enrollee;
 - (4) Review FAQ's that have been developed by the Contractor and approved by the Department;
 - (5) Allows Enrollees to get answers to questions via secure email and/or a chat function;
 - (6) Access customer service contact information including address(es), phone number(s) and email address(es);

(7) Allows the Department to compile periodic management reports documenting the progress and outcomes of the DEA Project via the secure online web portal; and

(8) Allows the Department to have view only access to Dependent eligibility status.

c. Allows cobranding of the secure online portal by incorporating the NYSHIP logo.

6. Amnesty Period, Eligibility Verification Period, and Appeal and Reinstatement

Period(s): Throughout the term of the Agreement resulting from this IFB, the Contractor must:

- a. Administer one (1) Amnesty Period for all Enrollees with a Family Policy to report ineligible Dependents. Administration of the Amnesty Period must include the communication of the Amnesty Period to Enrollees, call center support, receiving requests from Enrollees to terminate ineligible Dependents, and the reporting of ineligible Dependents to the Department;
- b. Administer up to three (3) Phases of eligibility verification during the Eligibility Verification Period. Administration of the Eligibility period shall include, but not be limited to, sending communication materials to Enrollees regarding the Eligibility Verification Period, providing call center support, receiving and processing documents to verify eligibility, and the reporting of ineligible Dependents to the Department. The Dependent eligibility audit tasks must conform to NYSHIP eligibility rules;
- c. Administer an Appeal and Reinstatement Period(s) for Dependents who were terminated because sufficient documentation was not provided on a timely basis and who subsequently are able to provide the documentation. The Department requires the Contractor to complete Reinstatements quickly and accurately and provide the Reinstatement File as outlined in Section IV.A.9.a.(6) of this IFB;
- d. Transmit termination and reinstatement files on a schedule as outlined in Sections IV.A.9.a.(5) and IV.A.9.a.(6) of this IFB; and
- e. Complete all tasks related to the Amnesty Period, and Eligibility Verification Period, within one (1) year of the Agreement Start Date and the Appeal and Reinstatement Period(s) within fifteen (15) months of the Agreement start date.

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7. **Communication Material:** Throughout the term of the Agreement resulting from this IFB, the Contractor must:
- a. Develop customized Enrollee communications, subject to written approval by the Department for the Amnesty Period, the Eligibility Verification Period, and the Appeal and Reinstatement Period(s). The communications must provide sufficient detail so the Enrollee can clearly identify:
 - (1) Dependent children verified in the prior audit for whom eligibility does not need to be confirmed;
 - (2) Dependent children added to coverage on or after February 1, 2009 for whom documentation must be submitted to verify coverage;
 - (3) Spouse or Domestic Partner, regardless of the date the individual was added to coverage for whom documentation must be submitted;
 - (4) Dates by which documentation must be submitted; and
 - (5) Termination date for Dependents deemed ineligible for coverage. The final letter must allow the Enrollee fourteen (14) Business Days for response prior to terminating the Dependent.
 - b. Send different Enrollee communications for different types of Dependents (i.e. Dependent child versus Spouse) and NYSHIP populations (NY versus Participating Agency (PA) or Participating Employer (PE));
 - c. Mail sufficient Department approved Enrollee communication material to achieve the ROI guarantee as outlined in IV.A.10 of this IFB;
 - d. Use a dedicated P.O. Box or other address as approved by the Department as the return address for all Enrollee communications; and
 - e. Acknowledge that the cost of all Project Services communication mailings (including postage) will be paid by the Offeror and will be considered by the Department as being included in the total DEA Project cost submitted by the Offeror.

- 8. Outgoing and Returned Mail Process:** Throughout the term of the Agreement resulting from this IFB, the Offeror must:
- a. Conform to address labeling guidelines that will be provided by the Department that, at a minimum, will require the following:
 - (1) The Offeror must use coding as provided in the enrollment file, Exhibit III.E, above the Enrollee address block on each mail piece. This coding will be used by the Offeror to route returned mail to agencies or DCS as appropriate for handling;
 - (2) For all active Enrollees, as well as Retirees of PAs, the agency code and benefit program code will be used; and
 - (3) For all other Retirees, a unique code, to be identified by the Department, will be used.
 - b. Use USPS software as needed for simple address hygiene purposes. National Change of Address (NCOA) software may not be used as NYSHIP policy is that address changes must be requested by the Enrollee only;
 - c. Provide mailing samples during the Implementation Period for testing and Department approval before mailing to Enrollees. The Department will review and approve or deny within two (2) Business Days;
 - d. Provide a weekly file of returned mail, as outlined in Section IV.A.9.a.(12) of this IFB, to the Department;
 - e. Accept one or more updated enrollment files, as outlined in Section IV.A.9.a.(12) of this IFB, containing corrected addresses, which the Contractor must load into their system within one (1) Business Day of receipt, should the Department determine such files are necessary.

Note: Typically, less than five percent (5%) of NYSHIP communications to Enrollees are returned as either undeliverable or with a forwarding address.

- 9. Reporting:** Throughout the term of the Agreement resulting from this IFB, the Contractor must:

- a. Work with the Department to develop reports acceptable to the Department for the Amnesty Period, Eligibility Verification Period, and Appeal and Reinstatement Period(s), that include, but are not limited to, measurement of the Contractor's response rates and outcomes, adherence to Agreement requirements, and measurement of performance guarantees. Reporting will be at intervals mutually agreed upon by the Department and the Contractor. Reporting, at a minimum, must cover:
- (1) **Verification Status Summary Report** – to provide information on each letter mailed and received including number of letters mailed, number of responders, number of Amnesty Period requests, number of complete documentation received, number of incomplete documentation received, number of non-responders, number of returned mail, number of Appeals received, number of Appeals accepted, and number of Appeals rejected. The report will be required daily and may transition to weekly at the sole discretion of the Department;
 - (2) **Call Center Statistics** – report detailing each day's call center activity including, but not limited to, the number of calls, telephone response rate, telephone abandonment rate, and telephone blockage rate. The report will be required daily and may transition to weekly at the sole discretion of the Department;
 - (3) **Secure Online Portal Statistics** – weekly report providing information on the number of documents received daily, and the percent (%) processed within three (3) Business Days and the percent (%) processed within five (5) Business Days;
 - (4) **Weekly Management Summary Report** – provide progress of the DEA Project and the milestones met;
 - (5) **Results File** – identifying Dependents to be terminated from coverage. A file will be required at the end of the Amnesty Period and at the end of each Phase of the Eligibility Verification Period. Refer to the "Results File Layout" tab in Exhibit III.E of this IFB for the file layout;
 - (6) **Reinstatement File** – identifying those Dependents that are terminated during the audit and acceptable documentation is subsequently received prior to the completion of the DEA Project. The report will be required on a daily basis and

must include all Reinstatements processed on the previous Business Day. Refer to the “Reinstate File” tab in Exhibit III.E of this IFB for the file layout;

- (7) **Terminated and Deceased File** – a file shall be sent from the Department to the Offeror on a weekly basis after the Amnesty Period. The file will identify Enrollees and/or Dependents who have had coverage terminated or were identified as deceased after the initial population was identified for Amnesty. Refer to the “Term & Deceased File Layout” tab in Exhibit III.E of this IFB for the file layout;
- (8) **File of Imaged Eligibility Documentation** –provide one (1) or more files of images of all eligibility documentation received, Enrollee correspondence received, and Contractor communications to Enrollees. The file will be provided on a weekly basis. Refer to Exhibit III.G of this IFB for the file layout;
- (9) **Guarantee Report** – summarizing the Contractor's compliance with all Agreement guarantees (with the exception of the ROI Guarantee, which will be calculated by the Department). This report is to be provided 30 Days after the conclusion of the DEA Project;
- (10) **Final Project Report** – summarizing the DEA Project outcome and suggestions, including draft forms/documents, to improve the Department’s ongoing management of Dependent eligibility. This report is to be provided 90 Days after the conclusion of the DEA Project;
- (11) **Ad Hoc Reports** – the Department may, on occasion, request ad hoc reports or other data analysis to monitor Project Services and contract compliance. The format, frequency, and due dates for such reports, if any, will be specified by the Department to the Contractor during the term of the Agreement that results from this IFB;and
- (12) **File of Returned Mail**– provides a complete listing of mail returned to the Contractor due to incorrect addresses. The file will be required weekly at the discretion of the Department. Refer to the “Returned Mail Layout” tab in Exhibit III. E of this IFB for the file layout.

10. Project Return on Investment (ROI) – Throughout the term of the Agreement resulting from this IFB, the Contractor must:

- a. Guarantee a return on investment of at least 3:1 (Total Savings of at least three times the total DEA Project cost) for the DEA Project including administration of the Amnesty Period, the Eligibility Verification Period and the Appeal and Reinstatement Period(s);
- b. Total Savings will be calculated by the Department and will be based on the Plan (Empire, SEHP or HMO) the member is enrolled in at the time of the audit. The Total Savings shall be calculated as follows (refer to Exhibit III.F for an example of the ROI Calculation):

(1) For the Empire Plan and SEHP, the savings shall be calculated by the Department as the average annual paid claims amount per Dependent determined to be ineligible by the vendor multiplied by the number of Dependents disenrolled. The annual paid claims per Dependent shall be calculated by the Department as the claims paid for each Dependent determined ineligible for the period 2010-2014 divided by the number of months such Dependent was enrolled in the Plan during that period multiplied by 12.

PLUS

(2) For HMO Dependents, annual savings calculated as the difference between Family and Individual 2014 Net Premium multiplied by the number of Family Policies that changed to Individual as a result of all Dependents being determined to not be eligible.

PLUS

(3) Annual savings of Medicare Part B Premium reimbursement paid for Medicare Dependents determined not eligible by the Contractor based on the standard 2014 monthly Medicare Part B Premium amount.

PLUS

(4) For Enrollees with a Family Policy who are participating in the Opt-Out Program, there will be an annual savings of \$2,000 in instances where all of the Enrollee's Dependents are determined not eligible.

11. Performance Guarantees:

- a. The Parties agree that the following guarantees and the corresponding credit amounts for failure to meet the Contractor Performance Guarantees shall be implemented effective the first Day following a 60-Day Implementation Period. The Offeror must submit as part of its Administrative Section a completed Exhibit I.T.2 of this IFB "Performance Guarantees Attestations Form."

(1) Implementation and Start-up Guarantee and Credit Amount

- (a) Guarantee:** The Contractor guarantees that all implementation and start-up activities listed in Section IV.A.2 of this IFB will be in place on the Implementation Date.
- (b) Credit Amount:** If the Contractor fails to complete all implementation and start-up activities within the Implementation Period, the Contractor shall credit against the Project Fees \$1,250 per Day that the Contractor fails to assume full operational responsibility to the satisfaction of the Department.

(2) Call Center Availability Guarantee and Credit Amount

- (a) Guarantee:** The Contractor guarantees the call center toll-free telephone line will be operational and available to callers at least ninety-eight percent (98%) of the Contractor's Call Center Hours. The call center availability will be reported daily, and may transition to weekly at the discretion of the Department, and calculated for the term of the Agreement.
- (b) Credit Amount:** For each .01 to 1% below the standard of ninety-eight percent (98%) that the Contractor's toll-free telephone line is not operational and available to callers during the Contractor's Call Center Hours, the Contractor shall credit against the Project Fees the amount of \$10,000.

(3) Call Center Telephone Response Time Guarantee and Credit Amount

(a) Guarantee: The Contractor guarantees the call center toll-free telephone line will be answered by a call center representative within 45 seconds at least ninety percent (90%) of the time during the Contractor's Call Center Hours. The call center response time will be reported daily, and may transition to weekly at the discretion of the Department, and calculated for the term of the Agreement.

(b) Credit Amount: For each .01 to 1% of incoming calls to the Contractor's telephone line below the standard of ninety percent (90%) that is not answered by a call center representative within 45 seconds, Contractor shall credit against the Project Fees the amount of \$10,000.

(4) Telephone Abandonment Rate Guarantee and Credit Amount

(a) Guarantee: The Contractor guarantees that incoming calls to the Contractor's call center toll-free telephone line in which the caller disconnects prior to the call being answered by a call center representative will not exceed the standard of three percent (3%) of total incoming calls. The call center telephone abandonment rate will be reported daily and may transition to weekly at the discretion of the Department, and calculated for the term of the Agreement.

(b) Credit Amount: For each .01 to 1% of incoming calls to the Contractor's call center toll-free telephone line in which the caller disconnects prior to the call being answered by a call center representative in excess of the standard of three percent (3%) of total incoming calls, the Contractor shall credit against the Project Fees the amount of \$10,000.

(5) Telephone Blockage Rate Guarantee and Credit Amount

(a) Guarantee: The Contractor guarantees that incoming calls to the call center toll-free telephone line that are blocked by a busy signal shall not exceed the standard of one percent (1%) of total incoming calls. The call center telephone line blockage rate will be reported daily, and may transition to weekly at the discretion of the Department, and calculated for the term of the Agreement.

(b) Credit Amount: For each .01 to 1% of incoming calls to the call center toll-free telephone line that are blocked by a busy signal, in excess of the standard of

one percent (1%) of total incoming calls, the Contractor shall credit against the Project's Fees the amount of \$10,000.

(6) Secure Online Web Portal Guarantee and Credit Amount

(a) Guarantee: The Contractor must guarantee that ninety-five percent (95%) of all documents submitted by Enrollees, regardless of method of submission, will be uploaded, processed and viewable on the Contractor's secure online web portal within three (3) Business Days of receipt and one-hundred percent (100%) will be uploaded, processed and viewable on the Contractor's secure online web portal within five (5) Business Days of receipt. The document processing time shall be reported weekly and calculated for the term of the Agreement.

(b) Credit Amount: For each .01 to 1% below the standard of ninety-five percent (95%) of all documents received that are not uploaded, processed and viewable on the Contractor's secure online web portal within three (3) Business Days, the Contractor shall credit against the Project Fees the amount of \$10,000. Additionally for each .01 to 1% below the standard of one-hundred percent (100%) of all documents received that are not uploaded, processed and viewable on the Contractor's secure online web portal within five (5) Business Days, the Contractor shall credit against the Project Fees the amount of \$10,000.

(7) Amnesty Period, Eligibility Verification Period, and Appeal and Reinstatement Period(s) Guarantee and Credit Amount

(a) Guarantee: The Contractor must guarantee that all Amnesty Period and Eligibility Verification Period tasks will be completed within one (1) year of the Agreement start date and all Appeal and Reinstatement Period(s) tasks will be completed within fifteen (15) months of Agreement start date.

(b) Credit Amount: For each month or partial month that all Amnesty Period and Eligibility Verification Period tasks are not completed within one (1) year of the Agreement start date and all Appeal and Reinstatement Period(s) tasks that are not completed within fifteen (15) months of the Agreement start date, the

Contractor shall credit four percent (4%) of the total Project Fees charged under the Agreement for all DEA Project Services.

(8) Reporting Guarantee and Credit Amount

- (a) Guarantee:** The Contractor must guarantee that accurate management reports as specified in Section IV.A.9.a of this IFB will be delivered to the Department no later than their respective due dates inclusive of the date of receipt and supply the reports in an electronic format (Microsoft Access, Excel, Word) as determined by the Department.
- (b) Credit Amount:** For each management report that is not received by its respective due date, the Contractor shall credit against the Project Fees \$1,250 per report per each Business Day between the due date and the date the management report is received by the Department inclusive of the date of receipt.

(9) Return on Investment Guarantee and Credit Amount

- (a) Guarantee:** The Contractor must guarantee a ROI of at least 3:1 for the administration of the Amnesty Period and the Eligibility Verification Period: Total savings of at least three (3) times the total DEA Project cost. Total savings shall be calculated by the Department, as outlined in IV.10.b of this IFB, and shall be based on the Plan (Empire, SEHP or HMO) the member is enrolled in at the time of the audit.
- (b) Credit Amount:** If total savings calculated by the Department is less than three (3) times the total DEA Project cost charged under the Agreement, the Contractor shall credit against the total Project Fees the difference between three (3) times the total DEA Project cost and actual total savings as calculated by the Department, not to exceed the total Project Fees charged under the Agreement.

B. Technical Section Submission Requirements

The Technical Section of the Offeror's Proposal shall include separate responses to each of the following requirements pertaining to substance and general content:

1. Executive Summary

The Offeror must submit an Executive Summary that describes its capacity to administer the NYSHIP Dependent Eligibility Project. The Offeror must have the experience, reliability and integrity to ensure that the Department's needs are addressed in a cost effective manner consistent with the terms of the Offeror's Proposal. The Executive Summary must include:

- a. The name and address of the Offeror's main and branch offices and the name of the senior officer who will be responsible for this account;
- b. A description demonstrating its understanding of the requirements presented in the IFB, and how the Offeror can assist the Department in accomplishing its objectives and will meet the requirements set forth in the IFB;
- c. A statement explaining the Offeror's and the Offeror's Key Subcontractor's previous experience managing Dependent eligibility audits for large complex clients (complex client is defined as having more than one hundred fifty thousand Dependent lives subject to audit with various distinct Employee groups offering eligibility to members other than the Enrollee, the Enrollee's Spouse and their natural or adopted Dependent children (for example Domestic Partners, disabled Dependents or Dependent Survivors). The statement must include:
 1. timetables for conducting the Dependent eligibility audits, and adherence to schedule (e.g. was it implemented and completed on time?);
 2. any issues that arose during the audits and an explanation of how those issues were resolved; and
 3. references as required in Exhibit I.V of this IFB for at least three large complex clients (as defined in Section IV.B.1.c) to which the Offeror has provided dependent eligibility audits within the last three years.

- d. An explanation of how the following administrative and operational components will be performed by the Offeror. Include an organizational chart and description explicitly detailing responsibility for the following functions:

1. Project Team;
2. Administration of an Amnesty Period, the Eligibility Verification Period;
3. Call Center Services;
4. Secure Online Web Portal Services;
5. Communication Material;and
6. Reporting

If the proposed organizational structure has been used in administering the program of another client, provide the client's name and include the client as a reference as required in Exhibit I.V.

2. Project Team

- a. Provide an organizational chart and description illustrating how you propose to administer, manage, and oversee all aspects of the DEA Project. Include the following:
- (1) Reporting relationships and the responsibilities of each key position of the Project Team and how the team will interact with other departments or functional areas within your organization and with any subcontractors for this Project. Describe how the Project Team interfaces with the organization's senior management and ultimate decision makers within your organization; and;
 - (2) Where will your Project Team, document verification and call center be located and approximately how many staff members will work in each functional area?
- b. What executive resources are available to the Project Team to manage the DEA Project and ensure that any issues identified by the Department will be corrected to the satisfaction of the Department? How will you ensure the Project management Team will meet the Department's accessibility and timely response requirements?

3. Project Implementation

a. Provide an implementation plan (via a detailed narrative, diagram, and timeline) that results in the implementation of all DEA Project Services by the Implementation Date, including but not limited to: roles, responsibilities, estimated timeframes for individual task completion, testing dates and objectives, and areas where complications may be expected. For all tasks that require Department review and approval, a minimum review period of five (5) Business Days must be built into the implementation plan. Include key activities such as administration of Amnesty Period, evaluation of Dependent eligibility, processing of eligibility documentation submitted by the Enrollee, electronic reporting of final eligibility determinations and eligibility documentation to the Department, processing of returned mail and the following:

- (1) A plan to test the transmission of data to/from the Department as outlined in Section IV.A.3.a of this IFB;
- (2) Establishment and maintenance of a fully trained call center as outlined in Section IV.A.4 of this IFB;
- (3) Establishment and maintenance of a secure online web portal as outlined in Section IV.A.5 of this IFB;and
- (4) Development of Enrollee communications for review and approval by the Department as outlined in Section IV.A.7 of this IFB;

4. Electronic Transfer of Data

- a. Describe your capabilities for receiving and transmitting data in a secure environment and on a schedule mutually agreed upon by the Offeror and the Department;
- b. Complete Appendix C, Attachment 2, Part 1D to describe the HIPAA compliant level of security to be used to protect the confidentiality of Enrollee/Dependent information, including access controls, audit controls; working procedures for handling printed materials, method of disposal of media and paper, user account management and physical security; and

- c. Describe your ability to image Enrollee documentation in a standard format (i.e. Multi-Page TIFF) and transmit an indexed file to the Department.

5. Call Center

- a. Describe the call center operations that will be used for the project. Include a description of the technology that will be used including sample IVR scripts that will be used to route calls or permit self-service by callers. Describe how the call center will handle peak call volumes (for example, right after a letter is mailed). Describe the training call center staff will receive, including HIPAA training. Explain the process call center staff will use to provide responses to Enrollee questions and what procedures will be used to escalate difficult or complex calls;
- b. Where will the call center be located? During what hours will call center representatives be available to take calls from Enrollees? Will the toll free service have after hour's features? If so, describe the features. Describe the system capabilities and how the system will help call center staff address Enrollee inquiries and document calls and resolutions; and
- c. What provisions will be in place if the call center system is not operational during the required time? For example, do you have a back-up call center where calls will be routed, an upfront message directing the Enrollee to call back, or an answering machine to take messages?

6. Secure Online Web Portal

- a. Provide a test ID for a sample secure online web portal so that the Department may view its functionality;
- b. Describe the process Enrollees will follow to submit and confirm submission of eligibility;
- c. What options will you provide to allow Enrollees to send/receive answers to questions through the secure online web portal (via secure e-mail, a chat function, or both)? Describe the chat function, if offered; and

- d. Provide samples of the management reports that will be available for the Department to generate from the secure online web portal. Provide a test ID and URL for a sample secure online web portal so that the Department may view the reporting capabilities.

7. Amnesty Period, Eligibility Verification Period, and Appeal and Reinstatement Period

- a. Describe how you will administer the Amnesty Period of the project for Enrollees to report ineligible Dependents. At a minimum, describe the proposed process to communicate the Amnesty Period to Enrollees, call center support, the processing of requests from Enrollees to terminate ineligible Dependents and the reporting of ineligible Dependents to the Department;
- b. Describe how you will verify Dependent eligibility in accordance with NYSHIP eligibility rules, including the proofs you will require to be submitted by the Enrollee for each Dependent type (see Exhibits II.A and II.B of this IFB). Explain how you verify that a Spouse or Domestic Partner is still currently the Spouse or Domestic Partner of the Enrollee. In addition to a narrative description, include a detailed flow chart that includes all processes and proposed timeframes; and
- c. Describe the process that will be implemented to review appeals and reinstate Dependents who were terminated because sufficient documentation was not provided on a timely basis and who subsequently are able to provide the documentation.

8. Communication Material

- a. Describe your ability to provide communications that clearly identify to the Enrollee all Dependents, (except Dependent children who were verified in the previous Dependent eligibility audit) for whom verification must be provided to confirm eligibility. Information identifying previously verified Dependent children would be obtained from a file provided by the Department during implementation. Provide a sample document showing how this will be communicated;
- b. Provide samples of recommended communications the Offeror proposes to use in the project;
- c. Describe your experience with other clients in developing customized communications; and

- d. Describe your approach for contacting non-responders or Enrollees who have submitted partial, but not full documentation. How many attempts are made to reach the Enrollee to obtain adequate documentation prior to terminating their Dependent(s)?

9. Reporting

- a. Describe the reports that you recommend for this DEA Project that conform to the minimum reporting requirements described in this section. Provide report samples for each report type.

SECTION V: COST SECTION**A. Introduction**

As described in this IFB, the costs associated with the DEA Project Services includes, administration of an Amnesty Period, Eligibility Verification Period, and Appeal and Reinstatement Period, electronic transfer of data, call center services, online web portal services, and communications (including postage) to Enrollees. Any and all administrative costs associated with the required DEA Project Services and requirements, including implementation, reporting and cost of mailings to Enrollees must be included in the fee quotes for the above services. Section V presents the Cost Section assumptions and submission requirements.

B. Cost Section assumptions

The following presents the Cost Section assumptions for use by each Offeror in completing **Exhibit V, Cost Exhibit**:

1. There will be only one Amnesty Period for all groups (NY, PE and PA), with a maximum of up to three (3) Phases in the Eligibility Verification Period, and 90-Day Appeal and Reinstatement Period(s) that follow each Phase of the Eligibility Verification Period.
2. The Amnesty Period will require communications to all Enrollees with Family Policies. As of February 2015, there are approximately 323,000 total Family Policies with 638,000 Dependents.
3. The Eligibility Verification Period will include only those Family Policies with Dependents who are subject to audit. As of February 2015, there are approximately 302,000 Family Policies covering 418,000 total Dependents that may be subject to verification, less any Dependents who are terminated during the Amnesty Period. Approximately 220,000 previously verified Dependents who are still on the enrollment file will not be subject to verification under the Agreement that results from this IFB.
4. The Cost of all DEA Project Services communication mailings (including postage) will be paid by the Contractor and will be considered by the Department as being included in the total Project Cost submitted by the Offeror.

5. For Project Services rendered during the term of the Agreement, the sole and exclusive fees/expenses chargeable to and payable by the State under the Agreement will be those as quoted by the Offeror in the Offeror's IFB, Exhibit V-Cost Exhibit as applicable. All costs associated with the delivery of Project Services in accordance with requirements of this IFB must be incorporated into the categories shown in Exhibit V.
6. OSC shall render payment for invoices under the Agreement in accordance with standard State procedures and practices. The Offeror shall certify the accuracy of all Offeror invoices prior to their submission to the Department and the Department will make best efforts to process all acceptable invoices within thirty days of their receipt; however, failure to make payment within said timeframe shall not be considered a breach of contract. Timeliness of payment and any interest to be paid to the Offeror for late payment shall be governed by Article XI-A of the State Finance Law.
7. Submission of an invoice and payment thereof shall not preclude the Department from seeking reimbursement or demanding a price adjustment in any case where Project Services, as delivered, are found to deviate from the terms and conditions of the Agreement.

C. Payments/(Credits) to/from the Contractor

This Section presents information regarding the financial structure and timing of financial transactions related to the Agreement resulting from this IFB.

1. For Project services rendered during the term of the Agreement, the sole and exclusive fees/expenses chargeable to and payable by the State under the Agreement will be those as quoted by the Offeror in **Exhibit V-Cost Exhibit** of this IFB, as applicable.
2. Any credit amounts due from the Offeror to the Department for failure to meet the performance guarantees set forth in Section IV.A.11.a of this IFB shall be applied as a credit against the Project Fees charged to the DEA Project Services. Alternatively, the Department may request and receive payment of any

-
- performance guarantee amount directly from the Offeror, as opposed to a credit against the Project Fees payable to the Offeror.
3. Ten percent (10%) of each invoice amount will be withheld from each quoted fee amount paid to the Offeror (Surety Withhold). The total of all Surety withhold amounts withheld will be due to the Offeror upon the Department's written acceptance of the completed Project Services and submission of an accurate invoice by the Offeror. Should the Offeror's Project Services ultimately not be accepted by the Department, the Offeror will be considered in default of the Agreement and the Agreement shall be subject to termination for cause. In such case of default, the Offeror shall forfeit all Surety Withhold amounts withheld, refund any monies paid to the Offeror during the DEA Project Services and forfeit its right to reimbursement by the Department of any and all costs incurred by the Offeror under the Agreement.
 4. Upon submission of an accurate invoice, the Offeror shall be paid twenty percent (20%) of the total quoted fee for the Project forty-five days after the Implementation Date.
 5. Upon submission of accurate invoices, the Offeror shall be paid the remaining quoted fee agreed upon with the Department according to the following schedule, which assumes the Project will take fifteen (15) months to complete.
 - a. Twenty percent (20%) of the total quoted fee ninety days after the Implementation Date;
 - b. Twenty percent (20%) of the quoted fee one hundred eighty days after the Implementation Date;
 - c. Twenty percent (20%) of the quoted fee two hundred seventy days after the Implementation Date;
 - d. The final twenty percent (20%) of the quoted fee, adjusted for any performance guarantee credits, will be paid sixty days after completion of the Project to the Department's satisfaction. In the event that the performance guarantee amounts due to the Department exceed the

final payment due to the Offeror, the Department shall notify the Offeror, in writing, the amount due from the Offeror under the Agreement resulting from this IFB. Such amount shall be paid to the Department within forty five days of the date of the letter.

6. The Department reserves the right to adjust the payment schedule if the projected time to complete the project changes significantly.
7. Upon final audit determination by the Department, any audit liability amount assessed by the Department shall be paid/credited to the DEA Project Services 30 Days after the date of the Department's final determination.

D. Required Submission

The Offeror must complete and submit **Exhibit V, Cost Exhibit**.

SECTION VI: EVALUATION AND SELECTION CRITERIA

The Department will evaluate Offerors' Proposals in accordance with provisions set forth in this Section VI of the IFB.

Contract award under this IFB shall be made on the basis of lowest Total Projected Cost, submitted on **Exhibit V** of the IFB among responsible and responsive Offerors.

On or after the Proposal Due Date and Time as set forth in IFB, Section II.A.1, all timely Proposals accepted by the Department will be opened and recorded. The Department will verify that the apparent lowest cost Proposal (i.e., the Proposal with the lowest Total Projected Cost) on **Exhibit V** of the IFB is responsive and the Offeror is responsible. Responsive means that the Proposal meets all mandatory requirements and specifications of the IFB. If the apparent lowest cost Proposal/Offeror is not found to be responsive and/or responsible, that Offeror's Proposal will be rejected and the next lowest cost Proposal/Offeror will be reviewed to determine responsiveness and responsibility.

In the event of a tie, the decision to award a Contract to one Offeror over the other(s) shall be made by the Commissioner whose decision shall be final and the basis for determining the award shall be documented in the Procurement record.

SECTION VII: AGREEMENT PROVISIONS**AGREEMENT NO. C000XXX**

THIS Agreement is entered into by and between New York State Department of Civil Service ("Department" or DCS), having its principal office at Empire State Plaza, Agency Building #1, Albany, NY 12239 and _____ ("Contractor"), a corporation authorized to do business in the State of New York with a principal place of business located at _____, and collectively referred to as "the Parties."

WITNESSETH

WHEREAS, Civil Service Law Article XI authorizes and directs the President of the State Civil Service Commission and New York State Department of Civil Service (President) to establish a health benefit plan for the benefit of State Employees, Retirees, and their Dependents, and for the benefit of Participating Employers', Retirees, and their Dependents; and

WHEREAS, New York State, through the Department, oversees the New York State Health Insurance Program (NYSHIP) for New York State Employees and Retirees and their Dependents; and

WHEREAS, on May 7, 2015 the Department of Civil Service issued an Invitation for Bid entitled, "Dependent Eligibility Audit Services" to secure the services of a qualified organization to provide Dependent Eligibility Audit Services (DEAS) as set forth in the IFB; and

WHEREAS, after thorough review and evaluation by the Department of Proposals received in response to the IFB, the Contractor's Proposal was selected as representing the Lowest Total Projected Cost to the State by a responsive and responsible bidder; and

WHEREAS, the Department, in reliance upon the expertise of the Contractor, desires to engage the Contractor to deliver the DEAS, in the manner set forth in the IFB and the Contractor's Proposal, pursuant to the terms and conditions set forth in this Agreement;

THEREFORE, the Parties agree as follows:

ARTICLE I: DEFINITION OF TERMS

- 1.1.0** **Affiliate** means a person or organization which, through stock ownership or any other affiliation, directly, indirectly, or constructively controls another person or organization, is controlled by another person or organization, or is, along with another person or organization, under the control of a common parent.
- 1.2.0** **AG** means the New York State Attorney General's Office.
- 1.3.0** **Agreement or Contract** means the Agreement entered into between the Parties resultant from this IFB.
- 1.4.0** **Amnesty Period** means a specified period, not to exceed sixty Days, when any Enrollee with a Family Policy who participates in NYSHIP voluntarily identifies any ineligible Dependent.
- 1.5.0** **Appeal** means a request that is submitted by the Enrollee with required supporting documentation providing evidence of Dependent eligibility.
- 1.6.0** **Appeal Reinstatement Period(s)** means the 90-Day period following each Phase of the Eligibility Verification Period during which the Contractor reviews Appeals for Reinstatement of coverage for Dependents terminated as a result of the DEA Project Services and makes a determination as to whether the Reinstatement is appropriate. Each Appeal and Reinstatement Period will commence seven (7) Days after the Contractor submits an accurate termination file to DCS for each Phase in the Eligibility Verification Period. The Contractor must send Reinstatement files to DCS during the Appeal and Reinstatement Period on a weekly basis identifying Dependents whose eligibility should be reinstated as a result of the Appeal determination.
- 1.7.0** **Business Day(s)** means Monday through Friday, except for days designated as Business Holidays.
- 1.8.0** **Business Holiday(s)** means legal Holidays observed by the State.
- 1.9.0** **Call Center Hours** means between the hours of 8:00 a.m. until 8:00 p.m. ET, Monday through Friday.

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- 1.10.0** **Commissioner** means the Commissioner of the New York State Department of Civil Service.
- 1.11.0** **Contract Effective Date** means that the Agreement is approved by the New York State Office of the State Comptroller resultant from this IFB.
- 1.12.0** **Contractor** means the successful Offeror selected as a result of the evaluation of Offeror's Proposals submitted in response to this IFB and who executes a Contract with the Department to provide Project Services.
- 1.13.0** **CSL** means New York State Civil Service Law.
- 1.14.0** **Day(s)** means calendar days unless otherwise noted.
- 1.15.0** **DEA Project or Project Services** means the entire scope of services to be provided by the Contractor pursuant to the terms and conditions of the Agreement that results from this IFB.
- 1.16.0** **Department or DCS** means the New York State Department of Civil Service.
- 1.17.0** **Dependent** means the Spouse, Domestic Partner, and children under twenty-six (26) years of age of an Enrollee. Dependent children age twenty-six (26) or over are also eligible if they are full-time students with military service or they are incapable of supporting themselves due to mental or physical disability acquired before termination of their eligibility for coverage under the New York State Health Insurance Program.
- 1.18.0** **Dependent Survivor** means a Spouse who has not remarried, a Dependent child(ren) who meets eligibility requirements, or a Domestic Partner who has not married or acquired a new Domestic Partner, of an Enrollee who died after having at least ten (10) years of service, who was covered as a Dependent of the deceased Enrollee at the time of the Enrollee's death and who elects to continue coverage under NYSHIP following the three (3) month extended benefits period.
- 1.19.0** **DOB** means the New York State Division of the Budget.
- 1.20.0** **Domestic Partner** means a Dependent who is eighteen years of age or older, and both the Enrollee and Dependent have been in a partnership for at least six (6)

months, are both unmarried (proof of divorce decrees required, if applicable), are not related in a way that would bar marriage, have shared the same residence and have been financially interdependent for at least six months, and have an exclusive mutual commitment (which is expected to last indefinitely) to share responsibility for each other's welfare and financial obligations. When applicable, new Domestic Partners will be subject to a one (1) year waiting period from the termination of the Enrollee's last Domestic Partner coverage.

- 1.21.0 Eligibility Verification Period** means the period following the Amnesty Period in which the Contractor conducts Dependent eligibility verification of the NYSHIP population subject to the audit and may consist of up to three (3) Phases at the discretion of the Contractor.
- 1.22.0 Empire Plan** means the self-insured health plan administered by the NYS Department of Civil Service to provide health benefits for the Employees, Retirees, and eligible Dependents of New York State and NYSHIP Participating Agencies and Participating Employers.
- 1.23.0 Employee** means Employee, Retiree, Vestee, or Dependent Survivor of a Deceased Employee or Retiree defined as an Employee in the regulations of the President of the Civil Service Commission, as amended from time to time.
- 1.24.0 Employee Benefits Division (EBD)** means the division of the New York State Department of Civil Service responsible for administering the New York State Health Insurance Program (NYSHIP).
- 1.25.0 Employee ID (EMPLID)** means the unique identifying code of an Enrollee (i.e., Enrollee's account number).
- 1.26.0 Enrollee** means an Employee, Retiree, former Employee, or Dependent who elects to participate in one or some of the benefit programs administered by the Department of Civil Service.
- 1.27.0 ET** means prevailing Eastern Time.
- 1.28.0 Family Policy or Family Policies** means a policy(ies) that includes coverage for an Enrollee plus covered Dependents.

- 1.29.0** **GOER** means the New York State Governor’s Office of Employee Relations.
- 1.30.0** **Health Benefits Administrator (HBA)** means an agency representative, primarily located in an agency human resource office, who provides information on health insurance benefits to agency staff.
- 1.31.0** **HMO** means one of the health maintenance organizations which participate in the New York State Health Insurance Program.
- 1.32.0** **IFB or Procurement** means the Invitation for Bid entitled “Dependent Eligibility Audit Services,” dated May 7, 2015.
- 1.33.0** **Implementation Date** means the first Day following the 60-Day Implementation Period.
- 1.34.0** **Implementation Period** means the 60-Day Period; after the date the Department notifies the Contractor the Agreement has been approved by OSC, in which the Contractor implements all Project Services, as outlined in the Agreement.
- 1.35.0** **Key Subcontractor(s)** means those vendors with whom the Contractor subcontracts to provide Project Services and incorporated as a part of the Contractor’s project team. Key Subcontractors include all vendors who will provide \$100,000 or more in Project Services over the term of the Agreement, as well as any vendor who will provide Project Services in an amount lower than the \$100,000 threshold, and who is a part of the Contractor’s project team.
- 1.36.0** **MWBE** means Minority- and Women-Owned Business Enterprises.
- 1.37.0** **New York State Health Insurance Program (NYSHIP)** means the health insurance program established by NYS to provide health insurance protection to Employees, Retirees and eligible Dependents of New York State and Participating Agencies and Participating Employers. The program is administered by the NYS Department of Civil Service. NYSHIP provides health insurance coverage through The Empire Plan, Health Maintenance Organizations (HMOs); and the Student Employee Health Plan (SEHP).

- 1.38.0** **NYBEAS** means the New York Benefits Eligibility & Accounting System, a computerized enrollment system utilized by the Department for the administration of Employee benefits.
- 1.39.0** **NYS or State** means the State of New York (including the New York State Department of Civil Service).
- 1.40.0** **Offeror** means any responsible and eligible entity submitting a responsive Proposal to this IFB. It shall be understood that references in the IFB to "Offeror" shall include said entity's proposed Key Subcontractor or Affiliates, if any.
- 1.41.0** **Opt-Out** means a program that offers incentive payments to an eligible NYS Employee who has elected to Opt-Out of NYSHIP health benefits because the Employee is covered by other employer-sponsored group health insurance through other employment of their own or as a Dependent under a plan belonging to their Spouse, Domestic Partner or parent through his/her employment.
- 1.42.0** **OSC** means the New York State Office of the State Comptroller.
- 1.43.0** **Participating Agency (PA)** means any unit of local government such as school districts, special districts, or district or municipal corporations that elects with the approval of the President of the Civil Service Commission, to participate in the New York State Health Insurance Program. Examples of PAs are: Clinton County; East Meadow Public Library; and the Central Islip Union Free School District.
- 1.44.0** **Participating Employer (PE)** means any public authority, public benefit corporation, or other agency subdivision or quasi-public organization of the State that elects, with the approval of the President of the Civil Service Commission, to participate in the New York State Health Insurance Program. Examples of PEs are: the NYS Thruway Authority and the Dormitory Authority.
- 1.45.0** **Phase** means a portion of the Eligibility Verification Period during which a subset of the entire NYSHIP population is subject to Dependent verification, as mutually agreed upon by the Department and the Contractor.
- 1.46.0** **President** means the President of the Civil Service Commission and the Commissioner of the Department.

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- 1.47.0 Project Fees** means any and all Contractor costs associated with the DEA Project Services including but not limited to Project Implementation, administration of Amnesty Period, Eligibility Verification Period, and Appeal and Reinstatement Period, electronic transfer of data, call center services, online web portal services, and cost of communications (including postage) to Enrollees.
- 1.48.0 Proposal or Submissions** means the Offeror's Proposal, submitted in response to the IFB including all responses to supplemental requests for clarification, information, and documentation.
- 1.49.0 Regulations of the President of the Civil Service Commission** means those regulations promulgated by the President of the Civil Service Commission under the authority of Civil Service Law, Article XI, as amended, and including but not limited to those regulations found at 4 New York Code of Rules and Regulations (NYCRR) Part 73, as amended.
- 1.50.0 Reinstatement** means a determination to re-enroll a Dependent that has been terminated from coverage as a result of the DEA Project Services. The determination will be based on a review of appropriate documentation provided by the Enrollee and/or Dependent.
- 1.51.0 Retiree** means any person defined as a Retiree pursuant to the terms of 4 NYCRR Part 73, as amended.
- 1.52.0 Return On Investment (ROI)** means the performance measure used to evaluate the cost effectiveness of the DEAS, utilizing the methodology as set forth in Section 6.11.0 of this Agreement.
- 1.53.0 Spouse** means a Spouse, including a legally separated Spouse. If an Enrollee is divorced or the marriage has been annulled, the former spouse is not eligible, even if a court orders the Enrollee to maintain coverage.
- 1.54.0 State** means the State of New York.
- 1.55.0 Student Employee Health Plan (SEHP)** means a health benefits plan for graduate student Employees of the New York State University and the New York City University systems that provide benefits through the various Empire Plan Insurance Contracts.

- 1.56.0** **Vestee** means a former Employee who is entitled to continue benefits under NYSHIP because he/she has met all the requirements for NYSHIP coverage as a Retiree, except for eligibility to collect a pension, at the time employment terminates.

ARTICLE II: AGREEMENT DURATION AND AMENDMENTS

- 2.1.0** This Agreement shall be subject to and effective upon the approval of the New York State Attorney General's Office ("AG") and the NYS Office of the State Comptroller ("OSC"). The Contract (Agreement) will be for a term of fifteen (15) months, including a 60-Day Implementation Period, an Amnesty Period (not to exceed 60-Days), an Eligibility Verification Period comprised of up to three (3) Phases, and 90-Day Appeal and Reinstatement Period(s) for each Phase of the Eligibility Verification. All eligibility verification must be completed within one (1) year of the Agreement start date and all Project Services must be completed within fifteen (15) months of the Agreement start date. It is the Department's intent that the Implementation Period shall begin following OSC approval of the Agreement, with all other contractual responsibilities to begin on the first Day following the 60-Day Implementation Period after the Department notifies the Contractor of OSC's approval of the Agreement and subject to the termination provisions contained herein.
- 2.2.0** This Agreement is subject to amendment(s) only upon consent of the Parties, reduced to writing and approved by the AG and OSC.

Article III: INTEGRATION

- 3.1.0** This Agreement, including all Exhibits, copies of which are attached hereto and incorporated by reference, constitutes the entire Agreement between the Parties. All prior Agreements, representations, statements, negotiations, and undertakings are superseded hereby.
- 3.2.0** All statements made by the Department shall be deemed to be representations and not warranties.

ARTICLE IV: DOCUMENT INCORPORATION AND ORDER OF PRECEDENCE

- 4.1.0** This Agreement consists of:

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- 4.1.1** The body of the Agreement (that portion preceding the signatures of the Parties in execution and amendments thereto;
- 4.1.2** Appendix A - Standard Clauses for All New York State Contracts;
- 4.1.3** Appendix B - Standard Clauses for All Department Contracts;
- 4.1.4** Appendix C - Third Party Connection and Data Sharing Agreement;
- 4.1.5** Appendix D - Participation by Minority Group Members and Women with Respect to State Contracts: Requirements and Procedures; Appendix D-1: Minority and Women-Owned Business Enterprises – Equal Employment Opportunity Policy Statement; and Appendix D-2: MWBE Utilization Reporting Responsibilities under Article 15-A; and
- 4.1.6** The following Exhibits attached and incorporated by reference to the body of the Agreement:
- 4.1.6a** Exhibit A - The MacBride Act Statement and the Non-Collusive Bidding Certification:
- 4.1.6b** Exhibit B - Invitation for Bid entitled “Dependent Eligibility Audit Services” dated May 7, 2015; and Exhibit B-1 – Official Department Response to Questions Raised Concerning the IFB, dated May 27, 2015.
- 4.1.6c** Exhibit C – Contractor’s Proposal; and Exhibit C-1 Written Responses to clarifying questions regarding Contractor’s Proposal; and
- 4.1.6d** Exhibit D – DEA Project Services Fees Schedule;
- 4.1.7** In the event of any inconsistency in, or conflict among, the document elements of the Agreement identified above, such inconsistency or conflict shall be resolved by giving precedence to the document elements in the following order:
- 4.1.7a** First, Appendix A - Standard Clauses for All New York State Contracts;

- 4.1.7b** Second, Appendix B – Standard Clauses for All Department of Civil Service Contracts;
- 4.1.7c** Third, Appendix C – Third Party Connection and Data Sharing Agreement;
- 4.1.7d** Fourth, Appendix D – Participation by Minority Group Members and Women With Respect to State Contracts: Requirements and Procedures; Appendix D-1 -Minority and Women-Owned Business Enterprises – Equal Employment Opportunity Policy Statement; and Appendix D-2: MWBE Utilization Reporting Responsibilities under Article 15-A;
- 4.1.7e** Fifth, any Amendments to the body of the Agreement;
- 4.1.7f** Sixth, the body of the Agreement;
- 4.1.6g** Seventh, Exhibit B, the Invitation for Bids entitled “Dependent Eligibility Audit Services” dated May 7, 2015; and Exhibit B-1, the official Department response to questions raised concerning the IFB, dated May 27, 2015;
- 4.1.7h** Eighth, Exhibit C, Contractor’s Proposal; and Exhibit C-1, Written Responses to clarifying questions regarding Contractor’s Proposal; and
- 4.1.7i** Ninth, Exhibit D, DEA Project Services Fee Schedule.

4.2.0 The terms, provisions, representations and warranties contained in the Agreement shall survive performance hereunder.

ARTICLE V: LEGAL AUTHORITY TO PERFORM

5.1.0 The Contractor shall maintain appropriate corporate and/or legal authority, which shall include but is not limited to the maintenance of an administrative organization capable of delivering Project Services in accordance with this Agreement and the authority to do business in the State of New York or any other governmental jurisdiction in which the Project Services are to be delivered.

- 5.2.0** Contractor agrees that it shall perform its obligations under this Agreement in accordance with all applicable federal and NYS laws, rules and regulations, policies and/or guidelines now or hereafter in effect, including but not limited to the requirements set forth in Article XI Section 164 of NYS Civil Service Law as amended.
- 5.3.0** The Contractor shall provide the Department with immediate notice in writing of the initiation of any legal action or suit which relates in any way to this Agreement, or which may affect performance of the Contractor's duties under the Agreement.

ARTICLE VI: PROJECT SERVICES

- 6.1.0** During the term of this Agreement, the Contractor will be responsible for the performance of those services/tasks as described herein this Article VI, "Project Services," of this Agreement and any and all other Project Services as referenced in this Agreement.
- 6.2.0** **Project Management Team:** Throughout the term of the Agreement the Contractor must:
- 6.2.1** Maintain an organization of sufficient size with staff that possesses the necessary skills and experience to administer, manage, and oversee all aspects of the DEA Project during implementation and operation;
- 6.2.2** Dedicate a project manager who will be available full time for the entire term of the DEA Project and who has at least three (3) years' experience serving as a project manager. The Contractor must advise the Department immediately if replacement of the project manager is contemplated during the term of this DEA Project;
- 6.2.3** Assign a project management team that is experienced, accessible, and sufficiently staffed to provide timely (one (1) Business Day) responses to administrative concerns and inquiries posed by the Department, and other users designated by the Department, for the duration of the Agreement to the satisfaction of the Department; and
- 6.2.4** Immediately notify the Department of actual or anticipated events affecting delivery of services to the Department and present options available to

minimize or eliminate the impact of those events on the delivery of Project Services.

6.3.0 Project Implementation: During the 60-Day Implementation Period of the Project the Contractor must:

6.3.1 Develop, and update, as needed, a written implementation plan for the DEA Project. The implementation plan must be detailed and comprehensive and demonstrate a firm commitment by the Contractor to complete all implementation activities within the 60-Day Implementation Period. For all tasks that require Department review and approval, a minimum review period of five (5) Business Days must be built into the implementation plan; and

6.3.2 Undertake and complete all implementation activities, including but not limited to those specific activities set forth below in this Section 6.3.2a – 6.3.2d of this Agreement. Such implementation activities must be completed no later than the first Day following the 60-Day Implementation Period and includes;

6.3.2a Planning and testing the transmission of data to/from the Department as outlined in Section 6.4.0 of this Agreement;

6.3.2b Establishing and maintaining a fully trained call center as outlined in Section 6.5.0 of this Agreement;

6.3.2c Establishing a secure online web portal providing access for Enrollees and clients as outlined in Section 6.6.0 of this Agreement; and

6.3.2d Developing Enrollee communications for review and approval by the Department as outlined in Section 6.8.0 of this Agreement.

6.4.0 Electronic Transfer of Data: Throughout the term of the Agreement the Contractor must:

6.4.1 Receive and transmit Dependent data in a secure electronic format and on a schedule mutually agreed upon by the Contractor and the Department;

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- 6.4.2 Receive/transmit data in the format required by the file layouts presented in Exhibit III.E of this Agreement;
 - 6.4.3 Ensure all electronic transfer of data and/or storage of files is located solely in the United States;
 - 6.4.4 Maintain a HIPAA Compliant level of security to protect the confidentiality of Enrollee/Dependent information;
 - 6.4.5 Have a disaster recovery plan in place that is applicable to this DEA Project;
 - 6.4.6 Image all documentation received from the Enrollee and transmit a file (or files) to the Department in a standard format (i.e. Multi-Page Tagged Image File Format (TIFF)). The file of images must be accompanied by indexing files and follow a naming convention as outlined in Exhibit III.G of this Agreement; and
 - 6.4.7 Acknowledge that it is the Department's policy that all files need to have a PGP encryption key. If the Department sends the Contractor a file(s), the Department will send to the Contractor's server with the Contractor's PGP encryption key. If the Contractor sends a file(s) the Contractor will send to the Department's server with the Department's PGP encryption key. The files will be exchanged using SFTP protocol.
- 6.5.0 Call Center Services:** Throughout the term of the Agreement the Contractor must:
- 6.5.1 Establish a dedicated toll free telephone number that Enrollees can call with questions during the Amnesty Period, the Eligibility Verification Period, and the Appeal and Reinstatement Period(s). The Contractor must maintain a call center with a staffing level sufficient to meet the call center performance guarantees. The Contractor must dedicate a core staff to service the Department's account;
 - 6.5.2 Establish a call center, located in the United States and staffed with fully trained center representatives and supervisors, with representatives available, at a minimum, from 8:00 a.m. to 8:00 p.m. ET, except for Business Holidays observed by the State. The Contractor's call center technology must

have a system to track all inquiries. The system must include call type, actions, and resolutions. Call center representatives must be trained to respond to questions, and inquiries including, but not limited to, Dependent eligibility and status of documentation review. Any inquiries that cannot be answered in the initial phone call must be responded to either by telephone or in writing within five (5) Business Days;

6.5.3 Escalate complex and/or difficult calls to more experienced representatives and ultimately supervisory staff; and

6.5.4 Staff the call center during the Appeal and Reinstatement Period(s) to assist Enrollees who submit documentation that supports reinstating the terminated Dependent's coverage.

6.6.0 Secure Online Web Portal: Throughout the term of the Agreement, the Contractor must:

6.6.1 Establish a secure online web portal which allows Enrollees to submit, and confirm submission of, eligibility documentation. The secure online web portal must be available twenty-four hours a day, seven (7) days a week, except for regularly scheduled maintenance. The Department shall be notified of all regularly scheduled maintenance at least one (1) Business Day prior to such maintenance being performed; and

6.6.2 Maintain a secure online web portal that allows Enrollees, or the Department as applicable, to perform the following;

6.6.2a Upload documentation;

6.6.2b Check Dependent eligibility status in real-time;

6.6.2c View all communications sent from the Contractor to the Enrollee;

6.6.2d Review FAQ's that have been developed by the Contractor and approved by the Department;

6.6.2e Allows Enrollees to get answers to questions via secure email and/or a chat function;

6.6.2f Access customer service contact information including address(es), phone number(s) and email address(es);

6.6.2g Allows the Department to compile periodic management reports documenting the progress and outcomes of the Project via the secure online web portal; and

6.6.2h **Allows the Department to have view-only access to Dependent eligibility status.**

6.6.3 Allows cobranding of the secure online portal by incorporating the NYSHIP logo.

6.7.0 **Amnesty Period, Eligibility Verification Period, and Appeal and Reinstatement Period(s):** Throughout the term of the Agreement, the Contractor must:

6.7.1 Administer one (1) Amnesty Period for all Enrollees with a Family Policy to report ineligible Dependents. Administration of the Amnesty Period must include the communication of the Amnesty Period to Enrollees, call center support, receiving requests from Enrollees to terminate ineligible Dependents, and the reporting of ineligible Dependents to the Department;

6.7.2 Administer up to three (3) Phases of eligibility verification during the Eligibility Verification Period. Administration of the Eligibility Verification Period shall include, but not be limited to, sending communication materials to Enrollees regarding the Eligibility Verification Periods, providing call center support, receiving and processing documents to verify eligibility, and the reporting of ineligible Dependents to the Department. The Dependent eligibility audit tasks must conform to NYSHIP eligibility rules;

6.7.3 Administer an Appeal and Reinstatement Period(s) for Dependents who were terminated because sufficient documentation was not provided on a timely basis and who subsequently are able to provide the documentation. The Department requires the Contractor to complete Reinstatements quickly and

accurately and provide the Reinstatement File as outlined in Section 6.10.1f of this Agreement;

6.7.4 Transmit termination and Reinstatement files on a schedule as outlined in Sections 6.10.1e and 6.10.1f of this Agreement; and

6.7.5 Complete all tasks related to the Amnesty Period, and Eligibility Verification Period, within one (1) year of the Agreement start date and the Appeal and Reinstatement Period(s) within fifteen (15) months of the Agreement start date.

6.8.0 **Communication Material:** Throughout the term of the Agreement, the Contractor must:

6.8.1 Develop customized Enrollee communications, subject to written approval by the Department for the Amnesty Period, the Eligibility Verification Period and the Appeal and Reinstatement Period(s). The communications must provide sufficient detail so the Enrollee can clearly identify;

6.8.1a Dependent children verified in the prior audit for whom eligibility does not need to be confirmed;

6.8.1b Dependent children added to coverage on or after February 1, 2009 for whom documentation must be submitted to verify coverage;

6.8.1c Spouse or Domestic Partner, regardless of the date the individual was added to coverage, for whom documentation must be submitted;

6.8.1d Dates by which documentation must be submitted; and

6.8.1e Termination date for Dependents deemed ineligible for coverage. The final letter must allow the Enrollee fourteen (14) Business Days for response prior to terminating the Dependent.

- 6.8.2** Send different Enrollee communications for different types of Dependents (i.e. Dependent child versus Spouse) and NYSHIP populations (NY versus Participating Agency (PA) or Participating Employer (PE));
 - 6.8.3** Mail sufficient Department approved Enrollee communication material to achieve the ROI guarantee as outlined in Section 6.11.0 of this Agreement;
 - 6.8.4** Use a dedicated P.O. Box or other address as approved by the Department as the return address for all Enrollee communications; and
 - 6.8.5** Acknowledge that the cost of all Project Services communication mailings (including postage) will be paid by the Contractor and will be considered by the Department as being included in the total Project Cost submitted by the Offeror.
- 6.9.0 Outgoing and Returned Mail Process:** Throughout the term of the Agreement, the Contractor must:
- 6.9.1** Conform to address labeling guidelines that will be provided by the Department that, at a minimum, will require the following:
 - 6.9.1a** The Contractor must use coding as provided in the enrollment file, Exhibit III.E, above the Enrollee address block on each mail piece. This coding will be used by the Contractor to route returned mail to agencies or DCS as appropriate for handling;
 - 6.9.1b** For all active Enrollees, as well as Retirees of PAs, the agency code and benefit program code will be used; and
 - 6.9.1c** For all other Retirees, a unique code, to be identified by the Department, will be used.
 - 6.9.2** Use USPS software as needed for simple address hygiene purposes. National Change of Address (NCOA) software may not be used as NYSHIP policy is that address changes must be requested by the Enrollee only;

- 6.9.3** Provide mailing samples during the Implementation Period for testing and Department approval before mailing to Enrollees. The Department will review and approve or deny within two (2) Business Days;
- 6.9.4** Provide a weekly file of returned mail, as outlined in Section 6.10.11 of this Agreement, to the Department; and
- 6.9.5** Accept one or more updated enrollment files, as outlined in Section 6.10.11 of this Agreement, containing corrected addresses, which the Contractor must load into their system within one (1) Business Day of receipt, should the Department determine such files are necessary.

6.10.0 Reporting: Throughout the term of the Agreement, the Contractor must:

- 6.10.1** Work with the Department to develop reports acceptable to the Department for the Amnesty Period, Eligibility Verification Period, and Appeal and Reinstatement Period(s), that include, but are not limited to, the measurement of the Contractor's response rates and outcomes, adherence to Agreement requirements, and measurement of performance guarantees. Reporting will be at intervals mutually agreed upon by the Department and the Contractor. Reporting, at a minimum, must cover:

- 6.10.1a Verification Status Summary Report** – to provide information on each letter mailed and received including number of letters mailed, number of responders, number of Amnesty Period requests, number of complete documentation received, number of incomplete documentation received, number of non-responders, number of returned mail, number of Appeals received, number of Appeals accepted, and number of Appeals rejected. The report will be required daily and may transition to weekly at the sole discretion of the Department;

- 6.10.1b Call Center Statistics** – report detailing each day's call center activity including, but not limited to, the number of calls received, telephone response rate, telephone abandonment rate, and

telephone blockage rate. The report will be required daily and may transition to weekly at the sole discretion of the Department;

- 6.10.1c Secure Online Portal Statistics** – weekly report providing information on the number of documents received daily and the percent (%) processed within three (3) Business Days and the percent (%) processed in five (5) Business Days;
- 6.10.1d Weekly Management Summary Report** – provide progress of the Project and milestones met;
- 6.10.1e Results File** – identifying Dependents to be terminated from coverage. A file will be required at the end of the Amnesty Period and at the end of each Phase of the Eligibility Verification Period. Refer to the “Results File Layout” tab in Exhibit III.E of this Agreement for the file layout;
- 6.10.1f Reinstatement File** – identifying those Dependents that were terminated during the audit and acceptable documentation is subsequently received prior to the completion of the DEA Project. The report will be required on a daily basis and must include all Reinstatements processed on the previous Business Day. Refer to “Reinstate File” tab in Exhibit III.E of this Agreement for the file layout;
- 6.10.1g Terminated and Deceased File** – a file shall be sent from the Department to the Contractor on a weekly basis after the Amnesty Period. The file will identify Enrollees and/or Dependents who have had coverage terminated or were identified as deceased after the initial population was identified for Amnesty. Refer to the “Term & Deceased File Layout” tab in Exhibit III.E of this Agreement for the file layout;
- 6.10.1h File of all Imaged Eligibility Documentation** – provide one (1) or more files of images of all eligibility documentation received, Enrollee correspondence received, and Contractor

communications to Enrollee. Report to be provided on a weekly basis. Refer to Exhibit III.G for the file layout;

6.10.1i Guarantee Report - summarizing the Contractor's compliance with all Agreement guarantees (with the exception of the ROI Guarantee, which will be calculated by the Department). This report is to be provided 30 Days after the conclusion of the DEA Project;

6.10.1j Final Project Report - summarizing DEA Project outcome and suggestions, including draft forms/documents, to improve the Department's management of Dependent eligibility. This report is to be provided 90 Days after the conclusion of the DEA Project;

6.10.1k Ad Hoc Reports – the Department may, on occasion, request ad hoc reports or other data analysis to monitor Project Services and contract compliance. The format, frequency, and due dates for such reports, if any, will be specified by the Department to the Contractor during the term of the Agreement; and

6.10.1l File of Returned Mail– provides a complete listing of mail returned to the Contractor due to incorrect addresses. The report will be required weekly at the discretion of the Department. Refer to the “Return Mail Layout” tab in Exhibit III.E of this Agreement.

6.11.0 Project Return on Investment (ROI): Throughout the term of the Agreement, the Contractor must:

6.11.1 Guarantee a return on investment of at least 3:1 (Total Savings of at least three times the Total Project Cost) for the Project including administration of the Amnesty Period, the Eligibility Verification Period and the Appeal and Reinstatement Period(s);

6.11.2 Total Savings will be calculated by the Department and will be based on the Plan (Empire, SEHP or HMO) the member is enrolled in at the time of the

audit. The Total Savings shall be calculated as follows (refer to Exhibit III.F of this Agreement for an example of the ROI Calculation):

6.11.2a For the Empire Plan and SEHP, the savings shall be calculated by the Department as the average annual paid claims amount per Dependent determined to be ineligible by the vendor multiplied by the number of Dependents disenrolled. The annual paid claims per Dependent shall be calculated by the Department as the claims paid for each Dependent determined ineligible for the period 2010-2014 divided by the number of months such Dependent was enrolled in the Plan during that period multiplied by 12.

PLUS

6.11.2b For HMO Dependents, annual savings calculated as the difference between Family and Individual 2014 Net Premium multiplied by the number of Family Policies that changed to Individual as a result of all Dependents being determined to not be eligible.

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6.11.2c Annual savings of Medicare Part B Premium reimbursement paid for Medicare Dependents determined not eligible by the Contractor based on the standard 2014 monthly Medicare Part B Premium amount.

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6.11.2d For Enrollees with a Family Policy who are participating in the Opt-Out Program, there will be an annual savings of \$2,000 in instances where all the Enrollee's Dependents are determined not eligible.

ARTICLE VII: PERFORMANCE GUARANTEES

7.1.0 The Parties agree that the following guarantees and the corresponding credit amounts for failure to meet the Contractor Performance Guarantees shall be implemented effective the first Day following a 60-Day Implementation Period. The Contractor acknowledges and agrees that failure to perform the Program Services features in such a manner which either meets or exceeds any, and/or all of the Contractor Performance Guarantee(s) as set forth in this Article VII, and/or fails to make any payment(s) of any such credit amounts for such failure to meet any Performance Guarantee(s) does not relieve the Contractor of the performance of the activities, duties, and obligations as

otherwise set forth in the Agreement. Credit amounts are cumulative. Amounts due from the Contractor to the Department for failure to perform and audit credit amounts, as determined pursuant to Article X of this Agreement, shall be made in such amounts as determined by the Department to be final. Upon such determination, the Department shall notify the Contractor, in writing, and the Contractor shall apply such amounts as a credit against the quoted fee in accordance with Article X of this Agreement within thirty (30) Days of receiving such notification by the Department.

7.2.0 Implementation and Start-up Guarantee and Credit Amount

7.2.1 Guarantee: The Contractor guarantees that all implementation and start-up activities listed in Section 6.3.0 of this Agreement will be in place on the Implementation Date.

7.2.2 Credit Amount: If the Contractor fails to complete all Implementation and start-up activities within the Implementation Period, the Contractor shall credit against the Project Fees \$1,250 per Day that the Contractor fails to assume full operational responsibility to the satisfaction of the Department.

7.3.0 Call Center Availability Guarantee and Credit Amount

7.3.1 Guarantee: The Contractor guarantees the call center toll-free telephone line will be operational and available to callers at least ninety-eight percent (98%) of the Contractor's Call Center Hours. The call center availability will be reported daily and may transition to weekly at the discretion of the Department, and calculated for the term of the Agreement.

7.3.2 Credit Amount: For each .01 to 1% below the standard of ninety-eight percent (98%) that the Contractor's toll-free telephone line is not operational and available to callers during the Contractor's Call Center Hours, the Contractor shall credit against the Project Fees the amount of \$10,000.

7.4.0 Call Center Telephone Response Time Guarantee and Credit Amount

7.4.1 Guarantee: The Contractor guarantees the call center toll-free telephone line will be answered by a call center representative within 45 seconds at least ninety percent (90%) of the time during the Contractor's Call Center Hours.

The call center response time will be reported daily and may transition to weekly at the discretion of the Department, and calculated for the term of the Agreement.

7.4.2 Credit Amount: For each .01 to 1% of incoming calls to the Contractor's telephone line below the standard of ninety percent (90%) that is not answered by a call center representative within 45 seconds, Contractor shall credit against the Project Fees the amount of \$10,000.

7.5.0 Telephone Abandonment Rate Guarantee and Credit Amount

7.5.1 Guarantee: The Contractor guarantees that incoming calls to the Contractor's call center toll-free telephone line in which the caller disconnects prior to the call being answered by a call center representative will not exceed the standard of three percent (3%) of total incoming calls. The call center telephone abandonment rate will be reported daily and may transition to weekly at the discretion of the Department, and calculated for the term of the Agreement.

7.5.2 Credit Amount: For each .01 to 1% of incoming calls to the Contractor's call center telephone line in which the caller disconnects prior to the call being answered by a call center representative in excess of the standard of three percent (3%) of total incoming calls, the Contractor shall credit against the Project Fees the amount of \$10,000.

7.6.0 Telephone Blockage Rate Guarantee and Credit Amount

7.6.1 Guarantee: The Contractor guarantees that incoming calls to the call center toll-free telephone line that are blocked by a busy signal shall not exceed the standard of one percent (1%) of total incoming calls. The call center telephone line blockage rate will be reported daily and may transition to weekly at the discretion of the Department, and calculated for the term of the Agreement.

7.6.2 Credit Amount: For each .01 to 1% of incoming calls to the call center toll-free telephone line that are blocked by a busy signal, in excess of the

standard of one percent (1%) of total incoming calls, the Contractor shall credit against the Project Fees the amount of \$10,000.

7.7.0 Secure Online Web Portal Guarantee and Credit Amount

7.7.1 Guarantee: The Contractor must guarantee that ninety-five percent (95%) of all documents submitted by Enrollees, regardless of method of submission, will be uploaded, processed and viewable on the Contractor's secure online web portal within three (3) Business Days of receipt and one-hundred percent (100%) will be uploaded, processed and viewable on the Contractor's secure online web portal within five (5) Business Days of receipt. The document processing time shall be reported weekly and calculated for the term of the Agreement.

7.7.2 Credit Amount: For each .01 to 1% below the standard of ninety-five percent (95%) of all documents received that are not uploaded, processed and viewable on the Contractor's secure online web portal within three (3) Business Days, the Contractor shall credit against the Project Fees the amount of \$10,000. Additionally for each .01 to 1% below the standard of one hundred percent (100%) of all documents received that are not uploaded, processed and viewable on the Contractor's secure online web portal within five (5) Business Days, the Contractor shall credit against the Project Fees the amount of \$10,000.

7.8.0 Amnesty Period, Eligibility Period, and Appeal and Reinstatement Period(s) Guarantee and Credit Amount

7.8.1 Guarantee: The Contractor must guarantee that all Amnesty Period and Eligibility Verification Period tasks will be completed within one (1) year of the Agreement start date and all Appeal and Reinstatement Period(s) tasks will be completed within fifteen (15) months of Agreement start date.

7.8.2 Credit Amount: For each month or partial month that all Amnesty Period and Eligibility Verification Period tasks are not completed within one (1) year of the Agreement start date and all Appeal and Reinstatement Period(s) tasks that are not completed within fifteen (15) months of the Agreement start date,

the Contractor shall credit four percent (4%) of the total Project Fees charged under the Agreement for all DEA Project Services.

7.9.0 Reporting Guarantee and Credit Amount

7.9.1 Guarantee: The Contractor must guarantee that accurate management reports as specified in Section 6.10.0 of this Agreement will be delivered to the Department no later than their respective due dates inclusive of the date of receipt and supply the reports in an electronic format (Microsoft Access, Excel, Word) as determined by the Department.

7.9.2 Credit Amount: For each management report that is not received by its respective due date, the Contractor shall credit against the Project Fees \$1,250 per report per each Business Day between the due date and the date the management report is received by the Department inclusive of the date of receipt.

7.10.0 Return on Investment Guarantee and Credit Amount

7.10.1 Guarantee: The Contractor must guarantee a ROI of at least 3:1 for the administration of the Amnesty Period and the Eligibility Verification Period: Total savings of at least three (3) times the total DEA Project cost. Total savings shall be calculated by the Department, as outlined in Section 6.11.0 of this Agreement, and shall be based on the Plan (Empire, SEHP or HMO) the member is enrolled in at the time of the audit.

7.10.2 Credit Amount: If total savings calculated by the Department is less than three (3) times the total DEA Project cost charged under the Agreement, the Contractor shall credit against the total Project Fees the difference between three (3) times the total DEA Project cost and actual total savings as calculated by the Department, not to exceed the total Project Fees charged under the Agreement.

ARTICLE VIII: MODIFICATION OF PROJECT SERVICES

8.1.0 In the event that laws or regulations enacted by the Federal government and/or the State have an impact upon the conduct of this Agreement in such a manner that the

Department determines that any design elements or requirements of this Agreement must be revised, the Department shall notify the Contractor of such revisions and shall provide the Contractor with a reasonable time within which to implement such revisions.

- 8.2.0** In the event that the State and the unions representing State Employees enter into collective bargaining agreements, or the State otherwise requires changes in Plan design elements or requirements the Department shall notify the Contractor of such revisions and shall provide the Contractor with a reasonable time within which to implement such revisions.
- 8.3.0** To the extent that any of the events as set forth in this Article shall take place and constitute a material and substantial change in the delivery of services that are contemplated in accordance with the terms of the DEA Project Services as of the Effective Date and which the Contractor is required to perform or deliver under this Agreement, either Party may submit a written request to initiate review of the fee(s) received by the Contractor for services provided and guarantees made by the Contractor under the terms of this Agreement, accompanied by appropriate documentation. The Department reserves the right to request, and the Contractor shall agree to provide additional information and documentation the Department deems necessary to verify that a modification of the fees or guarantees is warranted. The Department will agree to modify the fee(s) to the extent necessary to compensate the Contractor for documented additional costs determined by the Department to be reasonable and necessary. The Contractor will agree to modify the fee (s) to the extent necessary to relieve the Department of the obligation to pay for Project Services that are no longer required. The Department will agree to modify guarantees as determined by the Department to be necessary to reflect DEA Project Services modifications. Should the Parties agree to modify the fee(s) and/or guarantees, such approval shall be subject to written amendment and approval by OSC and the AG. The Contractor shall implement changes as required by the Department with or without final resolution of any fee proposal.
- 8.4.0** The Department or the Offeror may initiate negotiations to adjust the single quoted flat fee for the administration of the Amnesty Period and Eligibility Verification Period, in the event the actual referral of Family Policies is 10% less than or 10% greater than the Family Policies count at the time the IFB is released. Any agreement regarding any

changes in the proposed fee must be through amendment to the Contract as approved by the Office of the State Comptroller.

ARTICLE IX: DATA SHARING AND OWNERSHIP

- 9.1.0** All data related to the Department Program is the property of the State.
- 9.2.0** Except as directed by a court of competent jurisdiction, or as necessary to comply with applicable New York State or Federal law, or with the written consent of the Enrollee/Dependent, the Contractor shall not share, sell, release, or make the data available to third parties in any manner without the prior written consent of the Department.

ARTICLE X: PAYMENTS/ (CREDITS) TO/FROM THE CONTRACTOR

- 10.1.0** The Contractor agrees to manage such financial transactions in accordance with the following:
- 10.1.1** For Project Services rendered during the term of the Agreement, the sole and exclusive fees/expenses chargeable to and payable by the State under the Agreement will be those as quoted by the Contractor in Exhibit V-Cost Exhibit of this Agreement, as applicable;
- 10.1.2** Any credit amounts due from the Contractor to the Department for failure to meet the performance guarantees set forth in Article VII of this Agreement shall be applied as a credit against the Project Fees charged to the DEA Project Services. Alternatively, the Department may request and receive payment of any performance guarantee amount directly from the Contractor, as opposed to a credit against the Project Fees payable to the Contractor;
- 10.1.3** Ten percent (10%) of each invoice amount will be withheld from each quoted fee amount paid to the Contractor (Surety Withhold). The total of all Surety Withhold amounts withheld will be due to the Contractor upon the Department's written acceptance of the completed Project Services and submission of an accurate invoice by the Contractor. Should the Contractor's Project Services ultimately not be accepted by the Department, the Contractor will be considered in default of the Agreement and the Agreement

shall be subject to termination for cause. In such case of default, the Contractor shall forfeit all Surety Withhold amounts withheld, refund any monies paid to the Contractor during the DEA Project Services and forfeit its right to reimbursement by the Department of any and all costs incurred by the Contractor under the Agreement.

- 10.2.0** Upon submission of an accurate invoice, the Contractor shall be paid twenty percent (20%) of the total quoted fee for the Project forty five-days after the Implementation Date.
- 10.3.0** Upon submission of accurate invoices, the Contractor shall be paid the remaining quoted fee agreed upon with the Department according to the following schedule, which assumes the Project will take fifteen (15) months to complete:
- 10.3.1** Twenty percent (20%) of the total quoted fee ninety days after the Implementation Date;
- 10.3.2** Twenty percent (20%) of the quoted fee one hundred eighty days after the Implementation Date;
- 10.3.3** Twenty percent (20%) of the quoted fee two hundred seventy days after the Implementation Date;
- 10.3.4** The final twenty percent (20%) of the quoted fee, adjusted for any performance guarantee credits, will be paid sixty days after completion of the Project to the Department's satisfaction. In the event that the performance guarantee amounts due to the Department exceed the final payment due to the Contractor, the Department shall notify the Contractor, in writing, the amount due from the Contractor under this Agreement. Such amount shall be paid to the Department forty five days of the date of the letter; and
- 10.3.5** The Department reserves the right to adjust the payment schedule if the projected time to complete the project changes significantly.
- 10.4.0** Upon final audit determination by the Department, any audit liability amount assessed by the Department shall be paid/credited to the DEA Project Services 30 Days after the date of the Department's final determination; and

10.5.0 This Agreement is subject to Article XI-A of NYS Finance Law. The Contractor agrees that DEA Project Services provided under this Agreement shall continue in full force and effect for a minimum of at least 30 Days beyond the payment due date as set forth in this Article X. If after the 35th calendar day after receipt of an accurate invoice, as set forth in this Article X of this Agreement, the Contractor has not yet received payment from the State for said invoice, the Contractor may proceed under the Dispute Resolution provision in Appendix B and this Agreement shall remain in full force and effect until such final decision is made, unless the Parties can come to a mutual agreement, in which case, this Agreement shall also remain in full force and effect.

ARTICLE XI: REPORTS

11.1.0 Daily Reports/Files

- 11.1.1** Verification Status Summary Report – The Contractor must provide, in a format acceptable to the Department, a report detailing information on each letter mailed and received including number of letters mailed, number of responders, number of Amnesty Period requests, number of complete documentation received, number of incomplete documentation received, number of non-responders, number of returned mail, number of Appeals received, number of Appeals accepted, and number of Appeals rejected. The report will be required daily and may transition to weekly at the sole discretion of the Department;
- 11.1.2** Call Center Statistics – The Contractor must provide, in a format acceptable to the Department, a report detailing each day's call center activity including, but not limited to, the number of calls received, telephone response rate, telephone abandonment rate, and telephone blockage rate. The report will be required daily and may transition to weekly at the sole discretion of the Department; and
- 11.1.3** Reinstatement File – The Contractor must provide, in a format acceptable to the Department, a report identifying those Dependents that are terminated during the audit and acceptable documentation is subsequently received prior to the completion of the DEA Project. The report will be required on a daily

basis and must include all Reinstatements processed on the previous Business Day. Refer to “Reinstate File” tab in Exhibit III.E of this Agreement for the file layout.

11.2.0 Weekly Reports/Files:

- 11.2.1** Secure Online Portal Statistics – The Contractor must provide, in a format acceptable to the Department, a report detailing information on the number of documents received daily and the number and percent (%) processed within three (3) Business Days and the percent (%) processed within five (5) Business Days;
- 11.2.2** Weekly Management Summary Report – The Contractor must provide, in a format acceptable to the Department, a report detailing progress of the DEA Project and the milestones met;
- 11.2.3** File of all Imaged Eligibility Documentation – The Contractor must provide, in a format acceptable to the Department, one (1) or more files of images of all eligibility documentation received, Enrollee correspondence received, and Contractor communications to Enrollees. Refer to Exhibit III.G of this Agreement for the file layout;
- 11.2.4** File of Returned Mail – The Contractor must provide, in a format acceptable to the Department, a complete listing of mail returned to the Contractor due to incorrect addresses. Refer to the “Return Mail Layout” tab in Exhibit III.E of this Agreement for the layout; and
- 11.2.5** Terminated and Deceased File – The file shall be sent from the Department to the Contractor on a weekly basis after the Amnesty Period and will identify Enrollees and/or Dependents who have had coverage terminated or were identified as deceased after the initial population was identified for Amnesty. Refer to the “Term and Deceased File Layout” tab in Exhibit III.E of this Agreement for a file layout.

11.3.0 Final/Other Frequencies Reports/Files:

- 11.3.1** Results File – The Contractor must provide, in a format acceptable to the Department, a report identifying Dependents to be terminated from coverage. A file will be required at the end of the Amnesty Period and the end of each Phase of the Eligibility Verification Period. Refer to the “Results File Layout” in Exhibit III.E of this Agreement for the file layout;
- 11.3.2** Ad Hoc Reports – The Contractor must provide, in a format acceptable to the Department, ad hoc reports or other data analysis to monitor Project Services and contract compliance. The format, frequency, and due dates for such reports, if any, will be specified by the Department to the Contractor during the term of the Agreement;
- 11.3.3** Guarantee Report – The Contractor must provide, in a format acceptable to the Department, a report summarizing the Contractor’s compliance with all Agreement guarantees (with the exception of the ROI Guarantee, which will be calculated by the Department) This report is to be provided 30 Days after the conclusion of the DEA Project; and
- 11.3.4** Final Project Report – The Contractor must provide, in a format acceptable to the Department, a report summarizing the DEA Project outcome and suggestions to improve the Department’s management of Dependent eligibility. This report is to be provided 90 Days after the conclusion of the DEA Project Services

ARTICLE XII: TERMINATION

In addition to the termination provisions specified in Appendices A and B to this Agreement, the following provisions shall apply:

- 12.1.0** The State retains the right to cancel this Agreement without cause and in its sole discretion, provided that the Department shall give written notice to the Contractor not less than thirty (30) Days prior to the date upon which termination shall become effective, such notice to be made via registered or certified mail, return receipt requested or hand delivered. The date of such notice shall be deemed to be the date of postmark in the case of mail or the date of hand delivery. This provision should not

be understood as waiving the State's right to terminate this Agreement for cause or to stop work immediately for unsatisfactory work, but is supplementary to that provision.

12.2.0 If the Contractor ceases conducting business in the normal course, becomes insolvent, makes a general assignment for the benefit of creditors, suffers or permits the appointment of a receiver for its business or assets, or avails itself of or becomes subject to any proceeding under the Federal Bankruptcy Act or any statute of any state relating to insolvency or the protection of rights of creditors, the State, in its sole discretion, may terminate this Agreement for cause or may exercise such other remedies as shall be available under this Agreement, at law and/or equity.

12.3.0 No delay or omission to exercise any right, power or remedy accruing to the State or DCS upon breach or default by the Contractor under this Agreement shall impair any such right, power or remedy, or shall be construed as a waiver of any such breach or default, or any similar breach or default thereafter occurring, nor shall any waiver of a single breach or default be deemed a waiver of any subsequent breach or default. All waivers must be in writing.

12.4.0 In the event of the Contractor's default, in addition to availing itself of specific remedies set forth in this Agreement, the State may pursue all legal and equitable remedies for breach. In addition to pursuing any other legal or equitable remedies, the State shall have the right to take one or more of the following actions:

- 1) Terminate this Agreement in whole or in part;
- 2) Suspend, in whole or in part, payments due Contractor under this Agreement;
and
- 3) Pursue equitable remedies to compel Contractor to perform.

The Contractor shall be liable for any and all excess costs for remedies pursued by the State, and for costs incurred by the State in procuring alternate Services.

12.5.0 For Violation of Procurement Lobbying Law. DCS reserves the right to terminate this Agreement for cause in the event it is determined by DCS in its sole discretion that the certification filed by the Contractor in accordance with §139-j and/or §139-k of the New York State Finance Law was intentionally false or intentionally incomplete. Upon such finding, DCS may, at its sole option, exercise its termination right by providing ten (10)

days written notification to the Contractor, or providing notice in accordance with other written notification terms in this Agreement.

- 12.6.0** For Violation of Section 5-a of the Tax Law. DCS reserves the right to terminate this Agreement for cause in the event that Contractor fails to file a certification pursuant to section 5-a of the Tax Law or the Tax Department or OFT discovers that the certification(s) filed by the Contractor pursuant to section 5-a of the Tax Law is/are false. Upon such finding(s), DCS may exercise its termination right by providing written notification to the Contractor.
- 12.7.0** Termination Notice. Notices required by this section shall be provided consistent with Article 9 of Appendix B and Article VIII.
- 12.8.0** Mitigation of Costs. The Contractor shall not undertake any additional or new contractual obligations on or after the date of return receipt notice without the prior written approval of the State. On or after the date of return receipt notice and during the termination notice period, the Contractor shall take all commercially reasonable and prudent actions to close out unnecessary outstanding, existing obligations as economically as possible for the State.

ARTICLE XIII: TRANSITION

- 13.1.0** The State may require the Contractor to provide uninterrupted Project Services after Agreement termination/expiration as the State deems reasonable and necessary and/or as necessary for the State to comply with all legal requirements for establishing a new contract to continue the provision of Project Services ("Transition Period"). Transition Services, as defined below, shall be governed as follows:
- 13.1.1** Transition Period. The transition period shall be determined by the State, and Contractor will be notified of the period in writing. The State shall consult with the Contractor prior to making such determination. The State reserves the right to subsequently amend the transition period upon 30 Days advance written notice to the Contractor.
- 13.1.2** Transition Plan. The Contractor must, 120 Days prior to the end of this Agreement, or if this Agreement is terminated prior to the end of its term, within (45) Days of notification of termination, provide the Department with a

detailed written plan for transition which outlines, at a minimum, the tasks, milestones and deliverables associated with Project transition.

13.1.2a Within 15 Business Days from receipt of the Contractor's proposed Transition Plan, the Department shall either approve the Transition Plan or notify the Contractor, in writing, of the changes required to the Transition Plan so as to make it acceptable to the Department.

13.1.2b Within 15 Business Days from the Contractor's receipt of the required changes, the Contractor shall incorporate said changes into the Transition Plan and submit such revised Transition Plan to the Department.

13.1.2c The Contractor shall be responsible for transitioning the DEA Project Services in accordance with the approved Transition Plan.

13.1.2d The Contractor is required to provide Contractor-related obligations and deliverables to the Department through the final financial settlement of this Agreement, including but not limited to:

13.1.2d(1) Provide all Contractor-provided DEA Project Services received on or before the scheduled termination date of this Agreement; as well as for an additional 60 Days to ensure that payments sent in error will be processed, deposited and posted to enrollee/agency accounts in an accurate and timely manner;

13.1.2d(2) Complete all reports required in Article XI of this Agreement;

13.1.2d(3) Provide the DEA Project Services with sufficient staffing in order to address State audit requests and reports in a timely manner;

13.1.2d(4) Agree to fully cooperate with all Department or Office of State Comptroller (OSC) audits consistent with the

requirements of Article XIV "Audit Authority" of this Agreement and Appendices A and B.

13.1.2d(5) Perform timely reviews and responses to audit findings submitted by the Department and Comptroller's audit unit in accordance with the requirements set forth in Article XVII "Audit Authority" of this Agreement and Appendices A and B; and

13.1.2d(6) Remit reimbursement due the DEA Project Services within 15 Days upon final audit determination consistent with the process specified in Article XIV, "Audit Authority" and Article X "Payments/(Credits) To/From the Contractor" of this Agreement and Appendices A and B.

13.1.3 **No Interruption in Service:** At all times during the transition period and unless directed otherwise in writing by the State, the Contractor shall continue all contractual obligations set forth in this Agreement until such time as the State (i) has approved the Contractor's proposed Transition Plan, and (ii) an orderly transition to the State, a third party, or the successor Contractor has been completed pursuant to the approved Transition Plan. The Contractor has been completed pursuant to the approved Transition Plan. The Contractor shall be required to meet its contractual obligations pursuant to this paragraph notwithstanding the issuance of a termination for cause or convenience by the State.

13.1.4 **State Responsibilities for Transition:** The State shall assume responsibility for Transition Program management. A Program manager responsible for coordinating Transition activities, maintaining the Transition task schedule, and approving Transition deliverables shall be appointed.

13.1.5 **Compensation for Transition Services:** Contractor shall be reimbursed for Transition Services performed during the Transition Period at the rates set forth in the Agreement.

ARTICLE XIV: AUDIT AUTHORITY

- 14.1.0** In addition to the Audit Authority requirements specified in Appendices A and B to this Agreement, the Contractor acknowledges that the Department has the authority to conduct financial and performance audits of the Contractor's delivery of Project services in accordance with this Agreement and any applicable State and federal statutory and regulatory authorities;
- 14.2.0** The Contractor shall maintain and make available documentary evidence necessary to perform the reviews. Documentation maintained and made available by the Contractor may include, but is not limited to: source documents; books of account; subsidiary records and supporting work papers; pertinent contracts; key subcontracts; and correspondence;
- 14.3.0** The Contractor shall make available for audit all data in its computerized files that is relevant to and subject to this Agreement. Such data may, at the Department's discretion, be submitted to the Department in machine-readable format, or the data may be extracted by the Department, or by the Contractor under the direction of the Department;
- 14.4.0** The Contractor shall support audits conducted by the Department, Office of the State Comptroller or any designee of these agencies, as follows, including but not limited to:
- 14.4.1** Providing ample audit resources including access to the Contractor's online system to the Department and OSC at their respective offices through the date of the final financial settlement of this Agreement;
- 14.4.2** Providing full cooperation with all Department and/or OSC audits consistent with the requirements of Appendices A and B and as set forth in this Agreement including provision of access to all confidential information when required for audit purposes as determined by the Department and/or OSC as appropriate. The Contractor must respond to all State (including OSC) audit requests for information and/or clarification within 15 Business Days. The Contractor must perform timely reviews and respond in a time period specified by the Department to preliminary findings submitted by the

Department or the OSC's audit unit in accordance with the requirements of Article XIV "Audit Authority" in this Agreement.

- 14.5.0** The Contractor shall, at the Department's request, and in a time period specified by the Department, search its files, retrieve information and records, and provide to the auditors such documentary evidence as they require. The Contractor shall make sufficient resources available for the efficient performance of audit procedures;
- 14.6.0** The Contractor shall comment on the contents of any audit report prepared by the Department and transmit such comments in writing to the Department within 30 Days of receiving any audit report. The response will specifically address each audit recommendation. If the Contractor agrees with the recommendation, the response will include a work plan and timetable to implement the recommendation. If the Contractor disagrees with an audit recommendation, the response will give all details and reasons for such disagreement. Resolution of any disagreement as to the resolution of an audit recommendation shall be subject to the Dispute Resolution provision set forth in Appendix B of this Agreement;
- 14.7.0** If the Contractor has an independent audit performed of the records relating to this Agreement, a certified copy of the audit report shall be provided to the Department within 10 Days after receipt of such audit report by the Contractor; and
- 14.8.0** The audit provisions contained herein shall in no way be construed to limit the audit authority or audit scope of the OSC as set forth in either Appendix A of this Agreement, Standard Clauses for All New York State Contracts, or Appendix B, Standard Clauses for All Department Contracts.

ARTICLE XV: CONFIDENTIALITY

- 15.1.0** In addition to the Confidentiality requirements specified in Appendices A and B to this Agreement, the following provisions shall apply:
- 15.1.1** All enrollee records relating to this Agreement are confidential and shall be used by the Contractor solely for the purpose of carrying out its obligations under this Agreement, for measuring the performance of the Contractor in accordance with the performance guarantees set forth in Section VII of this

Agreement, and for providing the Department with material and information as may be specified elsewhere in this Agreement;

- 15.1.2** Except as directed by a court of competent jurisdiction, or as necessary to comply with applicable New York State or Federal law, or with the written consent of the Enrollee/Dependent, no records may be otherwise used or released to any party other than the Department by the Contractor, its officers, employees, agents, consultants, Key Subcontractors or Affiliates either during the term of this Agreement or in perpetuity thereafter. Deliberate or repeated accidental breach of this provision may, at the sole discretion of the Department, be grounds for termination of this Agreement;
- 15.1.3** The Contractor, its officers, employees, agents, consultants and/or any Key Subcontractors or Affiliates agree to comply, during the performance of this Agreement, with all applicable Federal and State privacy, security and confidentiality statutes, including but not limited to the Personal Privacy Protection Law (New York Public Officer's Law Article 6-A, as amended), and its implementing regulations, policies and requirements, for all material and information obtained by the Contractor through its performance under this Agreement, with particular emphasis on such information relating to Enrollees and Dependents;
- 15.1.4** The Contractor shall be responsible for assuring that any agreement between the Contractor and any of its officers, employees, agents, consultants and/or Key Subcontractors or Affiliates contains a provision that strictly conforms to the various confidentiality provisions of this Agreement; and
- 15.1.5** The Contractor shall promptly advise the Department of all requests made to the Contractor for information regarding the performance of services under this Agreement, including, but not limited to, requests for any material and information provided by the Department, except as required by Key Subcontractors or Affiliates solely for the purpose of fulfilling the Contractor's obligations under this Agreement or as required by law.

ARTICLE XVI: USE AND DISCLOSURE OF PROTECTED HEALTH INFORMATION

- 16.1.0** For purposes of this Article, the term “Protected Health Information” (“PHI”) means any information, including demographic information collected from an individual, that relates to the past, present, or future physical or mental health or condition of an individual, to the provision of health care to an individual, or to the past, present, or future payment for the provision of health care to an individual, that identifies the individual, or with respect to which there is a reasonable basis to believe that the information can be used to identify the individual. Within the context of this Agreement, PHI may be received by the Contractor from the Department or may be created or received by the Contractor on behalf of the Department in Contractor’s capacity as a business associate. All PHI received or created by the Contractor in Contractor’s capacity as a business associate and as a consequence of its performance under this Agreement is referred to herein collectively as “Department’s PHI.”
- 16.2.0** The Contractor acknowledges that the Department administers on behalf of New York State several group health plans as that term is defined in the Health Insurance Portability and Accountability Act’s (HIPAA) implementing regulations at 45 CFR Parts 160 and 164, and that each of those group health plans consequently is a “covered entity” under HIPAA. These group health plans include NYSHIP, which encompasses the Empire Plan as well as participating health maintenance organizations; the Dental Plan, and the Vision Plan. In this capacity, the Department is responsible for the administration of these “covered entities” under HIPAA. The Contractor further acknowledges that the Department has designated NYSHIP and The Empire Plan as an Organized Health Care Arrangement (OHCA). The Contractor further acknowledges that the Contractor is a HIPAA “business associate” of the Department as a consequence of the Contractor’s provision of services to and/or on behalf of the Department as administrator of the “covered entities” within the context of the Contractor’s performance under this Agreement, and that the Contractor’s provision of such services may involve the disclosure to the Contractor of individually identifiable health information from the Department or from other parties on behalf of the Department, and also may involve the Contractor’s disclosure to the Department of individually identifiable health information as a consequence of the services performed under this Agreement. To the extent Contractor acts as a HIPAA “business associate” of the group health plans identified as “covered entities” in this Section 16.2.0, Contractor shall adhere to the requirements as set forth in Article XV of this Agreement.

16.3.0 Permitted Uses and Disclosures of the Department's PHI: The Contractor may create, receive, maintain, access, transmit, use and/or disclose the Department's PHI solely in accordance with the terms of this Agreement. In addition, the Contractor may use and/or disclose NYSHIP's PHI to provide data aggregation services relating to the health care operations of the Department. Further, the Contractor may use and disclose NYSHIP's PHI for the proper management and administration of the Contractor if such use is necessary for the Contractor's proper management and administration or to carry out the Contractor's legal responsibilities, or if such disclosure is required by law or the Contractor obtains reasonable assurances from the person to whom the information is disclosed that it shall be held confidentially and used or further disclosed only as required by law or for the purpose for which it was disclosed to the person, and the person notifies the Contractor of any instances of which it is aware in which the confidentiality of the information has been breached.

16.4.0 Nondisclosure of NYSHIP's PHI: The Contractor shall not create, receive, maintain, access, transmit, use or further disclose the NYSHIP's PHI otherwise than as permitted or required by this Agreement or as otherwise required by law. The Contractor shall limit its uses and disclosures of PHI when practical to the information comprising a Limited Data Set, and in all other cases to the minimum necessary to accomplish the intended purpose of the PHI's access, use, or disclosure.

16.5.0 Safeguards: The Contractor shall use appropriate, documented safeguards to prevent the use or disclosure of NYSHIP's PHI otherwise than as provided for by this Agreement. The Contractor shall maintain a comprehensive written information security program that includes administrative, technical, and physical safeguards that satisfy the standards set forth in the HIPAA Security Rule at 45 C.F.R. §§ 164.308, 164.310, and 164.312, along with corresponding policies and procedures, as required by 45 C.F.R. § 164.316, appropriate to the size and complexity of the Contractor's operations and the nature and scope of its activities, to reasonably and appropriately protect the confidentiality, integrity and availability of any electronic PHI that it creates, receives, maintains accesses, or that it transmits on behalf of the Department pursuant to this Agreement to the same extent that such electronic PHI would have to be safeguarded if credited, received, maintained, accessed or transmitted by a group health plan identified herein.

16.6.0 Breach Notification

16.6.1 Reporting: The Contractor shall report to the Department any breach of unsecured PHI, including any use or disclosure of NYSHIP's PHI otherwise than as provided for by this Agreement, of which the Contractor becomes aware. An acquisition, access, transmission, use or disclosure of NYSHIP's PHI that is unsecured in a manner not permitted by HIPAA or this Agreement is presumed to be a breach unless the Contractor demonstrates that there is a low probability that NYSHIP's PHI has been compromised based on the Contractor's risk assessment of at least the following factors: (i) the nature and extent of NYSHIP's PHI involved, including the types of identifiers and the likelihood of re-identification; (ii) the unauthorized person who used NYSHIP's PHI or to whom the disclosure was made; (iii) the unauthorized person who used NYSHIP's PHI was actually acquired or viewed; and (iv) the extent to which the risk to NYSHIP's PHI has been mitigated. Further, the Contractor shall report to the Department any security incident of which it becomes aware subject to Section 16.6.5. "Security incident" shall mean the attempted or successful unauthorized access, use, disclosure, modification, or destruction of information, or interference with system operations in an information system. The Contractor shall notify the Department within 5 (five) Business Days of the date the Contractor becomes aware of the event for which reporting is required by this Section 16.6.1.

16.6.2 Required Information: The Contractor shall provide the following information to the Department within 10 Business Days of discovery except when, despite all reasonable efforts by the Contractor to obtain the information required, circumstances beyond the control of the Contractor necessitate additional time. Under such circumstances, the Contractor shall provide to the Department the following information as soon as possible and without unreasonable delay, but in no event later than 30 Days from the date of discovery:

16.6.2a The date of the breach incident;

16.6.2b The date of the discovery of the breach;

16.6.2c A brief description of what happened;

- 16.6.2d** A description of the types of unsecured PHI that were involved;
 - 16.6.2e** Identification of each individual whose unsecured PHI has been, or is reasonably believed to have been, accessed, acquired, or disclosed during the breach;
 - 16.6.2f** A brief description of what the Contractor is doing to investigate the breach, to mitigate harm to individuals and to protect against any further breaches; and
 - 16.6.2g** Any other details necessary to complete an assessment of the risk of harm to the individual.
- 16.6.3** The Department will be responsible for providing notification to individuals whose unsecured PHI has been or is reasonably believed to have been accessed, acquired or disclosed as a result of a breach, as well as the Secretary of the U.S. Department of Health and Human Services and the media, as required by 45 CFR Part 164.
- 16.6.4** The Contractor shall maintain procedures to sufficiently investigate the breach, mitigate losses, and protect against any future breaches, and to provide a description of these procedures and the specific findings of the investigation to the Department upon request.
- 16.6.5** For purposes of this Agreement, “Unsuccessful Security Incidents” include activity such as pings and other broadcast attacks on Business Associate’s firewall, port scans, unsuccessful log-on attempts, denials of service, and any combination of the above, so long as no such incident results in unauthorized access, use, or disclosure of electronic PHI.
- 16.6.6** The Contractor shall mitigate, to the extent practicable, any harmful effects from any use or disclosure of PHI by the Contractor not permitted by this Agreement.
- 16.7.0 Associate’s Agents:** The Contractor shall require all of its agents or key Subcontractors to whom it provides NYSHIP’s PHI, whether received from the Department or created or received by the Contractor on behalf of the Department, agree by way of written contract

or other written arrangement, to the same restrictions and conditions on the access, use, and disclosure of PHI that apply to the Contractor with respect to NYSHIP's PHI under this Agreement.

16.8.0 Availability of Information to the Department: The Contractor shall make available to the Department such information and documentation as the Department may require regarding any disclosures of PHI by the Contractor to fulfill the Department's obligations to provide access to, to provide a copy of, and to account for disclosures of NYSHIP's PHI in accordance with HIPAA and its implementing regulations. The Contractor shall provide such information and documentation within a reasonable amount of time of its receipt of the request from the Department. Contractor must provide the Department with access to NYSHIP's PHI in the form and format requested, if it is readily producible in such form and format; or if not, in a readable hard copy form or such other form and format as agreed to by the Parties, provided, however, that if NYSHIP's PHI that is the subject of the request for access is maintained in one or more designated record sets electronically and if requested by the Department, Contractor must provide the Department with access to the requested PHI in a readable electronic form and format.

16.9.0 Amendment NYSHIP's PHI: The Contractor shall make NYSHIP's PHI available to the Department as the Department may require to fulfill the Department's obligations to amend individuals' PHI pursuant to HIPAA and its implementing regulations. The Contractor shall, as directed by the Department, incorporate any amendments to NYSHIP's PHI into copies of NYSHIP's PHI as maintained by the Contractor.

16.10.0 Internal Practices: The Contractor shall make its internal practices, policies and procedures, books, records, and agreements relating to the use and disclosure of NYSHIP's PHI, whether received from the Department or created or received by the Contractor on behalf of the Department, available to Department and/or the Secretary of the U.S. Department of Health and Human Services in a time and manner designated by the Department and/or the Secretary for purposes of determining the Department's compliance with HIPAA and its implementing regulations.

16.11.0 Termination:

16.11.1 This Agreement may be terminated by the Department at the Department's discretion if the Department determines that the Contractor, as a business

associate, has violated a material term of this Article or of this Agreement with respect to the Contractor's obligations under this Article.

16.11.2 Disposition of NYSHIP's PHI: At the time this Agreement is terminated, the Contractor shall, if feasible, return or destroy all of NYSHIP's PHI, whether received from the Department or created or received by the Contractor on behalf of the Department, that the Contractor still maintains in any form and retain no copies of such information. Alternatively, if such return or destruction is not feasible, the Contractor shall extend indefinitely the protections of this Agreement to the information and shall limit further uses and disclosures to those purposes that make the return or destruction of NYSHIP's PHI infeasible.

16.12.0 Indemnification: The Contractor agrees to indemnify, defend and hold harmless the State the group health plans identified herein, and the Department and its respective employees, officers, agents or other members of its workforce (each of the foregoing hereinafter referred to as "Indemnified Party") against all actual and direct losses suffered by the Indemnified Party and all liability to third parties arising from or in connection with any breach of this Agreement or from any acts or omissions related to this Agreement by the Contractor or its employees, officers, key Subcontractors, agents or other members of its workforce. Accordingly, the Contractor shall reimburse any Indemnified Party for any and all actual and direct losses, liabilities, lost profits, fines, penalties, costs or expenses (including reasonable attorneys' fees) which may for any reason be imposed upon any Indemnified Party by reason of any suit, claim, action, proceeding or demand by any third party which results from the Contractor's acts or omissions hereunder. The Contractor's obligation to indemnify any Indemnified Party shall survive the expiration or termination of this Agreement.

16.13.0 Miscellaneous:

16.13.1 Amendments: This Agreement may not be modified, nor shall any provision hereof be waived or amended, except in a writing duly signed by authorized representatives of the Parties and approved by the NYS Attorney General's Office and NYS Office of the State Comptroller. The Parties agree to take such action as is necessary to amend this Agreement from time to time as is necessary to achieve and maintain compliance with the requirements of HIPAA and its implementing regulations.

16.13.2 Survival: The respective rights and obligations of the Business Associate and the covered entities under HIPAA as set forth in this Article XV shall survive termination of this Agreement.

16.13.3 Regulatory References: Any reference herein to a federal regulatory section within the Code of Federal Regulations shall be a reference to such section as it may be subsequently updated, amended or modified, as of their respective compliance dates.

16.13.4 Interpretation: Any ambiguity in this Agreement shall be resolved to permit covered entities to comply with HIPAA.

ARTICLE XVII NOTICES:

17.1.0 All notices permitted or required hereunder shall be in writing and shall be transmitted either:

17.1.1 Via certified or registered United States mail, return receipt requested;

17.1.2 By facsimile transmission;

17.1.3 By personal delivery;

17.1.4 By expedited delivery service; or

17.1.5 By e-mail.

17.2.0 Such notices shall be addressed as follows or to such different addresses as the Parties may from time-to-time designate:

State of New York Department of Civil Service

Name: Mr. David Boland
 Title: Director, Employee Benefits Division
 Address: EBD, Room 1106, Albany, NY 12239
 Telephone Number: 518-473-1977
 Facsimile Number: 518-473-3292
 E-Mail Address: David.Boland@cs.ny.gov

Contractor

Name: (TBD)
 Title: (TBD)
 Address: (TBD)
 Telephone Number: (TBD)
 Facsimile Number: (TBD)
 E-Mail Address: (TBD)

- 17.3.0** Any such notice shall be deemed to have been given either at the time of personal delivery or, in the case of expedited delivery service or certified or registered United States mail, as of the date of first attempted delivery at the address and in the manner provided herein, or in the case of facsimile transmission or email, upon receipt.
- 17.4.0** The Parties may, from time to time, specify any new or different address in the United States as their address for purpose of receiving notice under this Agreement by giving fifteen (15) Days written notice to the other Party sent in accordance herewith. The Parties agree to mutually designate individuals as their respective representatives for the purposes of receiving notices under this Agreement. Additional individuals may be designated in writing by the Parties for purposes of implementation and administration/ billing, resolving issues and problems and/or for dispute resolution.

ARTICLE XVIII: IRAN DIVESTMENT ACT

- 18.1.0** As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL), § 165-a, effective April 12, 2012. Under the Act, the Commissioner of the Office of General Services (OGS) developed and maintains a list (prohibited entities list) of “persons” who are engaged in “investment activities in Iran” (both are defined terms in the law). Pursuant to SFL § 165-a(3)(b), the initial list was posted on the OGS website on August 10, 2012.
- 18.2.0** By entering into this Agreement, Contractor (or any assignee) certifies that it is not on the “Entities Determined To Be Non-Responsive Bidders/Offerors Pursuant to The New York State Iran Divestment Act of 2012” list (“Prohibited Entities List”) posted on the OGS website at <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> and further certifies that it will not utilize on this Agreement any subcontractor that is identified on the Prohibited Entities List. Contractor agrees that should it seek to renew or extend the Agreement, it must provide the same certification at the time this Agreement is renewed or extended. Contractor also agrees that any proposed Assignee of this Agreement will be required to certify that it is not on the Prohibited Entities List before the Department may approve a request for Assignment of this Agreement.

- 18.3.0** During the term of the Agreement, should the Department receive information that a person (as defined in State Finance Law 165-a) is in violation of the above-referenced certification, the Department 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 which is in violation of the Act within 90 Days after the determination of such violation, then the Department shall take such action as may be appropriate including, but not limited to seeking compliance, recovering damages, or declaring the Contractor in default.
- 18.4.0** The Department reserves the right to reject any request for renewal, extension or assignment for an entity that appears on the Prohibited Entities List prior to the renewal, extension or assignment of this Agreement, and pursue a responsibility review with Contractor should it appear on the Prohibited Entities List hereafter.

ARTICLE XIX: RESPONSIBILITY TERMS

- 19.1.0** The Contractor is required to provide the Department with an updated Vendor Responsibility Questionnaire when requested to do so by the Department throughout the term of the Agreement. Regardless, the Contractor is required to report to the Department any material changes in the information reported in its initial Vendor Responsibility Questionnaire.
- 19.2.0** The Contractor shall at all times during the Agreement term remain responsible. The Contractor agrees, if requested by the Commissioner of the Department 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.
- 19.3.0** Suspension of Work (for Non-Responsibility): The Commissioner or his or her designee, in his or her sole discretion, reserves the right to suspend any or all activities under this Agreement, 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. Agreement activity may resume at such time as the

Commissioner or his or her designee issues a written notice authorizing a resumption of performance under the Agreement.

- 19.4.0** Termination (for Non-Responsibility): Upon written notice to the Contractor, and a reasonable opportunity to be heard with appropriate Department officials or staff, the Agreement may be terminated by the Commissioner or his or her designee at the Contractor's expense where the Contractor is determined by the Commissioner 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.

(The rest of this page has been intentionally left blank)

IN WITNESS WHEREOF, the Parties hereto have hereunto signed this AGREEMENT on the day and year appearing opposite their respective signatures.

Agency Code: 08000
Agreement Number: C000XXX

Agency Certification: "In addition to the acceptance of this Agreement, I also certify that original copies of this signature page will be attached to all exact copies of this Agreement."

NEW YORK STATE
DEPARTMENT OF CIVIL SERVICE

CONTRACTOR
[Insert Name of Contractor]

Deirdre Taylor
DEPUTY COMMISSIONER

By: _____
Date: _____

By: _____
Name: _____
Title _____
Date: _____

INDIVIDUAL, CORPORATE OR PARTNERSHIP ACKNOWLEDGMENT

STATE OF _____ }
 : **SS.:**
COUNTY OF _____ }

On the ____ day of _____ in the year 20__, before me personally appeared: _____, known to me to be the person who executed the foregoing instrument, who, being duly sworn by me did depose and say that he resides at _____, Town of _____, County of _____, State of _____; and further that:

[Check One, as applicable]

(**If a corporation:** he is the _____ of _____, the corporation described in said instrument; that, by authority of the Board of Directors of said corporation, he is authorized to execute the foregoing instrument on behalf of the corporation for purposes set forth therein; and that, pursuant to that authority, he executed the foregoing instrument in the name of and on behalf of said corporation as the act and deed of said corporation.

(**If a partnership:** he is the _____ of _____, the partnership described in said instrument; that, by the terms of said partnership, he is authorized to execute the foregoing instrument on behalf of the partnership for the purposes set forth therein; and that, pursuant to that authority, he executed the foregoing instrument in the name and on behalf of said partnership as the act and deed of said partnership.

Notary Public

Approved as to form:

ERIC SCHNEIDERMAN
ATTORNEY GENERAL

By: _____
Date: _____

Approved:

THOMAS P. DINAPOLI
STATE COMPTROLLER

By: _____
Date: _____

SECTION VIII: GLOSSARY OF TERMS

Affiliate means a person or organization which, through stock ownership or any other affiliation, directly, indirectly, or constructively controls another person or organization, is controlled by another person or organization, or is, along with another person or organization, under the control of a common parent.

AG means the New York State Attorney General's Office.

Agreement or Contract means the Agreement entered into between the Parties resultant from this IFB.

Amnesty Period means a specified period, not to exceed sixty Days, when any Enrollee with a Family Policy who participates in NYSHIP voluntarily identifies any ineligible Dependents.

Appeal means a request that is submitted by the Enrollee with required supporting documentation providing evidence of Dependent eligibility.

Appeal and Reinstatement Period(s) means the 90-Day period following each Phase of the Eligibility Verification Period during which the Contractor reviews Appeals for Reinstatement of coverage for Dependents terminated as a result of the DEA Project Services and makes a determination as to whether such Reinstatement is appropriate. Each Appeal and Reinstatement Period will commence seven (7) Days after the Contractor submits an accurate termination file to DCS for each Phase in the Eligibility Verification Period. The Contractor must send Reinstatement files to DCS during the Appeal and Reinstatement Period on a weekly basis identifying Dependents whose eligibility should be reinstated as a result of the Appeal determination.

Business Day(s) means Monday through Friday, except for days designated as Business Holidays.

Business Holiday(s) means legal Holidays observed by the State.

Call Center Hours means between the hours of 8:00 a.m. until 8:00 p.m. ET, Monday through Friday.

Commissioner means the Commissioner of the New York State Department of Civil Service.

Contract Effective Date means the date that the Agreement is approved by the New York State Office of the State Comptroller resultant from this IFB.

Contractor means the successful Offeror selected as a result of the evaluation of Offeror's Proposals submitted in response to this IFB and who executes a Contract with the Department to provide Project Services.

CSL means New York State Civil Service Law.

Day(s) means calendar days unless otherwise noted.

DEA Project or Project Services means the entire scope of services to be provided by the Contractor pursuant to the terms and conditions of the Agreement that results from this IFB.

Department or DCS means the New York State Department of Civil Service.

Dependent means the Spouse, Domestic Partner, and children under twenty-six (26) years of age of an Enrollee. Dependent children age twenty-six (26) or over are also eligible if they are full-time students with military service or they are incapable of supporting themselves due to mental or physical disability acquired before termination of their eligibility for coverage under the New York State Health Insurance Program.

Dependent Survivor means a spouse who has not remarried, a Dependent child(ren) who meets eligibility requirements, or a Domestic Partner who has not married or acquired a new Domestic Partner, of an Enrollee who died after having had at least ten (10) years of service, who was covered as a Dependent of the deceased Enrollee at the time of the Enrollee's death and who elects to continue coverage under NYSHIP following the three (3) month extended benefits period.

DOB means the New York State Division of the Budget.

Domestic Partner means a Dependent who is eighteen years of age or older, and both the Enrollee and Dependent have been in a partnership for at least six (6) months, are both unmarried (proof of divorce decrees required, if applicable), are not related in a way that would bar marriage, have shared the same residence and have been financially interdependent for at least six months, and have an exclusive mutual commitment (which is expected to last indefinitely) to share responsibility for each other's welfare and financial obligations. When

applicable, new Domestic Partners will be subject to a one (1) year waiting period from the termination of the Enrollee's last Domestic Partner coverage.

Eligibility Verification Period means the period following the Amnesty Period in which the Contractor conducts Dependent eligibility verification of the NYSHIP population subject to the audit and may consist of up to three (3) Phases at the discretion of the Contractor.

Empire Plan means the self-insured health plan administered by the NYS Department of Civil Service to provide health benefits for the Employees, Retirees, and eligible Dependents of New York State and NYSHIP Participating Agencies and Participating Employers.

Employee means Employee, Retiree, Vestee, or Dependent Survivor of a deceased Employee or Retiree defined as an Employee in the regulations of the President of the Civil Service Commission, as amended from time to time.

Employee Benefits Division (EBD) means the division of the New York State Department of Civil Service responsible for administering the New York State Health Insurance Program (NYSHIP).

Employee ID (EMPLID) means the unique identifying code of an Enrollee (i.e., Enrollee's account number).

Enrollee means an Employee, Retiree, former Employee, or Dependent who elects to participate in one or some of the benefit programs administered by the Department of Civil Service.

ET means prevailing Eastern Time.

Family Policy or Family Policies means a policy(ies) that includes coverage for an Enrollee plus covered Dependents.

GOER means the New York State Governor's Office of Employee Relations.

Health Benefits Administrator (HBA) means an agency representative, primarily located in an agency human resource office, who provides information on health insurance benefits to agency staff.

HMO means one of the health maintenance organizations which participate in the New York State Health Insurance Program.

IFB or Procurement means the Invitation for Bid entitled “Dependent Eligibility Audit Services,” dated May 7, 2015.

Implementation Date means the first Day following the 60-Day Implementation Period.

Implementation Period means the 60-Day Period, after the date the Department notifies the Contractor the Agreement has been approved by OSC, in which the Contractor implements all Project Services, as outlined in the Agreement.

Key Subcontractor(s) means those vendors with whom the Contractor subcontracts to provide Project Services and incorporated as a part of the Contractor’s project team. Key Subcontractors include all vendors who will provide \$100,000 or more in Project Services over the term of the Agreement that results from this IFB, as well as any vendor who will provide Project Services in an amount lower than the \$100,000 threshold, and who is a part of the Contractor’s project team.

MWBE means Minority-and Women-Owned Business Enterprises.

New York State Health Insurance Program (NYSHIP) means the health insurance program established by NYS to provide health insurance protection to Employees, Retirees and eligible Dependents of New York State and Participating Agencies and Participating Employers. The program is administered by the NYS Department of Civil Service. NYSHIP provides health insurance coverage through The Empire Plan, Health Maintenance Organizations (HMOs); and the Student Employee Health Plan (SEHP).

NYBEAS means the New York Benefits Eligibility & Accounting System, a computerized enrollment system utilized by the Department for the administration of Employee benefits.

NYS or State means the State of New York (including the New York State Department of Civil Service).

Offeror means any responsible and eligible entity submitting a responsive Proposal to this IFB. It shall be understood that references in the IFB to “Offeror” shall include said entity’s proposed Key Subcontractor or Affiliates, if any.

Opt-Out means a program that offers incentive payments to an eligible NYS Employee who has elected to Opt-Out of NYSHIP health benefits because the Employee is covered by other employer-sponsored group health insurance through other employment of their own or as a Dependent under a plan belonging to their Spouse, Domestic Partner or parent through his/her employment.

OSC means the New York State Office of the State Comptroller.

Participating Agency (PA) means any unit of local government such as school districts, special districts, or district or municipal corporations that elects with the approval of the President of the Civil Service Commission, to participate in the New York State Health Insurance Program. Examples of PAs are: Clinton County; East Meadow Public Library; and the Central Islip Union Free School District.

Participating Employer (PE) means any public authority, public benefit corporation, or other agency subdivision or quasi-public organization of the State that elects, with the approval of the President of the Civil Service Commission, to participate in the New York State Health Insurance Program. Examples of PEs are: the NYS Thruway Authority and the Dormitory Authority.

Phase means a portion of the Eligibility Verification Period during which a subset of the entire NYSHIP population is subject to Dependent verification, as mutually agreed upon by the Department and the Contractor.

President means the President of the Civil Service Commission and the Commissioner of the Department.

Project Fees means any and all Contractor costs associated with the DEA Project Services including but not limited to Project Implementation, administration of Amnesty Period, Eligibility Verification Period, and Appeal and Reinstatement Period, electronic transfer of data, call center services, online web portal services, and cost of communications (including postage) to Enrollees.

Proposal or Submissions means the Offeror's Proposal, submitted in response to the IFB including all responses to supplemental requests for clarification, information, and documentation.

Regulations of the President of the Civil Service Commission means those regulations promulgated by the President of the Civil Service Commission under the authority of Civil Service Law, Article XI, as amended, and including but not limited to those regulations found at 4 New York Code of Rules and Regulations (NYCRR) Part 73, as amended.

Reinstatement means a determination to re-enroll a Dependent that had been terminated from coverage as a result of the DEA Project Services. The determination will be based on a review of appropriate documentation provided by the Enrollee and/or Dependent.

Retiree means any person defined as a Retiree pursuant to the terms of 4 NYCRR Part 73, as amended.

Return On Investment (ROI) means the performance measure used to evaluate the cost effectiveness of the DEAS, utilizing the methodology as set forth in Section IV.A.10.b of this IFB.

Spouse means a Spouse, including a legally separated Spouse. If an Enrollee is divorced or the marriage has been annulled, the former Spouse is not eligible, even if a court orders the Enrollee to maintain coverage.

State means the State of New York.

Student Employee Health Plan (SEHP) means a health benefits plan for graduate student Employees of the New York State University and the New York City University systems that provide benefits through the various Empire Plan Insurance Contracts.

Vestee means a former Employee who is entitled to continue benefits under NYSHIP because he/she has met all the requirements for NYSHIP coverage as a Retiree, except for eligibility to collect a pension, at the time employment terminates.

APPENDIX A

STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS

PLEASE RETAIN THIS DOCUMENT
FOR FUTURE REFERENCE.

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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 \$10,000, 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 Section 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 because of race, creed, color, sex (including gender identity or expression), national origin, sexual orientation, military status, age, disability, predisposing genetic characteristics, marital status or domestic violence victim status. 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 (2NYCRR 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 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 section. 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

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
<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp>

The Omnibus Procurement Act of 1992 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) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

22. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT. 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).

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 Sections 139-j and 139-k, by signing this agreement the contractor certifies and affirms that all disclosures made in accordance with State Finance Law Sections 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 Section 5-a, if the contractor fails to make the certification required by Tax Law Section 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") posted at:
<http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>

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.

APPENDIX B
STANDARD CLAUSES FOR ALL DEPARTMENT CONTRACTS

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1. INTEGRATION

The contract executed between the Department and the Contractor (or Purchase Order issued by the Department) is hereinafter referred to as the Agreement. The Agreement, including all Exhibits and Appendices, including this Appendix B, copies of which are attached thereto, and incorporated therein by reference, constitutes the entire agreement between the Parties for the purpose of the fulfillment of Program Services or Project Services. All prior agreements, representations, statements, negotiations and undertakings are superseded hereby.

All statements made by the Department shall be deemed to be representations and not warranties.

2. EXECUTORY PROVISION

Section 112 of the State Finance Law requires that any contract made by a State department which exceeds fifty thousand dollars (\$50,000) in amount be first approved by the Comptroller of the State of New York before becoming effective. The Parties recognize that, if the Agreement is for fifty thousand dollars or more, it is wholly executory until and unless approved by the Comptroller of the State of New York.

3. CHOICE OF LAW

The Parties agree that the Agreement shall be interpreted according to the laws of the State of New York, except where the federal supremacy clause requires otherwise. The Contractor shall be required to bring any legal proceeding against the Department arising from the Agreement in New York State courts located in Albany County.

4. DISPUTE RESOLUTION

Except as otherwise provided in the Agreement, any dispute raised by the Contractor concerning any question of fact or law arising under the Agreement which is not disposed of by mutual agreement of the Parties shall be decided initially by the designee of the President of the Civil Service Commission (President). A copy of the written decision shall be furnished to the Contractor. The Parties shall proceed diligently with the performance of the Agreement and shall comply with the provisions of such decision and continue to comply pending further resolution of any such dispute as provided herein. The decision of the designee of the President shall be final and conclusive unless, within ten (10) Days from the receipt of such decision, the Contractor furnishes the President a written appeal. In the event of an appeal, the President shall promptly review the initial decision, and confirm, annul, or modify it. The decision of the President shall be final and conclusive unless, as determined by a court of competent jurisdiction, it violates one of the provisions of section 7803 of the Civil Practice Law and Rules. Pending final decision of any Article 78 proceeding hereunder, both Parties shall proceed diligently with the performance of the Agreement in accordance with the President's decision.

5. WAIVER OF BREACH

No term or provision of the Agreement shall be deemed waived and no breach excused, unless such waiver or consent shall be in writing and signed by the Party claimed to have waived or consented. No consent by a Party to, or waiver of, a breach under the Agreement shall constitute a consent to, a waiver of, or excuse for any other, different or subsequent breach.

6. NEW YORK STATE REQUIREMENTS

The Contractor acknowledges that it is bound by the terms of Appendix A, Standard Clauses For All New York State Contracts, which is attached and incorporated by reference to the Agreement.

7. OUTSIDE OF SCOPE

The Contractor agrees that any and all work performed outside the scope of the Agreement shall be deemed to be gratuitous and not subject to any charge, cost or payment of any kind.

8. NON-ASSIGNABILITY

Neither the rights nor the obligations of the Contractor under the Agreement may be conveyed, assigned, delegated, or otherwise transferred in any manner whatsoever by the Contractor, either in whole or in part, without the prior written approval of the Department.

9. NOTIFICATION

All notices permitted or required by the Agreement to be given by one Party to the other shall be in writing and shall be transmitted either (1) via certified or registered mail, return receipt requested; (2) by facsimile transmission; (3) by personal delivery; (4) by expedited delivery service; or (5) by e-mail.

10. INDEMNIFICATION

The Contractor agrees to indemnify, defend and save harmless the Department, the State, its officers, agents and employees, for any claims or losses the Department, the State or any individuals may suffer when such claims or losses result from the claims of any person or organization for any and all injuries or damages caused by the negligent acts or omissions of the Contractor, its officers, employees, agents, consultants and/or sub-contractors in performance of the Agreement. Furthermore, the Contractor agrees to indemnify, defend and save harmless the Department and the State, its officers, agents, and employees from any and all claims or losses caused by the acts or omissions of any and all contractors, sub-contractors, consultants and any other persons, firms, or corporations furnishing or supplying work, services, materials, or supplies in connection with the performance of the Agreement and from all claims and losses accruing or resulting to any person, firm or corporation who may be injured or damaged by the Contractor in the performance of the Agreement, and against any loss, damages or actions, including, but not limited to, costs and expenses, for violation of proprietary rights, copyrights, patents, or rights of privacy, arising out of the publication, translation, reproduction, delivery, performance, use, or disposition of any material, information or data furnished under the Agreement, or based on any libelous or otherwise unlawful matter contained in such material, information or data, except as otherwise provided in the Article entitled "Patent Copyright or Proprietary Rights Infringement" of this Appendix B.

The Contractor also shall provide indemnification against all losses, and/or cost expenses (including reasonable counsel fees) that may be incurred by reason of the Contractor's breach of any term, provision, covenant, warranty, or representation contained herein and/or in connection with the enforcement of the Agreement or any provision hereof.

The Department does not agree to any indemnification provisions in any documents attached hereto that require the Department or the State of New York to indemnify or save harmless the Contractor or third parties.

Notwithstanding anything to the contrary in the Agreement, neither the Department nor the Contractor shall be liable to the other for any special, consequential, or punitive damages, or loss of profits or revenues, whether such damages are alleged as a result of tort (including strict liability), contract, warranty, or otherwise, arising out of or relating to either Party's acts or omissions under the Agreement.

11. PATENT, COPYRIGHT OR PROPRIETARY RIGHTS INFRINGEMENT

The Contractor, solely at its expense, shall defend any claim or suit which may be brought against the Department or the State for the infringement of United States patents, copyrights or proprietary rights arising from the Contractor's or the Department's use of any software, equipment, data, materials and/or information of any kind prepared, developed or furnished by the Contractor in connection with performance of the Agreement and, in any such suit, shall satisfy any final judgment for such infringement. The Department shall give the Contractor written notice for such claim or suit and full right and opportunity to conduct the defense thereof, together with full information and all reasonable cooperation.

If principles of governmental or public law are involved, the State of New York may participate in the defense of any action identified under this Article, but no costs or expenses shall be incurred upon the account of the Contractor without the Contractor's written consent.

If, in the Contractor's opinion, any software, equipment, data, materials and/or information prepared, developed or furnished by the Contractor is likely to or does become the subject of a claim of infringement of a United States patent, copyright or proprietary right, then, without diminishing the Contractor's obligation to satisfy any final award, the Contractor may, with the Department's prior written approval, substitute other equally suitable software, equipment, materials, data and/or information. In the event that an action at law or in equity is commenced against the Department arising out of a claim that the Department's use of any software, equipment, materials and/or information under the Agreement infringes on any patent, copyright, or proprietary right, such action shall be forwarded by the Department to the Contractor for defense and indemnification under this Article and to the Office of the Attorney General of the State of New York together with a copy of the Agreement. If upon receipt of such request for defense, or at any time thereafter, the Contractor is of the opinion that the allegations in such action, in whole or in part, are not covered by the defense and indemnification set forth herein, the Contractor shall immediately notify the Department and the Office of the Attorney General of the State of New York, in writing, and shall specify to what extent the Contractor believes it is and is not obligated to defend and indemnify under the terms and conditions of the Agreement. The Contractor shall in such event protect the interests of the State of New York and shall take the steps necessary to secure a continuance to permit the State of New York to appear and defend its interest in cooperation with the Contractor, as is appropriate, including any jurisdictional defenses which the State shall have.

12. DATE/TIME WARRANTY

The Contractor warrants that products furnished pursuant to the Agreement shall be able to accurately process, date/time data (including, but not limited to, calculating, comparing, and sequencing) transitions, including leap year calculations. Where a Contractor proposes or an acquisition requires that specific products and/or services must perform as a package or system, this warranty shall apply to the products and/or services as a system.

Where the Contractor is providing ongoing services, including but not limited to: i) consulting, integration, code or data conversion, ii) maintenance or support services, iii) data entry or processing, or iv) contract administration services (e.g. billing, invoicing, claim processing), the Contractor warrants that services shall be provided in an accurate and timely manner without interruption, failure, or error due to the inaccuracy of the Contractor's business operations in processing date/time data (including, but not limited to, calculating, comparing, and sequencing) various date/time transitions, including leap year calculations. The Contractor shall be responsible for damages resulting from any delays, errors, or untimely performance resulting there from, including but not limited to the failure or untimely performance of such services.

This Date/Time Warranty shall survive beyond termination or expiration of the Agreement through a) ninety (90) days or b) the Contractor's or product manufacturer/developer's stated date/time warranty term, whichever is longer. Nothing in this warranty statement shall be construed to limit any rights or remedies otherwise available under the Agreement for breach of warranty.

13. VIRUS WARRANTY

Product contains no viruses, either known to the Contractor or which reasonably should have been known to the Contractor exercising due diligence. The Contractor is not responsible for viruses introduced at the Department's site.

14. TITLE AND OWNERSHIP WARRANTY

The Contractor warrants, represents and conveys (i) full ownership, clear title free of all liens, or (ii) the right to transfer or deliver perpetual license rights to any Product(s) transferred to the Department under the Agreement. The Contractor shall be solely liable for any costs of acquisition associated therewith. The Department may require the Contractor to furnish appropriate written documentation establishing the above rights and interests as a condition of payment. The Department's request or failure to request such documentation shall not relieve the Contractor of liability under this warranty.

15. USE RESTRICTIONS AND INTELLECTUAL PROPERTY

The Parties agree that all work by the Contractor for the Department is intended as work for hire. The Parties agree that the Contractor's work is specifically ordered and commissioned for use as contributions to a collective work, or is other such work as specified by section 101(2) of the U.S. Copyright Act [17 U.S.C. 101(2)], and is intended to be a work for hire that is made for the use and ownership of the State of New York and the Department. Furthermore, the Department and the Contractor agree that the State of New York and the Department are the owners of all copyrights regarding the work. The Contractor warrants to the State of New York and the Department that the Contractor, and all of its subcontractors and their employees, who have been, or may be used in regard to the Agreement, forfeits all past or future claims of title or ownership to the work produced.

Materials such as forms and publications used by the Contractor in the course of its performance under the Agreement which have been agreed upon by the Parties as generic materials are specifically excluded from this provision.

16. OWNERSHIP/TITLE TO PRODUCT DELIVERABLES

For purposes of this Article, the term "Department" is understood to mean the Department acting on behalf of the State.

(A) Definitions

1. Product(s):

A deliverable furnished under the Agreement by or through the Contractor, including existing and custom Product(s), including, but not limited to: a) components of the hardware environment; b) printed materials (including but not limited to training manuals, system and user documentation, reports, drawings); c) third party software; d) modifications, customizations, custom programs, program listings, programming tools, data, modules, components; and e) any properties embodied therein, whether in tangible or intangible form (including but not limited to utilities, interfaces, templates, subroutines, algorithms, formulas, source code, object code).

2. Existing Product(s):

Tangible Product(s) and intangible licensed Product(s) which exist prior to the commencement of work under the Agreement. The Contractor retains the burden of proving that a particular product existed before commencement of the Agreement.

3. Custom Product(s):

Product(s), preliminary, final or otherwise, which are created or developed by the Contractor, or its subcontractors, partners, employees, or agents under the Agreement for the benefit of the Department.

(B) Title to Project Deliverables

The Contractor acknowledges that it is commissioned by the Department to perform services detailed in the Agreement. Unless otherwise specified in writing in the Agreement, the Department shall have ownership and/or license rights as follows:

1. Existing Product(s):

a) Hardware - Title and ownership of Existing Hardware Product shall pass to Department upon acceptance.

b) Software - Title and ownership to Existing Software Product(s) delivered by the Contractor under the Agreement which is normally commercially distributed on a license basis by the Contractor or other independent software vendor/proprietary owner ("Existing Licensed Product"), whether or not embedded in, delivered or operating in conjunction with hardware or Custom Products, shall remain with the Contractor or other independent software vendor/proprietary owner ("ISV"). Effective upon acceptance, such Product shall be licensed to the Department in accordance with the Contractor or ISV owner's standard license agreement, provided, however, that such standard license, must, at a minimum: (a) grant the Department a non-exclusive, perpetual license to use, execute, reproduce, display, perform, adapt (unless the Contractor advises the Department as part of the Contractor's bid proposal that adaptation will violate existing agreements or statutes and the Contractor demonstrates such to the Department's satisfaction) and distribute Existing Licensed Product to the Department up to the license capacity stated in the work order with all license rights necessary to fully effect the general business purpose(s) stated in the Agreement and (b) recognize the State of New York as the licensee. Where these rights are not otherwise covered by the ISV's standard license agreement, the Contractor shall be responsible for obtaining these rights at its sole cost and expense. The Department shall reproduce all copyright notices and any other legend of ownership on any copies authorized under this paragraph.

2. Custom Product(s):

Effective upon creation of Custom Product(s), the Contractor hereby conveys, assigns and transfers to State the sole and exclusive rights, title and interest in Custom Product(s), whether preliminary, final or otherwise, including all trademark and copyrights. The Contractor hereby agrees to take all necessary and appropriate steps to ensure that the Custom Product(s) are protected against unauthorized copying, reproduction and marketing by or through the Contractor, its agents, employees, or subcontractors. Nothing herein shall preclude the Contractor from otherwise using the related or underlying general knowledge, skills, ideas, concepts, techniques and experience developed under the Agreement in the course of the Contractor's business.

Where payment for Custom Product does not involve Certificates of Participation (COPS) pursuant to Article 5-A of the State Finance Law or other third party

financing, the Department may, by providing written notice thereof to the Contractor, elect in the alternative to take a non-exclusive perpetual license to Custom Products in lieu of State taking exclusive ownership and title to such Products. In such case, the Department shall be granted a non-exclusive perpetual license to use, execute, reproduce, display, perform, adapt and distribute Custom Product as necessary to fully effect the general business purpose(s) as stated herein.

In the event that the Contractor wishes to obtain ownership rights to Custom Product(s), the sale or other transfer shall be at fair market value as determined by the Parties at the time of such sale or other transfer, and must be pursuant to a separate written agreement in a form acceptable to the State which complies with the terms of this paragraph.

3. Documentation, Data & Reports

The Department shall own title to all documentation, drawings, (e.g., engineering drawings, system diagrams, logic/schematics, plans, reports, training, maintenance or operating manuals), including network design, equipment configurations and other documentation prepared or developed pursuant to the Agreement, whether preliminary, final or otherwise. The Contractor shall deliver to the possession of the Department all work-in-progress documentation as it becomes available, but in no case longer than thirty (30) days after creation.

17. FORCE MAJEURE

Neither Party to the Agreement shall be liable or deemed to be in default for any delay or failure in performance under the Agreement resulting directly or indirectly from acts of God, civil or military authority, acts of public enemy, wars, riots, civil disturbances, insurrections, accident, fire, explosions, earthquakes, floods, the elements, acts or omissions of public utilities or strikes, work stoppages, slowdowns or other labor interruptions due to labor/management disputes involving entities other than the Parties to the Agreement, or any other causes not reasonably foreseeable or beyond the control of a Party. The Parties are required to use best efforts to eliminate or minimize the effect of such events during performance of the Agreement and to resume performance of the Agreement upon termination or cessation of such events.

18. TIME OF THE ESSENCE

The Department and the Contractor acknowledge and agree that time is of the essence for the Contractor's performance under the Agreement.

19. RIGHTS AND REMEDIES

The rights, duties and remedies set forth in the Agreement shall be in addition to, and not in limitation of, rights and obligations otherwise available at law.

20. FEDERAL AND STATE COMPLIANCE

The Contractor shall ensure that its employment practices comply with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended.

The Contractor shall ensure compliance with the Americans With Disabilities Act (42 USC §2101 et. seq.) such that programs and services provided during the course of performance of the Agreement shall be accessible under Title II of the Americans With Disabilities Act and as otherwise applicable under the Americans With Disabilities Act.

21. TAXES

It shall be understood that the Department, as an agency of the State of New York, is not liable for the payment of any sales, use, excise, or other form of tax however designated, levied or imposed, and shall agree to reimburse the Contractor for same only if taxes would have been incurred through the Department's normal business operations.

22. INDEPENDENT CONTRACTOR

The Parties agree that the Contractor is an independent contractor, and the Contractor, its officers, employees, agents, consultants and/or sub-contractors in the performance of the Agreement shall act in an independent capacity and not as agents, officers or employees of the State or the Department. Neither the Contractor nor any sub-contractor shall thereby be deemed an agent, officer, or employee of the State. The Contractor agrees, during the term of the Agreement, to maintain at the Contractor's expense those benefits to which its employees would otherwise be entitled by law, including health benefits, and all necessary insurance for its employees, including worker's compensation, disability and unemployment insurance, and to provide the Department with certification of such insurance upon request. The Contractor remains responsible for all applicable federal, State, and local taxes, and all FICA contributions.

23. NO THIRD PARTY BENEFICIARIES

Nothing contained in the Agreement, expressed or implied, is intended to confer upon any person, corporation, other than the Parties hereto and their successors in interest and assigns, any rights or remedies under or by reason of the Agreement.

24. HEADINGS OR CAPTIONS

The headings or captions contained within the Agreement are intended solely for convenience and reference purposes and shall in no way be deemed to define, limit or describe the scope or intent of the Agreement or any provisions thereof.

25. PARTIAL INVALIDITY

Each Party agrees that it shall perform its obligations under the Agreement in accordance with all applicable federal and State laws, rules, and regulations, policies and/or guidelines now or hereafter in effect. If any term or provision of the Agreement shall be found to be illegal or unenforceable, then, notwithstanding such term or provision, the Agreement shall remain in full force and effect, and such term or provision shall be deemed stricken.

26. CONFLICT OF INTEREST

The Contractor shall ensure that its officers, employees, agents, consultants and/or sub-contractors comply with the requirements of the New York State Public Officers Law ("POL"), as amended, including but not limited to sections 73 and 74, as amended, with regard to ethical standards applicable to State employees, and particularly POL sections 73(8)(a)(i) and (ii) regarding post-employment restrictions affecting former State employees. Additionally, the Contractor shall ensure that no violation of these provisions will occur by reason of the Contractor's proposal for or negotiation and execution of the Agreement or in its delivery of services pursuant to the Agreement. If, during the term of the Agreement, the Contractor becomes aware of a relationship, actual or potential, which may be considered a violation of the POL or which may otherwise be considered a conflict of interest, the Contractor shall notify the Department in writing immediately. Should the Department thereafter determine that such employment is inconsistent with State law; the Department shall so advise the Contractor in writing, specifying its basis for so determining, and may require that the contractual or employment relationship be canceled. Failure to comply with these provisions may result in suspension or cancellation of the Agreement and criminal proceedings as may be required by law.

The Contractor is required to make full disclosure of any circumstances that could affect its ability to perform in complete compliance with the POL. Any questions as to the applicability of these provisions should be addressed by the Contractor to the New York State Ethics Commission, 540 Broadway, Albany, NY 12207 (518) 408-3976.

27. AUDIT AUTHORITY

The Contractor acknowledges that the Department and the Office of the State Comptroller have the authority to conduct financial and performance audits of the Contractor's delivery of Program Services (or Project Services) in accordance with the Agreement and any applicable State and federal statutory and regulatory authorities. Such audit activity may include, but not necessarily be limited to, the review of documentary evidence to determine the accuracy and fairness of all items on the Contractor's submission of claims for payment under the Agreement, and the review of any and all activities relating to the Contractor's performance and administration of the Agreement.

The Contractor shall make available documentary evidence necessary to perform such reviews. Documentation made available by the Contractor may include, but is not limited to, source documents, books of account, subsidiary records and supporting work papers, claim documentation and pertinent contracts and correspondence.

The audit provisions contained herein shall in no way be construed to limit the audit authority or audit scope of the Office of the State Comptroller as set forth in Appendix A of the Agreement - Standards Clauses for All New York State Contracts.

28. CONFIDENTIALITY

All records maintained by the Contractor and relating to the Agreement are confidential and shall be used by the Contractor and its officers, employees, and subcontractors or agents solely for the purpose of carrying out its obligations under the Agreement. Except as directed by a court of competent jurisdiction or as may be permitted or required by applicable New York State or federal law or regulations, no such records may be otherwise used or released to any person by the Contractor, its employees, subcontractors or agents, either during the term of the Agreement or in perpetuity thereafter. Deliberate or repeated accidental breach of this provision may, at the sole discretion of the Department, be grounds for termination of the Agreement.

The Contractor shall promptly advise the Department of all requests made to the Contractor for information regarding the performance of services under the Agreement, including any information provided by the Department, except as required by subcontractors or agents solely for the purpose of carrying out obligations under the Agreement or as required by law.

The Contractor shall be responsible for assuring that any agreement between the Contractor and any of its officers, agents and employees or applicable subcontractors contains a provision that conforms strictly to the provisions of this Article.

29. INFORMATION SECURITY REQUIREMENTS

In accordance with the Information Security Breach and Notification Act (ISBNA) (General Business Law §889-aa, State Technology Law §208), Contractor shall be responsible for complying with provisions of the ISBNA and the following terms contained herein with respect to any private information (as defined in ISBNA) received by Contractor under the Agreement (Private Information) that is within the control of the Contractor either on the Department's information security systems or the Contractor's information security system (System). In the event of a breach of the security of the System (as defined by ISBNA),

Contractor shall immediately commence an investigation, in cooperation with the Department, to determine the scope of the breach and restore security of the System to prevent any further breaches. Contractor shall also notify the Department of any breach of the security of the System immediately following discovery of such breach.

Except as otherwise instructed by the Department, Contractor shall, to the fullest extent possible, first consult with and receive authorization from the Department prior to notifying any individuals, the State Office of Cyber Security and Critical Infrastructure Coordination (CSCIC), the State Consumer Protection Board and the Office of the Attorney General (OAG) or any consumer reporting agencies of a breach of the security of the System or concerning any determination to delay notification due to law enforcement investigations. Contractor shall be responsible for providing the notice to all such required recipients and for all the costs associated with providing such notice. Contractor shall be liable for any other costs associated with noncompliance of ISBNA if caused by the Contractor or Contractor's agents, officers, employees, or subcontractors. Nothing herein shall in any way impair the authority of the OAG to bring an action against the Contractor to enforce the provisions of ISBNA or limit Contractor's liability for any violation of the ISBNA. Additional information relative to the law and the notification process is available at:

<http://www.cscic.state.ny.us/security/securitybreach>

Contemporaneous with the execution of the Agreement, the Contractor and its designees shall execute the Department's Third Party Connection and Data Exchange Agreement and any other protocol required by the Department, and shall ensure its employees, agents and designees complete the related Third Party Acceptable Use Policy and Agreement if applicable, to ensure the security of data transmissions and other information related to the administration of the Agreement. This request may be waived by the Department in its sole discretion.

30. NONDISCLOSURE OF CONFIDENTIAL INFORMATION

Except as may be required by applicable law or a court of competent jurisdiction, the Contractor, its officers, agents, employees, and subcontractors shall maintain strict confidence with respect to any Confidential Information to which the Contractor, its officers, agents, employees, and subcontractors have access in the course of the Contractor's performance under the Agreement. For purposes of the Agreement, all State information of which the Contractor, its officers, agents, employees and subcontractors becomes aware during the course of performing services for the Department shall be deemed to be Confidential Information (oral, visual or written). Notwithstanding the foregoing, information that falls into any of the following categories shall not be considered Confidential Information:

- (a) information that is previously rightfully known to the receiving party without restriction on disclosure;
- (b) information that becomes, from no act or failure to act on the part of the receiving party, generally known in the relevant industry or is in the public domain; and
- (c) information that is independently developed by the Contractor without use of confidential information of the State.

The Contractor shall hold the State and the Department harmless from any loss or damage to the State or the Department resulting from the disclosure by the Contractor, its officers, agents, employees, and subcontractors of such Confidential Information.

The Contractor shall provide for its officers, agents, employees, and subcontractors to acknowledge and execute a nondisclosure agreement containing substantially the terms described in this Article, if requested to do so by the Department or the State.

This representation shall survive termination of the Agreement.

31. FREEDOM OF INFORMATION LAW

Disclosure of information and material provided to the Department by the Contractor in the course of the Contractor's performance under the Agreement shall be permitted consistent with the laws of the State of New York, and specifically the Freedom of Information Law (FOIL), Article 6 of the Public Officers Law. The Department shall take reasonable steps to protect from public disclosure any of the records relating to the Contractor's performance under the Agreement that otherwise are exempt from disclosure under FOIL.

If the Contractor believes that any information or material provided to the Department constitutes trade secret information that should be exempted from FOIL disclosure, the Contractor must, at the time of the materials' submission, request the exemption in writing, specifically identifying the material by page number, line, or other appropriate designation, and provide a particularized explanation as to why the material constitutes trade secret information and how the disclosure of the identified information would cause substantial injury to the Contractor's competitive position. The material sought to be protected from disclosure must be clearly marked in yellow highlighter, on a duplicate copy of the submission and may be provided in hardcopy or on a CD. Generically marking all material as "Confidential" will not be considered adequate for the purpose of this Article.

The Department's receipt of the Contractor's submission of material and the Contractor's request for protection of the material from FOIL disclosure does not constitute a determination that the information is exempt from disclosure under FOIL. In the event any information or material is requested pursuant to FOIL, the Department will address each party's interests fully in accordance with the procedures required by Article 6 of the Public Officers Law.

32. TERMINATION OF AGREEMENT

In addition to any termination provisions specified elsewhere in the Agreement, the following provisions also shall apply:

The Agreement may be terminated by mutual written agreement of the Parties.

The Agreement may be terminated by the Department for cause upon the failure of the Contractor to comply with the terms and conditions of the Agreement, including any exhibits incorporated herein, provided that the Department shall give the Contractor written notice via registered or certified mail, return receipt requested, or hand delivery, such written notice to specify the Contractor's failure and the termination of the Agreement. Termination shall be effective ten (10) Business Days after receipt of such notice unless the Contractor, in the opinion of the Department, has cured such failure. The Contractor agrees to incur no new obligations nor to claim for any expenses made after receipt of the notification of termination. Upon termination for cause, the Department shall have the right to award a new contract to another contractor. Termination for cause shall create a liability upon the Contractor for actual damages incurred and for all reasonable additional costs incurred in reassigning the Agreement.

The Agreement may be terminated if the Department deems that termination would be in the best interest of the State provided that the Department shall give written notice to the Contractor not less than thirty (30) Days prior to the date upon which termination shall become effective, such notice to be made via registered or certified mail, return receipt requested or hand delivered. The date of such notice shall be deemed to be the date of postmark in the case of mail or the date of hand delivery.

The Agreement may be terminated immediately in the event the Department determines that funds are unavailable. The Department agrees to provide notice to the Contractor as soon as it becomes aware that funds are unavailable in the event of termination under this paragraph. If the initial notice is via oral notification, the Department shall provide written notice immediately thereafter. The Department shall be obligated to pay the Contractor only for the expenditures made and obligations incurred by the Contractor until such time as notice of termination or received either orally or in writing by the Contractor from the Department.

In the event of termination for any reason, the Contractor shall not incur new obligations for the terminated portion. The Contractor agrees, after consultation with the Department, to cancel such outstanding obligations as the Contractor deems appropriate in the exercise of sound business judgment.

Upon termination of the Agreement each Party shall, if applicable, return to the other all papers, materials, and other properties of the other Party held by each for purposes of performance under the Agreement. In addition, each Party shall assist the other Party in orderly termination of the Agreement and the transfer of all aspects hereof, tangible, and intangible, as may be necessary to ensure the orderly administration of the State program.

33. CONTRACTOR PERSONNEL

The Contractor shall designate an Account Executive, who shall be the contact person for all matters arising under the Agreement.

The Contractor agrees to be solely responsible for the recruitment, hiring, provision of employment benefits, payment of salaries, and management of its personnel. These functions shall be carried out by the Contractor in accordance with the provisions of the Agreement and with all applicable federal and State laws and regulations.

The Contractor is required to commit key personnel for the administration of all aspects of the Agreement. In the event that any of the key personnel will be or are unavailable for the performance of their duties, the Contractor will designate and propose to the Department an equally qualified alternate with full authority to act for the unavailable key person.

The Contractor shall notify the Department in writing of any changes in the key personnel designated for performance of the Agreement. This shall include any changes in the personnel designated to bind the Contractor.

The Department reserves the right to demand the reassignment or cancellation of assignment to duties under the Agreement of any Contractor personnel so assigned. The Department shall not exercise the authority unreasonably. The Contractor agrees to replace any employees so reassigned or canceled with an employee of equal or better qualifications. If the Department exercises its right under this provision, it agrees to provide written notice to the Contractor setting forth its reasons with specificity.

34. OPERATIONAL CONTACTS

The Contractor shall maintain appropriate corporate and/or legal authority, which shall include, but not be limited to, the maintenance of an organization capable of delivering Program Services in accordance with the Agreement and the authority to do business in the State of New York or any other governmental jurisdiction in which Program Services are to be delivered pursuant to the Agreement. The Contractor also shall maintain operations, financial and legal staff that shall be directly available to the Department's operations, financial and legal staff, respectively. For purposes of the Agreement, maintenance of such staff and staff availability by the Contractor shall in no way create any agency relationship between the Department and the Contractor.

The Contractor acknowledges and agrees that no aspect of the Contractor's performance under the Agreement is contingent upon Department personnel or the availability of Department resources, with the exception of all proposed actions of the Contractor specifically identified in the Agreement as requiring the Department approval. With respect to such approval, the Department shall act promptly and in good faith.

The Contractor must cooperate fully with any other contractors who may be engaged by the Department relative to the the Agreement.

The Contractor must ensure that all contacts by the Contractor personnel with other New York State agencies, external organizations (Federal Agencies, Unions, etc.) which result in any charge, cost or payment of any kind, must receive prior written authorization from the Department's Contract Manager.

35. SUBCONTRACTING

If allowed in the solicitation instrument (e.g., Request for Proposal, Invitation for Bids, etc.) that results in the Agreement, the Contractor may arrange for specified portion(s) of its responsibilities under the Agreement to be subcontracted to a Key Subcontractor(s). A "Key Subcontractor" means that vendor(s) with whom the Contractor subcontracts to provide any portion of Program Services. If the Contractor determines to subcontract a portion(s) of Program Services, the Key Subcontractors must be clearly identified and the nature and extent of its involvement in and/or proposed performance under the Agreement must be fully explained by the Contractor to the Department. The Contractor retains ultimate responsibility for all Program Services performed under the Agreement.

All subcontracts shall be in writing and shall contain provisions, which are functionally identical to, and consistent with, the provisions of the Agreement including, but not be limited to, the body of the Agreement, Appendix A - Standard Clauses For All New York State Contracts, Appendix B - Standard Clauses for All Department Contracts and if applicable as determined by the Department, Appendix C - Third Party Connection and Data Exchange Agreement. Unless waived in writing by the Department, all subcontracts between the Contractor and a Key Subcontractor shall expressly name the State of New York, through the Department, as the sole intended third party beneficiary of such subcontract. The Department reserves the right to review and approve or reject any subcontract with a Key Subcontractor, as well as any amendments to said subcontract(s), and this right shall not make the Department or the State of New York a party to any subcontract or create any right, claim, or interest in the Key Subcontractor or proposed Key Subcontractor against the Department.

The Department reserves the right, at any time during the term of the Agreement, to verify that the written subcontract between the Contractor and Key Subcontractor(s) is in compliance with all of the provision of this Article and any subcontract provisions contained in the Agreement. In addition to other remedies allowed by law, the Department reserves the right to terminate the Agreement for cause if an executed subcontract does not contain all of the provisions/statements stipulated above. If during the term of the Agreement, any executed subcontract between the Contractor and a Key Subcontractor is amended, the Contractor shall, within 30 calendar days of such amendment, provide a copy to the Department.

The Contractor shall give the Department immediate notice in writing of the initiation of any legal action or suit which relates in any way to a subcontract with a Key Subcontractor or which may affect the performance of the Contractor's duties under the Agreement. Any subcontract shall not relieve the Contractor in any way of any responsibility, duty and/or obligation of the Agreement.

36. PUBLICITY AND COMMUNICATIONS

The Contractor shall ensure that all requests for the Contractor's participation in events where the Contractor will be participating on behalf of the Department receive prior written authorization from the Department.

No public discussion or news releases relating to the Agreement shall be made or authorized by the Contractor or the Contractor's agent without the prior written approval of the Department, which written approval shall not be unreasonably withheld or delayed provided, however, that Contractor shall be authorized to provide copies of the Agreement and answer any questions relating thereto to any State or federal regulators or, in connection with its financial activities, to financial institutions for any private or public offering.

37. CONSULTANT DISCLOSURE REQUIREMENTS

Unless directed otherwise by the Department, the Contractor shall demonstrate its compliance with Chapter 10 of the Laws of 2006 throughout the term of the Agreement by submitting to the Department and to the Office of the State Comptroller a "State Consultant Services - Contractor's Annual Employment Report" for each State Fiscal Year. Such report shall be due no later than May 15th of each year following the end of the State Fiscal Year being reported. Such report shall be required of any contract that includes services for analysis, evaluation, research, training, data processing, computer programming, engineering, environmental, health and mental health services, accounting, auditing, paralegal, legal, or similar services. Such report shall conform with Bulletin No. G-226 – Form B as issued by the Office of the State Comptroller. The report must be submitted to the Office of the State Comptroller, Bureau of Contracts, 110 State Street, 11th floor, Albany, NY 12236, ATTN: Consultant Reporting; and to the Department's Contract Manager.

38. PROCUREMENT LOBBYING RESTRICTIONS UNDER STATE FINANCE LAW SECTIONS 139-j AND 139-k

The Contractor certifies that all information that it has provided or will provide to the Department pursuant to State Finance Law sections 139-j and 139-k is complete, true, and accurate, including but not limited to information regarding prior determinations of non-responsibility within the past four years based upon (i) impermissible contacts of other violations of SFL section 139-j, or (ii) the intentional provision of false or incomplete information to a governmental entity.

The Department reserves the right to terminate the Agreement in the event it is found that the Contractor's certification of its compliance with SFL sections 139-j or 139-k was intentionally false or intentionally incomplete. Upon such finding, the Department may exercise its right to terminate the Agreement by providing written notification to the Contractor in accordance with Article 9 of this Appendix B.

39. VENDOR RESPONSIBILITY

The Contractor is required to provide the Department with an updated Vendor Responsibility Questionnaire when requested to do so by the Department throughout the term of the Agreement. Regardless, the Contractor is required to report to the Department any material changes in the information reported in its initial Vendor Responsibility Questionnaire.

40. TAX LAW SECTION 5-A - CERTIFICATION REGARDING SALES AND COMPENSATING USE TAXES

In the event the value of the Agreement exceeds \$100,000, the Contractor must file a properly completed Form ST-220-CA with the Department and a properly completed Form ST-220-TD with the Department of Taxation & Finance before the Agreement may take effect.

In addition, after the Agreement has taken effect, the Contractor must file a properly completed Form ST-220-CA with the Department if the Agreement's term is renewed; further, a new Form ST-220-TD must be filed with the Department of Taxation & Finance if no ST-220-TD has been filed by the Contractor or if a previously filed Form ST-220-TD is no longer correct and complete.

41. CONTRACT PAYMENT

Contractor shall provide complete and accurate billing invoices to the Department in order to receive payment. Billing invoices submitted to the Department must contain all information and supporting documentation required by the Agreement, the Department and the State Comptroller. Payment for invoices submitted by the Contractor shall only be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The Contractor shall comply with the State Comptroller's procedures to authorize electronic payments. Authorization forms are available at the State Comptroller's website at www.osc.state.ny.us/epay/index.htm, by e-mail at epunit@osc.state.ny.us, or by telephone at 518-474-4032. Contractor acknowledges that it will not receive payment on any invoices submitted under the Agreement if it does not comply with the State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

May 2011



THIRD PARTY CONNECTION AND DATA EXCHANGE AGREEMENT

THIS AGREEMENT (the “Agreement”) by and between the NYS Department of Civil Service (“DCS”), with principal offices in Albany, NY 12239, and

with principal offices at

(hereinafter “Third Party”), is entered into as of the date last written below (“the Effective Date”).

This Agreement consists of this signature page and the following attachments incorporated by reference:

- 1. Attachment 1: Third Party Connection and Data Exchange Agreement Terms and Conditions
- 2. Attachment 2: Third Party Connection and Data Exchange Request Requirements Document
- 3. Attachment 3: Third Party Acceptable Use Policy and Agreement
- 4. Attachment 4: DCS Equipment Loan Agreement (Applicable: Yes No)

This Agreement may only be modified by a written document executed by the parties hereto. Any disputes arising out of or in connection with this Agreement shall be governed by New York State law without regard to choice of law provisions.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be duly executed. Each party warrants and represents that its respective signatories whose signatures appear below have been and are on the date of signature duly authorized to execute this Agreement.

<i>Third Party Name:</i>	<i>NYS Department of Civil Service (DCS)</i>
Authorized Signature	Authorized Signature
Name (<i>Print</i>)	Name (<i>Print</i>)
Date	Date



THIRD PARTY CONNECTION AND DATA EXCHANGE AGREEMENT

ATTACHMENT 1 – SECURITY REQUIREMENTS

1. *Right to Use Connection*

Third Party may only use the connection and the information obtained from DCS for business purposes as outlined by the Third Party Connection and Data Exchange Request Requirements Document (Attachment 2).

2. *Data Exchange*

2.1 Third Party may only use the data obtained for purposes outlined by the Third Party Connection and Data Exchange Request Requirements Document (Attachment 2) and the contract or Memoranda of Understanding, if any, that exists between DCS and Third Party for the provision of goods or services or governing conduct between DCS and Third Party with respect to the access to and use of DCS data.

2.2 Data exchange may be conducted only by methods and/or services outlined by the Third Party Connection and Data Exchange Request Requirements Document (Attachment 2). Third Party should expect that access to information and services may be limited, as determined or required by DCS.

3. *Network Security*

3.1 Third Party will allow only its own employees approved in advance by DCS (“Third Party Users”) to access the Network Connection or any DCS-owned equipment. Third Party shall be solely responsible for ensuring that Third Party Users are not security risks, and upon DCS’ request, Third Party will provide DCS with any information reasonably necessary for DCS to evaluate security issues relating to any Third Party User.

3.2 Third Party will promptly notify DCS whenever any Third Party User leaves Third Party’s employ or no longer requires access to the connection or DCS-owned Equipment.

3.3 Each Party will be solely responsible for the selection, implementation, and maintenance of security procedures and policies that are sufficient to ensure that (a) such party’s use of the connection (and Third Party’s use of DCS-owned Equipment) is secure and is used only for authorized purposes, and (b) such Party’s business records and data are protected against improper access, use, loss alteration or destruction.

3.4 The preferred connectivity method is via the Internet to a DCS-approved or DCS-provided Virtual Private Network (VPN) device. If the device is DCS-provided, DCS will loan the Third Party, in accordance with the DCS Equipment Loan Agreement, the required client software for establishing VPN connections with DCS. Normal DCS perimeter security measures will control access to the internal network.

3.5 Extranet – Designated routers are used in combination with firewall rules to allow access to be managed. A second authentication may be required.



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- 3.6 Remote Access - Using the DCS-provided remote access software, Third Party will connect via an Internet browser. The account may be disabled until usage is required and controls are placed and managed by DCS. Third Party will be required to follow procedures to enable the account for each use.
- 3.7 Third Party Connections will be audited. All remote access user accounts for Third Parties will be given an expiration time. Renewals must be requested by Third Party and approved by the Department Sponsor. Obsolete Third Party connections will be terminated.
- 3.8 Software versions on all Third Party computers that connect to the DCS network must be versions that are currently supported by the software manufacturer, and all available security updates and hot fixes for that software must be applied in a timely fashion. Software and firmware for all Third Party networking equipment that is part of the connection to the DCS network must be kept up to date, especially with patches that fix security vulnerabilities.
- 3.9 Anti-virus software and firewalls must be installed and enabled at all times on DCS-owned computers and on Third Party computers that connect to the DCS network. Additionally, virus definition files must be kept up to date.
- 3.10 In no case may a Third Party Connection to DCS be used as an Internet Connection for Third Party or for a Third Party User.

4. Notifications

- 4.1 Third Party shall notify DCS in writing promptly of any change in its Users for the work performed over the Network Connection or whenever Third Party believes a change in the connection and/or functional requirements of the connection is necessary.
- 4.2 Any notices required by this Agreement shall be given in hand, sent by first class mail, or via facsimile to the applicable address set forth below.

Third Party Name:	NYS Department of Civil Service Albany, New York 12239
Address:	
Attention:	Attention:



5. *Citizen Notifications*

If Third Party maintains "identifying personal information" on behalf of the Department and such information is compromised, Third Party shall notify the Department immediately that the information has been compromised, the circumstances under which the information was compromised, and the measures undertaken by Third Party to address those circumstances and to otherwise mitigate the effects of the compromise. If encrypted data is compromised along with the corresponding encryption key and encryption software, the data shall be considered unencrypted and the information will be considered compromised through unauthorized access. If the Department requests Third Party to do so, Third Party shall notify the persons whose identifying information was compromised. Such notification shall be communicated via postal service or email, as directed by the Department, and shall otherwise be executed in accordance with the Department's direction. Notification shall be delayed if a law enforcement agency determines that such notification may impede a criminal investigation. For the purpose of this section, "identifying personal information" shall be any information concerning an individual which, because of name, number, symbol, mark or other identifier in combination with any of the following, is unencrypted: (1) Social Security Number; or (2) driver's license number; or (3) financial account number, credit or debit card number, in combination with any required security code, access code, or password which would permit access to an individual's financial account; or (4) password which would permit access to the individual's account.

6. *Payment of Costs*

Each Party will be responsible for all costs incurred by that Party under this Agreement, including, without limitation, costs for phone charges, telecommunications equipment and personnel for maintaining the connection.

7. *Confidentiality*

- 7.1 Information exchanged for the business purposes outlined in Attachment 2 will be held confidential by the Parties to the maximum extent permitted by law. Each Party may internally use the information received from the other Party hereunder in connection with and as specifically necessary to accomplish the Business Purpose set forth in Attachment 2 and for no other purposes. Each Party may otherwise share such information with other third parties (e.g. consultants, subcontractors, control agencies) as required or permitted by law in order to effect the business purposes outlined in Attachment 2 and for no other purposes, provided that such third parties agree to the confidentiality restrictions set forth herein and as may be required otherwise by State and federal law.
- 7.2 Third Party must implement administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the sensitive information that it creates, receives, maintains, or transmits on behalf of DCS.
- 7.3 Unencrypted DCS information must not be transmitted over email.
- 7.4 Third Party must ensure that any agent, including a subcontractor, to whom it provides such information agrees to implement reasonable and appropriate safeguards to protect it and report to the DCS Help Desk any security incident of which it becomes aware.



8. *Third Party Users*

- 8.1 Third Party must require that each Third Party User executes a Third Party Acceptable Use Policy and Agreement (Attachment 3). Third Party must ensure that DCS is notified by fax or mail when the user base changes, following the specifications in the Third Party Connection & Data Exchange Agreement.
- 8.2 All aspects of Third Party connections within DCS control may be monitored by the appropriate DCS support group and/or the DCS Information Security Officer. Any unauthorized use or change to devices will be investigated immediately.
- 8.3 All Third Party Connections will be reviewed on a regular basis and information regarding specific Third Party connection will be updated as necessary. Obsolete Third Party connections will be terminated.

9. *DCS-owned Equipment*

- 9.1 DCS may, in DCS' sole discretion, loan to Third Party certain equipment and/or software for use on Third Party premises (the DCS-owned Equipment) under the terms of the DCS Equipment Loan Agreement set forth in Attachment 4. DCS-owned equipment will only be configured for TCP/IP, and will be used solely by Third Party on Third Party's premises or other locations authorized by DCS for the purposes set forth in this Agreement. DCS is responsible for ensuring that it has the right under applicable software licenses to permit third party use.
- 9.2 Third Party may modify the configuration of the DCS-owned equipment only after notification and approval in writing by authorized DCS personnel.
- 9.3 Third Party will not change or delete any passwords set on DCS-owned equipment without prior approval by authorized DCS personnel. Promptly upon any such change, Third Party shall provide DCS with such changed password.

10. *Term, Termination and Survival*

- 10.1 This Agreement will remain in effect until terminated by either Party, but in no event prior to the termination or expiration of any contract or agreement between the Parties for the purchase of goods or services that provides the business purpose for the exchange of data between the Parties, unless both Parties mutually agree to so terminate this Agreement.
- 10.2 Upon termination, Third Party shall return all tangible DCS data to DCS within a timeframe specified by DCS for that purpose, and further shall certify in writing to DCS that all other DCS data in whatever form has been destroyed. Additionally, any DCS-owned equipment and/or software shall be promptly returned to DCS at Third Party's expense.
- 10.3 Notwithstanding the above, the Parties' obligations to safeguard the confidentiality of the data subject to this Agreement shall survive the termination of this Agreement, and shall bind the Parties' employees, subcontractors, agents, heirs, successors and assigns.



11. Severability

If for any reason a court of competent jurisdiction finds any provision or portion of this Agreement to be unenforceable, that provision of the Agreement will be enforced to the maximum extent permissible so as to affect the intent of the Parties, and the remainder of this Agreement will continue in full force and effect.

12. Waiver

The failure of any Party to enforce any of the provisions of this Agreement will not be construed to be a waiver of the right of such Party thereafter to enforce such provisions.

13. Assignment

Third Party may not assign this Agreement, in whole or in part, without the prior written consent from DCS. Any attempt to assign this Agreement, without such consent, will be null and of no effect. Subject to the foregoing, this Agreement is for the benefit of and will be binding upon the parties' respective successors and permitted assigns.

14. Force Majeure

Neither Party will be liable for any failure to perform its obligations if such failure results from any act of God or other cause beyond such Party's reasonable control (including, without limitation, any mechanical, electronic or communications failure) which prevents such party from transmitting or receiving any data.

15. Partial Invalidity

If this Agreement is entered into as a consequence of Third Party's provision of goods or services to DCS pursuant to a contract or other written agreement, that Agreement supersedes this Agreement to the extent the agreements' provisions may be inconsistent.



THIRD PARTY CONNECTION AND DATA EXCHANGE AGREEMENT

ATTACHMENT 2 – REQUEST REQUIREMENTS

In accordance with the DCS *Third Party Connection and Data Exchange Policy*, all requests for Third Party connections and data exchanges must be accompanied by this completed requirements document. This document should be completed by the DCS person or group requesting the Third Party connection and/or data exchange. The DCS Department Sponsor must be the Director of the Division whose business requires the Third Party connection and/or data exchange. DCS Divisions are encouraged to work with their IRM Liaison to complete the information in this document.

Part 1 – Business Justification

A. DCS Sponsor (*Division Director*)

Name:

Robert W. DuBois

Division:

Employee Benefits Division

Office Location:

NYS Department of Civil Service
Albany, New York 12239

Phone Number:

518-473-1977

Email Address:

Robert.DuBois@cs.state.ny.us

Back-up Point of Contact: (Data Custodian)

Name:

Barbara Vaughn

Division:

Employee Benefits Division

Office Location:

NYS Department of Civil Service
Albany, New York 12239

Phone Number:

518-549-2328

Email Address:

Barbara.Vaughn@cs.state.ny.us

B. Business Reason for Connection (*To be completed by Sponsor*)

State the purpose of establishing the connection and the purpose of the data transmission. Specify the business needs of the proposed connection. Use additional sheets of paper if needed.



C. Specify the details of the work to be accomplished via the connection. What applications will be used? What information will be used? What transactions will be accomplished?

D. Specify the Third Party Controls to be Implemented for Safeguarding DCS Data:

Access Controls:

Audit Controls:

Working procedures or practices for handling printed material and verbal exchanges:

Method of Disposal of media and paper:

User Account Management, including review of accounts:

Physical Security:

Other:

E. Estimated number of hours of use each week?

1 – 20

21 – 40

More than 40 hours per week

F. Anticipated normal hours of use?

M – F, 8:00 – 5:00 pm Eastern time

Other (specify):

G. What is the requested installation date? (Minimum lead-time is 30 days)

H. Approximately how long will the connection be needed?

Up to 6 months

6 – 12 months

More than 12 months

Specific time period:



Note: If a connection is needed for more than a year, the Connection Agreement must be renewed annually.

I. Other useful information

J. Third Party Information

Name of Third Party:

Main Phone Number:

Main Office Address:

Management Contact

Name:

Department:

Address:

Email Address:

Phone Number:

Manager's Name:

Manager's Phone:

Backup Contact

Name:

Department:

Address:

Email Address:

Phone Number:

Manager's Name:

Manager's Phone:

Technical Contact

Name:

Department:

Address:

Email Address:

Phone Number:

Manager's Name:

Manager's Phone:

Technical Support Hours:

Escalation List:

Domain name(s):

Host name(s):



User Names and Contact Information. (*List all employees of the Third Party who will use this access.*)

User 1 (*name, phone, email*):

User 2 (*name, phone, email*):

User 3 (*name, phone, email*):

User 4 (*name, phone, email*):

User 5 (*name, phone, email*):

User 6 (*name, phone, email*):

User 7 (*name, phone, email*):

User 8 (*name, phone, email*):

User 9 (*name, phone, email*):

User 10 (*name, phone, email*):

K. Other information



THIRD PARTY CONNECTION AND DATA EXCHANGE AGREEMENT

ATTACHMENT 3 – THIRD PARTY ACCEPTABLE USE POLICY AND AGREEMENT

This Policy and Agreement applies to all forms of computer and networking use, including local access at the Department of Civil Service (DCS) premises, remote access via public or private networks, access using DCS equipment, access using individual or group accounts, and access via other methods.

A signed paper copy of this form must be submitted by any individual (1) for whom authorization of a new user account is requested, (2) who will use a shared third party account, and/or (3) who is requesting reauthorization of an existing use. Modifications to the terms and conditions of this agreement will not be accepted by DCS management.

Indicate here if this is a notification that the User named below no longer requires access:

User's Name (<i>print</i>):			
Organization:			
Telephone Number:	Area code	Number	Extension
Office Address:			

<i>The undersigned acknowledges that he or she has read, understands, and agrees to comply with this Third Party Acceptable Use Policy and Agreement governing the use of DCS computing resources.</i>	
User Signature:	Date:

You must sign this signature page and send it to DCS. Retain a copy of the signature page and the attached Policy for your records. This form must be delivered either by fax or mail to:

MAIL: NYS Department of Civil Service, Albany, NY 12239
 Attention: Help Desk
FAX: 518-485-5588



THIRD PARTY CONNECTION AND DATA EXCHANGE AGREEMENT

ATTACHMENT 3 – THIRD PARTY ACCEPTABLE USE POLICY AND AGREEMENT

I. *Protection of DCS Information*

All records and information maintained in DCS systems accessed by the User are confidential and shall be used by the User solely for the purpose of carrying out the User's official duties. Users may not use any such records and information for any other purpose. No such records or information may otherwise be used or released to any person by the User or by the User's employer or agent, except as may be required by applicable State or federal law or by a court of competent jurisdiction. All accounts and connections will be regularly reviewed.

II. *DCS Log-on Banner*

All users will follow the guidelines of the DCS Log-on Banner as stated below.

NOTICE * The contents of this banner have been recommended to all State agencies by the Office for Technology in the NYS Preferred Standards and Procedures for Information Security. * This electronic system, which includes hardware, software and network components and all data contained therein (the "system"), is the property of the New York State Department of Civil Service (DCS). * Unauthorized use or attempted unauthorized use of this system is not permitted and may constitute a federal or state crime. Such use may subject you to appropriate disciplinary and/or criminal action. Use of this system is only permitted to the extent authorized by DCS. * Use is limited to conducting official business of DCS. Under the Electronic Communications Privacy Act of 1986 (18 U.S.C. 2510, et seq.), notice is hereby given that there are NO facilities provided by this system for sending or receiving private confidential electronic communication. Any use, whether authorized or not, may be monitored, intercepted, recorded, read, copied, accessed or captured in any manner, and used or disclosed in any manner, by authorized DCS personnel without additional prior notice to users. In this regard, users have no legitimate expectation of privacy during any use of this system or in any data on this system. * Use, whether authorized or unauthorized, constitutes expressed consent for DCS to monitor, intercept, record, read, copy, access or capture and use or disclose such information. * DCS policy regarding this matter can be reviewed on the DCS internal website. Copies can also be obtained from the Office of Human Resources Management. Such policies are subject to revision. This notice is consistent with the Acceptable Use Policy issued to DCS employees regarding acceptable use, June 15, 2005. I have read and understand this notification and department policy.

III. *Passwords*

The User is not permitted to share his/her password with anyone. Passwords must never be written down. The User must not use the same password for multiple applications. The User must use passwords that are not easily guessed and must not use their email address as their password.



IV. *Shared Accounts*

All use of shared accounts must be authorized by DCS. Users of shared accounts must be identified to DCS via the completion and signing of this policy/agreement. Third Parties are responsible for notification to DCS when the user base changes. Passwords for shared accounts must not be provided to individuals who have not been identified by Third Party to DCS and who have not completed and signed this policy/agreement.

V. *Virus Protection*

Anti-virus software must be installed and enabled at all times on DCS-owned computers and on third party computers used to conduct DCS business. Virus definition files must be kept up to date. DCS Information Resource Management (IRM) provides anti-virus software and maintains the configuration of that software for all DCS-owned computers.

VI. *Acceptable Use*

DCS computers, computing systems and their associated communication systems are provided to support the official business of DCS. All uses inconsistent with DCS' business activities and administrative objectives are considered to be inappropriate use.

Examples of unacceptable behavior include, but are not limited to the following.

- Any illegal activities that could result in legal actions against and/or financial damage to DCS.
- Computer usage that reasonably harasses or offends other employees, users, or outsiders, or results in public embarrassment to DCS.
- Computer usage that is not specifically approved and which consumes significant amounts of computer resources not commensurate with its benefit to DCS' mission or which interferes with the performance of a worker's assigned job responsibilities.
- Use in connection with compensated outside work or unauthorized not-for-profit business activities.
- Use of sniffers, spyware, ad-ware or other related technology.

VII. *Software Protection*

The User is responsible for complying with copyright, licensing, trademark protection, and fair use restrictions.

VIII. *Reporting Incidents*

Users are required to report incidents of system errors, data discrepancies, application performance problems, to the DCS Help Desk, at 518-457-5406 phone; 518-485-5588 fax.



IX. *DCS Rights*

Pursuant to the Electronic Communications Privacy Act of 1986 (18 USC 2510 et seq.), notice is hereby given that there are no facilities provided by this system for sending or receiving private or confidential electronic communications. DCS has access to all access attempts, messages created and received, and information created or stored using DCS resources, and will monitor use as necessary to assure efficient performance and appropriate use. Information relating to or in support of illegal activities will be reported to the appropriate authorities.

DCS reserves the right to log and monitor use. DCS reserves the right to remove a user account from the network. DCS assumes no responsibility or liability for files or information deleted.

The DCS will not be responsible for any damages. This includes the loss of data resulting from delays, non-deliveries, or service interruptions caused by negligence, errors or omissions, or caused by the way the user chooses to use DCS computing facilities.

DCS reserves the right to change its policies and rules at any time.

X. *Penalties*

The User shall hold the State and DCS harmless from any loss or damage to the State and/or DCS resulting from the User's inappropriate disclosure of information covered by this User Agreement. Further, the User's non-compliance with this Agreement may result in the revocation of system privileges, termination of employment or contract with DCS, and/or criminal and/or civil penalties.



Name And Address Of Borrower	DCS Business Unit (Loaning Organization)	
	Point Of Contact	
	Work Location	Telephone
Shipping Address (<i>If different from borrower's</i>)	Manager's Name	
	Date To Be Loaned	
	Date To Be Returned	
Equipment To Be Loaned		
Quantity	Description	Value
Purpose Of Loan		
CONDITIONS OF LOAN		
<ol style="list-style-type: none"> The Borrower of the above equipment agrees to return same in like condition as received from DCS, normal wear and tear excepted, on or before the above return date, unless the loan period is formally extended. Upon termination of this Agreement, Borrower shall uninstall all DCS software included in this Agreement from Borrower's computer and/or network equipment. The Borrower shall not make any copies of DCS software included in this Agreement. In case of loss or damage beyond repair, DCS shall be reimbursed by Borrower at the current price of replacement. The equipment shall not be loaned or transferred to a third party without the written consent of DCS. The right is reserved to cancel the loan or recall the equipment upon ____ days notice. The Borrower shall assume all shipping and/or transportation costs involved. Other conditions: 		



State of New York
 Department of Civil Service
 The State Campus
 Albany, New York 12239

ADMINISTRATIVE SERVICES DIVISION
Third Party Connection and Data Exchange Agreement
Attachment 4 –Equipment Loan Agreement
 ADM-125 (4/06)

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Agreed (Borrower)	Approved (DCS)
Borrowing Organization	Loaning Organization
Signature Of Authorized Official	Signature Of Authorized Official
Title	Title
Date	Date
RECEIPT OF EQUIPMENT	
Borrower (<i>Upon initial receipt</i>)	DCS Lender (<i>Upon termination of Agreement</i>)
Borrowing Organization	Loaning Organization
Signature Of Authorized Official	Signature Of Authorized Official
Title	Title
Date	Date

PARTICIPATION BY MINORITY GROUP MEMBERS AND WOMEN WITH RESPECT TO STATE CONTRACTS: REQUIREMENTS AND PROCEDURES

I. General Provisions

- A. The Department of Civil Service is required to implement the provisions of New York State Executive Law Article 15-A and 5 NYCRR Parts 140-145 (“MWBE Regulations”) for all State contracts as defined therein, with a value (1) in excess of \$25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of \$100,000 for real property renovations and construction.
- B. The contractor to the subject contract (the “Contractor” and the “Contract,” respectively) agrees, in addition to any other nondiscrimination provision of the Contract and at no additional cost to the New York State Department of Civil Service (the “Department”), to fully comply and cooperate with the Department in the implementation of New York State Executive Law Article 15-A. These requirements include equal employment opportunities for minority group members and women (“EEO”) and contracting opportunities for certified minority and women-owned business enterprises (“MWBEs”). The Contractor’s demonstration of “good faith efforts” pursuant to 5 NYCRR §142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the “Human Rights Law”) or other applicable federal, state or local laws.
- C. Failure to comply with all of the requirements herein may result in a finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the withholding of funds or such other actions, liquidated damages pursuant to Section VII of this Appendix or enforcement proceedings as allowed by the Contract.

II. Contract Goals

- A. For purposes of this procurement, the Department hereby establishes an overall goal of 30% for Minority and Women-Owned Business Enterprises (“MWBE”) participation, 15% for New York State certified minority-owned business enterprises (“MBE”) participation and 15% for New York State certified women-owned business enterprises (“WBE”) participation (collectively, “MWBE Contract Goals”) based on the current availability of qualified MBEs and WBEs.
- B. For purposes of providing meaningful participation by MWBEs on the Contract and achieving the MWBE Contract Goals established in Section II-A hereof, the Contractor should reference the directory of New York State Certified MBWEs found at the following internet address: <https://ny.newnycontracts.com>.

Additionally, the Contractor is encouraged to contact the Division of Minority and Woman Business Development ((518) 292-5250; (212) 803-2414; or (716) 846-8200) to discuss additional methods of maximizing participation by MWBEs on the Contract.

- C. Where MWBE Contract Goals have been established herein, pursuant to 5 NYCRR §142.8, the Contractor must document “good faith efforts” to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract. In accordance with Section 316-a of Article 15-A and 5 NYCRR §142.13, the Contractor acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in the Contract, such a finding constitutes a breach of contract and the Contractor shall be liable to the Department for liquidated or other appropriate damages, as set forth herein.

III. Equal Employment Opportunity (EEO)

- A. The Contractor agrees to be bound by the provisions of Article 15-A and the MWBE Regulations promulgated by the Division of Minority and Women's Business Development of the Department of Economic Development (the “Division”). If any of these terms or provisions conflict with applicable law or regulations, such laws and regulations shall supersede these requirements.
- B. The Contractor shall comply with the following provisions of Article 15-A:
 - 1. Contractor and subcontractor performing work on the Contract (“Subcontractor”) shall undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, EEO shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation.
 - 2. The Contractor shall submit an EEO policy statement to the Department within seventy two (72) hours after the date of the notice by the Department to award the Contract to the Contractor.
 - 3. If the Contractor or Subcontractor does not have an existing EEO policy statement, the Department may provide the Contractor or Subcontractor a model statement (see Appendix D-1 – Minority and Women-Owned Business Enterprises Equal Employment Opportunity Policy Statement).
 - 4. The Contractor’s EEO policy statement shall include the following language:

- a. The Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force.
- b. The Contractor shall state in all solicitations or advertisements for employees that, in the performance of the 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.
- c. 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.
- d. The Contractor will include the provisions of Subdivisions (a) through (c) of this Subsection 4 and Paragraph "E" of this Section III, which provides for relevant provisions of the Human Rights Law, in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each Subcontractor as to work in connection with the Contract.

C. Form EEO-100 - Staffing Plan

To ensure compliance with this Section, the Contractor shall submit a staffing plan to document the composition of the proposed workforce to be utilized in the performance of the Contract by the specified categories listed, including ethnic background, gender, and Federal occupational categories. The Contractor shall complete the Staffing plan form and submit it as part of their bid or proposal or within a reasonable time, but no later than the time of award of the contract.

D. Form MWBE-100 - Workforce Employment Utilization Report ("Workforce Report")

1. Once a contract has been awarded and during the term of Contract, the Contractor is responsible for updating and providing notice to the Department of any changes to the previously submitted Staffing Plan. This information is to be submitted on a quarterly basis during the term of the contract to report the actual workforce utilized in the performance of the contract by the specified categories

listed including ethnic background, gender, and Federal occupational categories. The Workforce Report must be submitted to report this information.

2. Separate forms shall be completed by Contractor and any Subcontractor.
 3. In limited instances, the Contractor may not be able to separate out the workforce utilized in the performance of the Contract from the Contractor's and/or Subcontractor's total workforce. When a separation can be made, the Contractor shall submit the Workforce Report and indicate that the information provided related to the actual workforce utilized on the Contract. When the workforce to be utilized on the contract cannot be separated out from the Contractor's and/or Subcontractor's total workforce, the Contractor shall submit the Workforce Report and indicate that the information provided is the Contractor's total workforce during the subject time frame, not limited to work specifically under the contract.
- E. The Contractor shall comply with the provisions of the Human Rights Law, all other State and Federal statutory and constitutional non-discrimination provisions. The Contractor and Subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

IV MWBE Utilization Plan

- A. The Contractor represents and warrants that Contractor has submitted an MWBE Utilization Plan, by submitting evidence thereof through the New York State Contract System ("NYSCS"), which can be viewed at <https://ny.newnycontracts.com>, provided, however, that the Contractor may arrange to provide such evidence via a non-electronic method to the Department, either prior to, or at the time of, the execution of the contract.
- B. The Contractor agrees to use such MWBE Utilization Plan for the performance of MWBEs on the Contract pursuant to the prescribed MWBE goals set forth in Section III-A of this Appendix.
- C. The Contractor further agrees that a failure to submit and/or use such MWBE Utilization Plan shall constitute a material breach of the terms of the Contract. Upon the occurrence of such a material breach, the Department shall be entitled to any remedy provided herein, including but not limited to, a finding of the Contractor non-responsiveness.

V. Waivers

- A. For Waiver Requests, the Contractor should use the NYSCS, provided, however, that Bidder may arrange to provide such evidence via a non-electronic method to the Department.
- B. If the Contractor, after making good faith efforts, is unable to comply with MWBE goals, the Contractor may submit a Request for Waiver documenting good faith efforts by the Contractor to meet such goals. If the documentation included with the waiver request is complete, the Department shall evaluate the request and issue a written notice of acceptance or denial within twenty (20) days of receipt.
- C. If the Department, upon review of the MWBE Utilization Plan and updated Quarterly MWBE Contractor Compliance Reports determines that the Contractor is failing or refusing to comply with the MWBE Contract Goals and no waiver has been issued in regards to such non-compliance, the Department may issue a notice of deficiency to the Contractor. The Contractor must respond to the notice of deficiency within seven (7) business days of receipt. Such response may include a request for partial or total waiver of MWBE Contract Goals.

VI Quarterly MWBE Contractor Compliance Report

The Contractor is required to submit a Quarterly MWBE Contractor Compliance Report through the NYSCS, provided, however, that Bidder may arrange to provide such evidence via a non-electronic method to the Department by the 10th day following each end of quarter over the term of the Contract documenting the progress made towards achievement of the MWBE goals of the Contract.

VII Liquidated Damages - MWBE Participation

- A. Where the Department determines that the Contractor is not in compliance with the requirements of the Contract and the Contractor refuses to comply with such requirements, or if the Contractor is found to have willfully and intentionally failed to comply with the MWBE participation goals, the Contractor shall be obligated to pay to the Department liquidated damages.
- B. Such liquidated damages shall be calculated as an amount equaling the difference between:
 - 1. All sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and
 - 2. All sums actually paid to MWBEs for work performed or materials supplied under the Contract.
- C. In the event a determination has been made which requires the payment of liquidated damages and such identified sums have not been withheld by the Department, the Contractor shall pay such liquidated damages to the Department within sixty (60) days after they are assessed by the Department unless prior to the

expiration of such sixtieth day, the Contractor has filed a complaint with the Director of the Division of Minority and Woman Business Development pursuant to Subdivision 8 of Section 313 of the Executive Law in which event the liquidated damages shall be payable if Director renders a decision in favor of the Department.

**MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES – EQUAL
EMPLOYMENT OPPORTUNITY POLICY STATEMENT**

M/WBE AND EEO POLICY STATEMENT

I, _____, the (awardee/contractor) _____ agree to adopt the following policies with respect to the project being developed or services rendered at the New York State Department of Civil Service.

M/WBE

This organization will and will cause its contractors and subcontractors to take good faith actions to achieve the M/WBE contract participations goals set by the State for that area in which the State-funded project is located, by taking the following steps:

- (1) Actively and affirmatively solicit bids for contracts and subcontracts from qualified State certified MBEs or WBEs, including solicitations to M/WBE contractor associations.
- (2) Request a list of State-certified M/WBEs from the Department and solicit bids from them directly.
- (3) Ensure that plans, specifications, request for proposals and other documents used to secure bids will be made available in sufficient time for review by prospective M/WBEs.
- (4) Where feasible, divide the work into smaller portions to enhanced participations by M/WBEs and encourage the formation of joint venture and other partnerships among M/WBE contractors to enhance their participation.
- (5) Document and maintain records of bid solicitation, including those to M/WBEs and the results thereof. The Contractor will also maintain records of actions that its subcontractors have taken toward meeting M/WBE contract participation goals.
- (6) Ensure that progress payments to M/WBEs are made on a timely basis so that undue financial hardship is avoided, and that bonding and other credit requirements are waived or appropriate alternatives developed to encourage M/WBE participation.

EEO

(a) This organization will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing programs of affirmative action to ensure that minority group members are afforded equal employment opportunities without discrimination, and 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.

(b) This organization shall state in all solicitation 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 disability or marital status.

(c) At the request of the contracting agency, this organization shall request each employment agency, labor union, or authorized 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 this organization's obligations herein.

(d) The Contractor shall comply with the provisions of the Human Rights Law, all other State and Federal statutory and constitutional non-discrimination provisions. The Contractor and subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

(e) This organization will include the provisions of sections (a) through (d) of this agreement in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with the State contract

Agreed to this _____ day of _____, 2015

By _____

Print: _____ Title: _____

_____ is designated as the Minority Business Enterprise Liaison
(Name of Designated Liaison)
responsible for administering the Minority and Women-Owned Business Enterprises- Equal
Employment Opportunity (M/WBE-EEO) program.

M/WBE Contract Goals

- % Minority and Women’s Business Enterprise Participation
- % Minority Business Enterprise Participation
- % Women’s Business Enterprise Participation

EEO Contract Goals

- % Minority Labor Force Participation
- % Female Labor Force Participation

(Authorized Representative)

Title: _____

Date: _____



Your MWBE Utilization and Reporting Responsibilities Under Article 15-A

The New York State Contract System (“NYSCS”) is your one stop tool compliance with New York State’s MWBE Program. It is also the platform New York State uses to monitor state contracts and MWBE participation.


GETTING STARTED

To access the system, you will need to login or create a user name and password at <https://ny.newnycontracts.com>. If you are uncertain whether you already have an account set up or still need to register, please send an email to the customer service contact listed on the Contact Us & Support page, or reach out to your contract’s project manager. For verification, in the email, include your business name and contact information.

VENDOR RESPONSIBILITIES

As a vendor conducting business with New York State, you have a responsibility to utilize minority- and/or women-owned businesses in the execution of your contracts, per the MWBE percentage goals stated in your solicitation, incentive proposal or contract documents. NYSCS is the tool that New York State uses to monitor MWBE participation in state contracting. Through the NYSCS you will submit utilization plans, request subcontractors, record payments to subcontractors, and communicate with your project manager throughout the life of your awarded contracts.

There are several reference materials available to assist you in this process, but to access them, you need to first be registered within the NYSCS. Once you log onto the website, click on the **Help & Support** >> link on the lower left hand corner of the Menu Bar to find recorded trainings and manuals on

all features of the NYSCS. You may also click on the  icon at the top right of your screen to find videos tailored to primes and subcontractors. There are also opportunities available to join live trainings, read up on the “Knowledge Base” through the Forum link, and submit feedback to help improve future enhancements to the system. Technical assistance is always available through the **Contact Us & Support** link on the NYSCS website (<https://ny.newnycontracts.com>).

For more information, contact your project manager.

Exhibit I.A - Proposal Submission Requirement Checklist

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

- ___ 1. **TIMELY SUBMISSION:** Proposal submitted to assure receipt by the Department no later than 3:00 p.m. ET on the Proposal Due Date as indicated in IFB Section II.A.1.
- ___ 2. **FORMATTING REQUIREMENTS:** The Offeror's Proposal must be organized in three parts: Administrative Section; Technical Section and Cost Section and each part must each comply with the formatting requirements stated in Section II.A.7.a and II.A.7.b of this IFB.
- ___ a. Eight (8) separately bound hardcopies – **two (2) Originals each of the Administrative Section, Technical Section and Cost Section** containing original documents (i.e., original signatures, no photocopies) and marked and numbered (i.e., "ORIGINAL #1" and "ORIGINAL #2."), **Six (6) copies of each Administrative Section, Technical Section and Cost Section** marked and numbered (i.e., "COPY #1," "COPY #2," etc.) and a separate CD for the Administrative, Technical and Cost Sections.
 - ___ b. Proposals must be prepared in Adobe Acrobat, with the exception of certain cost and provider network exhibits that have specific formatting instructions.
 - ___ c. The Administrative, Technical Section must be bound together and clearly labeled. The Cost Section must be separately bound from the Administrative and Technical Sections or submitted in a separate sealed envelope clearly labeled with "Dependent Eligibility Audit Services #DEAS-2015-1" and Offeror's name(s).
 - ___ 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 Section must contain the documentation required in Section III of this IFB. The Technical Section must be responsive to the programmatic duties and responsibilities set forth in Section IV of this IFB. The Cost Section must demonstrate a commitment to perform all programmatic duties and responsibilities in accordance with Section V of this IFB.
- ___ 3. **REQUIRED CONTENT OF THE ADMINISTRATIVE SECTION:** The Administrative Section 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 IFB, Exhibit I.S in accordance with the requirements set forth in IFB, 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.D MacBride Statement and Non-Collusive Bidding Certification
 - ___ Exhibit I.G EEO Staffing Plan (form EEO-100)
 - ___ 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 MWBE Utilization Plan (form MWBE-100)

Exhibit I.A - Proposal Submission Requirement Checklist

- ___ Exhibit I.P Offeror's Certification of Compliance Pursuant to State Finance Law §139-k
- ___ Exhibit I.Q Certification of Good Faith Efforts (form MWBE-104)
- ___ Exhibit I.U.2 NYS Supplier & Subcontractor Exhibit
- ___ Exhibit I.W Compliance with NYS Workers' Compensation Law
- ___ Exhibit I.X Extraneous Terms

- ___ D. **Key Subcontractors:** The Offeror must provide a statement identifying all Key Subcontractors, if any, that the Offeror will be contracting with to provide 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 IFB. If the Offeror will not be subcontracting with any Key Subcontractor(s) to provide program services, the Offeror must provide a statement to that effect.

- ___ E. **Reference Checks:** The Offeror must list two (2) references of current clients and one (1) reference of a former client for a total of three (3) references for which the Offeror has supplied DEA Project Services similar to those required in this IFB. At least one (1) of the referenced clients must be an entity with at least one hundred fifty thousand or more Dependent lives subject to audit. If the Offeror has no former clients to include as references, the Offeror must include a statement attesting to that fact. Otherwise, the Offeror must include, at minimum, one (1) former client as a reference for which the Offeror has supplied services similar in nature to those required in this IFB. If the Offeror is proposing any Key Subcontractors or Affiliates, the references should be with clients for whom the Offeror and Key Subcontractor or Affiliate have jointly supplied services similar to those described in this IFB. For each Reference provided the Offeror must complete and submit **Exhibit I.V**, entitled "Program References." The Offeror shall be solely responsible for providing contact names and phone numbers that are readily available to be contacted by the State. The Offeror must also indicate what participation, if any, the project manager and each key staff person proposed for this Project had in the referenced services.

- ___ 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 or Affiliate, if any, that provides any of the Program Services; provide the most recent GAAP annual audited statement. If the Offeror, or a Key Subcontractor or Affiliate, 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/Affiliate 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/Key Subcontractor/Affiliate must provide the following as part of its Administrative Section a letter from a bank reference attesting to the Offeror/Key Subcontractor/Affiliate's financial viability and creditworthiness. (Note: for purposes of this reference, the Offeror may not

Exhibit I.A - Proposal Submission Requirement Checklist

give as a reference, a parent or subsidiary company, a partner or an affiliate organization.) 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/Key Subcontractor/Affiliate and the bank), including the duration of the relationship and the Offeror's current standing with the bank. For example: "*The (Offeror/Key Subcontractor/Affiliate's name) 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/Key Subcontractor/Affiliate's financial viability and creditworthiness concerning the nature and scope of the Program Services, which are the subject matter of this IFB, and the parties (i.e., DCS and the Offeror or the Offeror and Key Subcontractor of Affiliate) contractual obligations should the Offeror be awarded the resultant contract.

___ G. **Vendor Responsibility Questionnaire:** The Offeror must complete and execute a NYS Vendor Responsibility Questionnaire for itself and all Key Subcontractors.

1. If the Offeror or Key Subcontractor, if any, is incorporated outside the State of New York, a recent certificate of Good Standing must be submitted for each.
2. If the Offeror or Key Subcontractor, if any, has any employees in NYS, a confirmation of NYC's Worker's Compensation and NYS Disability coverage must be submitted for each.

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

Technical Section Submission Requirements

___ A. **Contractor Responsibilities**

- ___ 1. Project Team
- ___ 2. Project Implementation
- ___ 3. Electronic Transfer of Data
- ___ 4. Call Center Services
- ___ 5. Secure Online Web Portal
- ___ 6. Amnesty Period, Eligibility Verification Period and Appeal and Reinstatement Period(s)
- ___ 7. Communication Material
- ___ 8. Outgoing and Returned Mail Process
- ___ 9. Reporting
- ___ 10. Project Return on Investment (ROI)
- ___ 11. Performance Guarantees

Exhibit I.A - Proposal Submission Requirement Checklist

Amended May, 29, 2015

___ B Technical Section Submission Requirements

- ___1. Executive Summary
- ___2. Project Team
- ___3. Project Implementation
- ___4. Electronic Transfer of Data
- ___5. Call Center
- ___6. Secure Online Web Portal
- ___7. Amnesty Period, Eligibility Verification Period, and Appeal and Reinstatement Period
- ___8. Communication Material
- ___9. Reporting**

5. **REQUIRED CONTENT OF THE COST SECTION:** The Offeror's Cost Section shall demonstrate that it will execute the duties and responsibilities set forth in Section V of this IFB and it shall contain the following information, in accordance with the submissions associated requirements below:

___A. Offeror shall submit a completed Exhibit V – DEA Project Services Fees, as required.

6. **REQUESTED REDACTIONS CD and HARD COPY:** The FOIL-related materials described herein which the Offeror is requested to provide per IFB, 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.

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

- ___A. Exhibit I.C Freedom of Information Law – Request for Redaction Chart
- ___B. Separately bound hardcopy of the Administrative Section, Technical Section, and Cost Section with each specific item requested to be protected from FOIL disclosure by highlighting in yellow.
- ___C. Electronic copy (on CD in Adobe Acrobat Professional software, version 8 or higher) 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 Section, Technical Section, and Cost Section).

This Exhibit has been intentionally
left blank

Exhibit I.C - Freedom of Information Law – Request for Redaction Chart

 (Name of Company) Proposal Dated _____

In Response to the Procuring Agencies Request for Proposals entitled **Dependent Eligibility Audit Services #DEAS-2015-1**.

- Offeror asserts that the information noted in the table below constitutes proprietary and/or trade secret information and desires that such information not be disclosed if requested pursuant to the New York State Freedom of Information Law, Article 6 of the Public Officers Law.
- Offeror makes NO assertion that any information in its Proposal, in whole or in part, should be protected from FOIL disclosure.

Administrative Section:		
Requested Redaction Page #'s and Proposal Sections or Exhibit/Attachment #	Description	Offeror Rationale for Proposed Redaction
<i>Insert rows above as necessary</i>		
Technical Section:		
Requested Redaction Page #'s and Proposal Sections or Exhibit/Attachment #	Description	Offeror Rationale for Proposed Redaction
<i>Insert rows above as necessary</i>		
Cost Section:		
Requested Redaction Page #'s and Proposal Sections or Exhibit/Attachment #	Description	Offeror Rationale for Proposed Redaction
<i>Insert rows above as necessary</i>		

REDACTION CHART

Please provide specific justification for each item for which you seek protection from FOIL disclosure. An appropriate justification may any one or more of the following considerations by which to demonstrate reasonably whether the item for which you seek protection may be excepted from disclosure:

- a) the confidential nature of the specific item, including a description of the nature and extent of the injury to the Offeror's competitive position, such as unfair economic or competitive damage, which would be incurred were the information/record to be disclosed;
- b) whether the specific information/record is treated as confidential by the Offeror, including whether it ever has been made available to any person or entity;
- c) whether any patent, copyright, or similar legal protection exists for the specific item of information;
- d) whether the public disclosure of the information/record is otherwise restricted by law, and the specific source and content of such restriction;
- e) the date upon which the information/record no longer will need to be kept confidential, if applicable;
- f) whether the item of information is known by anyone outside the Offeror's business or organization;
- g) the extent to which the information is known by Offeror's employees and others involved in the Offeror's business;
- h) the value of the specific information/record to the Offeror and to its competitors;
- i) the amount of effort or money expended by the Offeror in developing the information/record; and
- j) the ease or difficulty with which the information could be properly acquired or duplicated (not merely copied) for use by others.

NON-DISCRIMINATION IN EMPLOYMENT IN NORTHERN IRELAND
MACBRIDE FAIR EMPLOYMENT PRINCIPLES

In accordance with Chapter 807 of the Laws of 1992 the Offeror, by submission of this bid, certifies that it or any individual or legal entity in which the Offeror holds a 10% or greater ownership interest, or any individual or legal entity that holds a 10% or greater ownership interest in the Offeror, either (answer “yes” or “no” to one or both of the following, as applicable):

Have business operations in Northern Ireland. Yes _____ or No _____

If yes:

Shall take lawful steps in good faith to conduct any business operations they have in Northern Ireland in accordance with the MacBride Fair Employment Principles relating to nondiscrimination in employment and freedom of workplace opportunity regarding such operations in Northern Ireland, and shall permit independent monitoring of their compliance with such Principles. Yes _____ or No _____

NON-COLLUSIVE BIDDING CERTIFICATION

By submission of this bid, each Offeror and each person signing on behalf of any Offeror certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of his knowledge and belief:

1. The prices in this bid have been arrived at independently without collusion, consultation, communication or agreement for the purpose of restricting competition, as to any matter relating to such prices with any other Offeror or with any competitor;
2. Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the Offeror and will not knowingly be disclosed by the Offeror prior to opening, directly or indirectly, to any other Offeror or to any competitor; and
3. No attempt has been made or will be made by the Offeror to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.

Exhibit I.D – MacBride and Non-Collusive Bidding Certification

Date: _____

Signature

PRINT:
SIGNATORY’S NAME _____ TITLE _____

INDIVIDUAL, CORPORATE OR PARTNERSHIP ACKNOWLEDGMENT

STATE OF }
 : **SS.:**
COUNTY OF }

On the ____ day of _____ in the year 20__, before me personally appeared:

_____, known to me to be the person who executed the
foregoing

instrument, who, being duly sworn by me did depose and say that _he resides at
_____, Town of

_____, County of _____, State of
_____ ; and further that, if applicable:

[Check One, If Applicable]

(___ **If a corporation**): _he is the _____ of
_____, the corporation described in said instrument; that, by
authority of the Board of Directors of said corporation, _he is authorized to execute the foregoing
instrument on behalf of the corporation for purposes set forth therein; and that, pursuant to that
authority, _he executed the foregoing instrument in the name of and on behalf of said corporation
as the act and deed of said corporation.

(___ **If a partnership**): _he is the _____ of
_____, the partnership described in said instrument; that,
by the terms of said partnership, _he is authorized to execute the foregoing instrument on behalf of
the partnership for the purposes set forth therein; and that, pursuant to that authority, _he executed
the foregoing instrument in the name and on behalf of said partnership as the act and deed of said
partnership.

Notary Public



New York State Department of Taxation and Finance

Contractor Certification to Covered Agency
 (Pursuant to Section 5-a of the Tax Law, as amended, effective April 26, 2006)

ST-220-CA
 (6/06)

For information, consult Publication 223, *Questions and Answers Concerning Tax Law Section 5-a* (see *Need Help? on back*).

Contractor name		For covered agency use only Contract number or description	
Contractor's principal place of business	City	State	ZIP code
Contractor's mailing address (if different than above)		Estimated contract value over the full term of contract (but not including renewals)	
Contractor's federal employer identification number (EIN)	Contractor's sales tax ID number (if different from contractor's EIN)		\$
Contractor's telephone number	Covered agency name		
Covered agency address		Covered agency telephone number	

I, _____, hereby affirm, under penalty of perjury, that I am _____

(name) *(title)*

of the above-named contractor, that I am authorized to make this certification on behalf of such contractor, and I further certify that:

(Mark an X in only one box)

- The contractor has filed Form ST-220-TD with the Department of Taxation and Finance in connection with this contract and, to the best of contractor's knowledge, the information provided on the Form ST-220-TD, is correct and complete.
- The contractor has previously filed Form ST-220-TD with the Tax Department in connection with _____
(insert contract number or description)
 and, to the best of the contractor's knowledge, the information provided on that previously filed Form ST-220-TD, is correct and complete as of the current date, and thus the contractor is not required to file a new Form ST-220-TD at this time.

Sworn to this ____ day of _____, 20 ____

(sign before a notary public) (title)

Instructions

General information

Tax Law section 5-a was amended, effective April 26, 2006. On or after that date, in all cases where a contract is subject to Tax Law section 5-a, a contractor must file (1) Form ST-220-CA, *Contractor Certification to Covered Agency*, with a covered agency, and (2) Form ST-220-TD with the Tax Department before a contract may take effect. The circumstances when a contract is subject to section 5-a are listed in Publication 223, Q&A 3. This publication is available on our Web site, by fax, or by mail. (See *Need help?* for more information on how to obtain this publication.) In addition, a contractor must file a new Form ST-220-CA with a covered agency before an existing contract with such agency may be renewed.

If you have questions, please call our information center at 1 800 698-2931.

Note: Form ST-220-CA must be signed by a person authorized to make the certification on behalf of the contractor, and the acknowledgement on page 2 of this form must be completed before a notary public.

When to complete this form

As set forth in Publication 223, a contract is subject to section 5-a, and you must make the required certification(s), if:

- i. The procuring entity is a *covered agency* within the meaning of the statute (see Publication 223, Q&A 5);
- ii. The contractor is a *contractor* within the meaning of the statute (see Publication 223, Q&A 6); and
- iii. The contract is a *contract* within the meaning of the statute. This is the case when it (a) has a value in excess of \$100,000 and (b) is a contract for *commodities or services*, as such terms are defined for purposes of the statute (see Publication 223, Q&A 8 and 9).

Furthermore, the procuring entity must have begun the solicitation to purchase on or after January 1, 2005, and the resulting contract must have been awarded, amended, extended, renewed, or assigned on or after April 26, 2006 (the effective date of the section 5-a amendments).

Individual, Corporation, Partnership, or LLC Acknowledgment

STATE OF }
: SS.:
COUNTY OF }

On the ___ day of _____ in the year 20___, before me personally appeared _____,
known to me to be the person who executed the foregoing instrument, who, being duly sworn by me did depose and say that
_he resides at _____,
Town of _____,
County of _____,
State of _____; and further that:

[Mark an X in the appropriate box and complete the accompanying statement.]

- (If an individual): _he executed the foregoing instrument in his/her name and on his/her own behalf.
(If a corporation): _he is the _____ of _____, the corporation described in said instrument; that, by authority of the Board of Directors of said corporation, _he is authorized to execute the foregoing instrument on behalf of the corporation for purposes set forth therein; and that, pursuant to that authority, _he executed the foregoing instrument in the name of and on behalf of said corporation as the act and deed of said corporation.
(If a partnership): _he is a _____ of _____, the partnership described in said instrument; that, by the terms of said partnership, _he is authorized to execute the foregoing instrument on behalf of the partnership for purposes set forth therein; and that, pursuant to that authority, _he executed the foregoing instrument in the name of and on behalf of said partnership as the act and deed of said partnership.
(If a limited liability company): _he is a duly authorized member of _____, LLC, the limited liability company described in said instrument; that _he is authorized to execute the foregoing instrument on behalf of the limited liability company for purposes set forth therein; and that, pursuant to that authority, _he executed the foregoing instrument in the name of and on behalf of said limited liability company as the act and deed of said limited liability company.

Notary Public
Registration No.

Privacy notification

The Commissioner of Taxation and Finance may collect and maintain personal information pursuant to the New York State Tax Law, including but not limited to, sections 5-a, 171, 171-a, 287, 308, 429, 475, 505, 697, 1096, 1142, and 1415 of that Law; and may require disclosure of social security numbers pursuant to 42 USC 405(c)(2)(C)(i).
This information will be used to determine and administer tax liabilities and, when authorized by law, for certain tax offset and exchange of tax information programs as well as for any other lawful purpose.
Information concerning quarterly wages paid to employees is provided to certain state agencies for purposes of fraud prevention, support enforcement, evaluation of the effectiveness of certain employment and training programs and other purposes authorized by law.
Failure to provide the required information may subject you to civil or criminal penalties, or both, under the Tax Law.
This information is maintained by the Director of Records Management and Data Entry, NYS Tax Department, W A Harriman Campus, Albany NY 12227; telephone 1 800 225-5829. From areas outside the United States and outside Canada, call (518) 485-6800.

Need help?
Internet access: www.nystax.gov (for information, forms, and publications)
Fax-on-demand forms: 1 800 749-3676
Telephone assistance is available from 8:00 A.M. to 5:00 P.M. (eastern time), Monday through Friday. 1 800 698-2931
To order forms and publications: 1 800 462-8100
From areas outside the U.S. and outside Canada: (518) 485-6800
Hearing and speech impaired (telecommunications device for the deaf (TDD) callers only): 1 800 634-2110
Persons with disabilities: In compliance with the Americans with Disabilities Act, we will ensure that our lobbies, offices, meeting rooms, and other facilities are accessible to persons with disabilities. If you have questions about special accommodations for persons with disabilities, please call 1 800 972-1233.



Contractor Certification

(Pursuant to Section 5-a of the Tax Law, as amended, effective April 26, 2006)

For information, consult Publication 223, *Questions and Answers Concerning Tax Law Section 5-a* (see *Need help?* below).

Contractor name				
Contractor's principal place of business		City	State	ZIP code
Contractor's mailing address (if different than above)				
Contractor's federal employer identification number (EIN)		Contractor's sales tax ID number (if different from contractor's EIN)		Contractor's telephone number ()
Covered agency or state agency	Contract number or description		Estimated contract value over the full term of contract (but not including renewals) \$	
Covered agency address			Covered agency telephone number	

General information

Section 5-a of the Tax Law, as amended, effective April 26, 2006, requires certain contractors awarded certain state contracts valued at more than \$100,000 to certify to the Tax Department 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 specified period. In addition, contractors must certify to the Tax Department that each affiliate and subcontractor 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 file a Form ST-220-CA, certifying to the procuring state entity that they filed Form ST-220-TD with the Tax Department and that the information contained on Form ST-220-TD is correct and complete as of the date they file Form ST-220-CA.

All sections must be completed including all fields on the top of this page, all sections on page 2, Schedule A on page 3, if applicable, and Individual, Corporation, Partnership, or LLC Acknowledgement on page 4. If you do not complete these areas, the form will be returned to you for completion.

For more detailed information regarding this form and section 5-a of the Tax Law, see Publication 223, *Questions and Answers Concerning Tax Law Section 5-a*, (as amended, effective April 26, 2006), available at www.nystax.gov. Information is also available by calling the Tax Department's Contractor Information Center at 1 800 698-2931.

Note: Form ST-220-TD must be signed by a person authorized to make the certification on behalf of the contractor, and the acknowledgement on page 4 of this form must be completed before a notary public.

Mail completed form to:

**NYS TAX DEPARTMENT
DATA ENTRY SECTION
W A HARRIMAN CAMPUS
ALBANY NY 12227**

Privacy notification

The Commissioner of Taxation and Finance may collect and maintain personal information pursuant to the New York State Tax Law, including but not limited to, sections 5-a, 171, 171-a, 287, 308, 429, 475, 505, 697, 1096, 1142, and 1415 of that Law; and may require disclosure of social security numbers pursuant to 42 USC 405(c)(2)(C)(i).





This information will be used to determine and administer tax liabilities and, when authorized by law, for certain tax offset and exchange of tax information programs as well as for any other lawful purpose.

Information concerning quarterly wages paid to employees is provided to certain state agencies for purposes of fraud prevention, support enforcement, evaluation of the effectiveness of certain employment and training programs and other purposes authorized by law.

Failure to provide the required information may subject you to civil or criminal penalties, or both, under the Tax Law.

This information is maintained by the Director of Records Management and Data Entry, NYS Tax Department, W A Harriman Campus, Albany NY 12227.

Need help?

	Internet access: www.nystax.gov (for information, forms, and publications)	
	Fax-on-demand forms:	1 800 748-3676
	Telephone assistance is available from 8:00 A.M. to 5:00 P.M. (eastern time), Monday through Friday.	
	To order forms and publications:	1 800 462-8100
	Sales Tax Information Center:	1 800 698-2909
	From areas outside the U.S. and outside Canada:	(518) 485-6800
	Hearing and speech impaired (telecommunications device for the deaf (TDD) callers only):	1 800 634-2110
	Persons with disabilities: In compliance with the Americans with Disabilities Act, we will ensure that our lobbies, offices, meeting rooms, and other facilities are accessible to persons with disabilities. If you have questions about special accommodations for persons with disabilities, please call 1 800 972-1233.	

I, _____, hereby affirm, under penalty of perjury, that I am _____
(name) (title)
of the above-named contractor, and that I am authorized to make this certification on behalf of such contractor.

Complete Sections 1, 2, and 3 below. Make only one entry in each section.

Section 1 — Contractor registration status

- The contractor has 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 during the four sales tax quarters which immediately precede the sales tax quarter in which this certification is made. The contractor is registered to collect New York State and local sales and compensating use taxes with the Commissioner of Taxation and Finance pursuant to sections 1134 and 1253 of the Tax Law, and is listed on Schedule A of this certification.
- The contractor has not 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 during the four sales tax quarters which immediately precede the sales tax quarter in which this certification is made.

Section 2 — Affiliate registration status

- The contractor does not have any affiliates.
- To the best of the contractor's knowledge, the contractor has one or more affiliates having 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 during the four sales tax quarters which immediately precede the sales tax quarter in which this certification is made, and each affiliate exceeding the \$300,000 cumulative sales threshold during such quarters is registered to collect New York State and local sales and compensating use taxes with the Commissioner of Taxation and Finance pursuant to sections 1134 and 1253 of the Tax Law. The contractor has listed each affiliate exceeding the \$300,000 cumulative sales threshold during such quarters on Schedule A of this certification.
- To the best of the contractor's knowledge, the contractor has one or more affiliates, and each affiliate has not 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 during the four sales tax quarters which immediately precede the sales tax quarter in which this certification is made.

Section 3 — Subcontractor registration status

- The contractor does not have any subcontractors.
- To the best of the contractor's knowledge, the contractor has one or more subcontractors having 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 during the four sales tax quarters which immediately precede the sales tax quarter in which this certification is made, and each subcontractor exceeding the \$300,000 cumulative sales threshold during such quarters is registered to collect New York State and local sales and compensating use taxes with the Commissioner of Taxation and Finance pursuant to sections 1134 and 1253 of the Tax Law. The contractor has listed each subcontractor exceeding the \$300,000 cumulative sales threshold during such quarters on Schedule A of this certification.
- To the best of the contractor's knowledge, the contractor has one or more subcontractors, and each subcontractor has not 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 during the four sales tax quarters which immediately precede the sales tax quarter in which this certification is made.

Sworn to this ____ day of _____, 20 ____

(sign before a notary public)

(title)

Schedule A — Listing of each entity (contractor, affiliate, or subcontractor) exceeding \$300,000 cumulative sales threshold

List the contractor, or affiliate, or subcontractor in Schedule A only if such entity exceeded the \$300,000 cumulative sales threshold during the specified sales tax quarters. See directions below. For more information, see Publication 223.

A Relationship to Contractor	B Name	C Address	D Federal ID Number	E Sales Tax ID Number	F Registration in progress

- Column A – Enter **C** in column A if the contractor; **A** if an affiliate of the contractor; or **S** if a subcontractor.
- Column B – Name - If the entity is a corporation or limited liability company, enter the exact legal name as registered with the NY Department of State, if applicable. If the entity is a partnership or sole proprietor, enter the name of the partnership and each partner's given name, or the given name(s) of the owner(s), as applicable. If the entity has a different DBA (doing business as) name, enter that name as well.
- Column C – Address - Enter the street address of the entity's principal place of business. Do not enter a PO box.
- Column D – ID number - Enter the federal employer identification number (EIN) assigned to the entity. If the entity is an individual, enter the social security number of that person.
- Column E – Sales tax ID number - Enter only if different from federal EIN in column D.
- Column F – If applicable, enter an X if the entity has submitted Form DTF-17 to the Tax Department but has not received its certificate of authority as of the date of this certification.

Individual, Corporation, Partnership, or LLC Acknowledgment

STATE OF _____ }
 : SS.:
COUNTY OF _____ }

On the ____ day of _____ in the year 20____, before me personally appeared _____, known to me to be the person who executed the foregoing instrument, who, being duly sworn by me did depose and say that _he resides at _____, Town of _____, County of _____, State of _____; and further that:

[Mark an X in the appropriate box and complete the accompanying statement.]

- (If an individual): _he executed the foregoing instrument in his/her name and on his/her own behalf.
- (If a corporation): _he is the _____ of _____, the corporation described in said instrument; that, by authority of the Board of Directors of said corporation, _he is authorized to execute the foregoing instrument on behalf of the corporation for purposes set forth therein; and that, pursuant to that authority, _he executed the foregoing instrument in the name of and on behalf of said corporation as the act and deed of said corporation.
- (If a partnership): _he is a _____ of _____, the partnership described in said instrument; that, by the terms of said partnership, _he is authorized to execute the foregoing instrument on behalf of the partnership for purposes set forth therein; and that, pursuant to that authority, _he executed the foregoing instrument in the name of and on behalf of said partnership as the act and deed of said partnership.
- (If a limited liability company): _he is a duly authorized member of _____ LLC, the limited liability company described in said instrument; that _he is authorized to execute the foregoing instrument on behalf of the limited liability company for purposes set forth therein; and that, pursuant to that authority, _he executed the foregoing instrument in the name of and on behalf of said limited liability company as the act and deed of said limited liability company.

Notary Public

Registration No. _____



State of New York
 Department of Civil Service
 Albany, NY 12239

EQUAL EMPLOYMENT OPPORTUNITY STAFFING PLAN

OFFICE OF FINANCIAL ADMINISTRATION

EEO-100 (9/2011)

Solicitation No.:	Reporting Entity: <input type="checkbox"/> Contractor <input type="checkbox"/> Subcontractor	Report includes: <input type="checkbox"/> Contractor's work force to be utilized on this contract <input type="checkbox"/> Contractor's total work force <input type="checkbox"/> Subcontractor's work force to be utilized on this contract <input type="checkbox"/> Subcontractor's total work force
Contractor/Subcontractor's Name:		
Contractor/Subcontractor's Address:		
FEIN:		

Enter the total number of employees in each classification in each of the EEO-Job Categories identified.

EEO Job Categories	Total Work Force	Work force by Gender		Work force by Race/Ethnic Identification								Disabled Individual		Veteran			
		Total Male (M)	Total Female (F)	White (M) (F)		Black (M) (F)		Hispanic (M) (F)		Asian (M) (F)		American Indian or Alaskan Native (M) (F)		(M)	(F)	(M)	(F)
Executive/Senior level Officials & Managers																	
First/Mid level officials & Managers																	
Professionals																	
Technicians																	
Sales Workers																	
Administrative Support Workers																	
Craft Workers																	
Operatives																	
Laborers and Helpers																	
Service Workers																	
Totals																	

PREPARED BY (Signature): 	TELEPHONE NO.: EMAIL ADDRESS:	DATE:
NAME AND TITLE OF PREPARER (Print or Type):		



State of New York
Department of Civil Service
Albany, NY 12239

EQUAL EMPLOYMENT OPPORTUNITY STAFFING PLAN

OFFICE OF FINANCIAL ADMINISTRATION

EEO-100 (9/2011)

Page 2 of 2

General Instructions: All Offerors must complete an EEO Staffing Plan (EEO 100) and submit it as part of the bid or proposal package. Where the work force to be utilized in the performance of the State contract can be separated out from the contractor's total work force, the Offeror shall complete this form only for the anticipated work force to be utilized on the State contract. Where the work force to be utilized in the performance of the State contract cannot be separated out from the contractor's total work force, the Offeror shall complete this form for the contractor's total work force. Subcontractors awarded a subcontract over \$25,000 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 must complete this form upon request of the Department.

Instructions for completing:

1. Enter the Solicitation Number that this report applies to along with the name and address of the Offeror (contractor).
2. Check off the appropriate box to indicate if the report is the contractor or a subcontractor.
3. Check off the appropriate box to indicate if the contractor's/subcontractor's work force being reported is just for the contract or the total work force.
4. Enter the total work force by EEO job category.
5. Break down the total work force by gender and enter under the heading "Work force by Gender."
6. Break down the total work force by race/ethnic background and enter under the heading "Work force by Race/Ethnic Identification."
7. Enter information on any disabled or veteran employees included in the work force under the appropriate heading.
8. Enter the name, title, phone number and email address for the person completing the form. Sign and date the form in the designated boxes.

RACE/ETHNIC IDENTIFICATION

Race/ethnic designations as used by the Equal Employment Opportunity Commission do not denote scientific definitions of anthropological origins. For the purposes of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. However, no person should be counted in more than one race/ethnic group. The race/ethnic categories for this survey are:

WHITE: (Not of Hispanic origin) All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.

BLACK: A person, not of Hispanic origin, who has origins in any of the black racial groups of the original peoples of Africa.

HISPANIC: A person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.

ASIAN & PACIFIC ISLANDER: A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent or the Pacific Islands.

AMERICAN INDIAN OR ALASKAN NATIVE (Not of Hispanic Origin): A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

DISABLED INDIVIDUAL - any person who:

- has a physical or mental impairment that substantially limits one or more major life activity
- has a record of such an impairment; or
- is regarded as having such an impairment.

VIETNAM ERA VETERAN: A veteran who served at any time between and including January 1, 1963 and May 7, 1975.

Exhibit I.H - NYS Department of Civil Service Debriefing Guidelines

NYS State Finance Law §163(9)(c), as amended by Section 3 of Chapter 137 of the Laws of 2008, requires that:

“A state agency shall, upon request, provide a debriefing to any unsuccessful offerer¹ that responded to a request for proposal or an invitation for bids, regarding the reasons that the proposal or bid submitted by the unsuccessful offerer was not selected for an award. The opportunity for an unsuccessful offerer to seek a debriefing shall be stated in the solicitation, which shall provide a reasonable time for requesting a debriefing.”

The Procurement Council Guidelines define “Debriefing” as:

The practice whereby, upon the request of a bidder, the state agency advises such bidder of the reasons why its bid was not selected for an award. It is viewed as a learning process for the bidder to be better prepared to participate in future procurements.

In accordance with the law, the Department shall make a Debriefing available to any entity that submitted a proposal or bid in response to a given solicitation (“Offeror”), including the selected Offeror after notice award is made by the Department. All Offerors shall be given written notice of award, via email with hardcopy to follow.

Timeframes associated with requesting/conducting Debriefings:

Debriefing must be requested by Offerors in writing to the designated individual or email address as set forth in the notice of award.

- **Pre-Award Debriefings:**
Any Offeror, upon request, will be afforded an opportunity for a pre-award Debriefing at least five business days prior to the date by which any protest must be filed. An Offeror’s failure to timely request a pre-award Debriefing shall not cause an extension of the time period within which a protest must be filed. In those cases where the Offeror fails to make a timely request for a pre-award Debriefing, the Department will schedule the Debriefing as soon after the time the request is made as it deems practicable.
- **Post-Award Debriefings:**
In the case of requests made by an Offeror(s) for a post-award Debriefing, the request must be received by the Department not more than twenty calendar days after final approval of the contract is received or the date the award is posted on OSC’ website at the address set forth below and the Department will schedule the Debriefing as soon after the time the request is made as it deems practicable.

<http://www1.osc.state.ny.us/transparency/contracts/contractsearch.cfm>

¹ For purposes of this policy, the terms Offeror, Offerer and Bidder are understood to have same meaning.

How Debriefings shall be conducted by the Department:

A Debriefing may be requested by any unsuccessful Offeror after a contract award is made regarding the reasons that the proposal or bid submitted by the unsuccessful Offeror was not selected for award. While a Debriefing is typically conducted in person, it may be conducted by video conference, over the phone, or through written summaries, if agreed to by the Offeror.

Since Debriefings are intended to make the procurement process open and transparent and to help the vendor community become more viable competitors for New York State goods and services, when conducting a Debriefing, the Department will, at a minimum, discuss the strengths and weaknesses of the Offeror's proposal and provide information as to the relative rating of the Offeror's proposal in each of the major evaluation categories as provided for in the solicitation document. Typically such a debriefing will include information as to the rating of the Offeror's proposal in both the technical and cost components of the evaluation and an identification of any areas in the proposal deemed deficient. The Department will not provide any documents/materials at a Debriefing as their release is subject to NYS FOIL laws.

During a **pre-award** Debriefing, the Department:

- will limit the discussion to the reasons why the Offeror's proposal/bid was unsuccessful;
- will not provide information concerning any other Offerors' proposals, including the winning proposal; will not discuss any other aspects of the Procurement Record, including but not limited to the detailed scoring and evaluation criteria as such information is subject to NYS FOIL laws; and
- may, but is not required to, offer general advice and guidance to the Offeror for the Offeror's consideration as regards future bidding opportunities.

During a **post-award** Debriefing, the Department:

- will provide information as to the reasons why the Offeror's proposal/bid was unsuccessful;
- will provide information concerning the other Offerors' proposals, including the winning proposal, but only in the context of the bid evaluation scoring;
- will not discuss specific details of other Offerors' proposals, including their individual strengths and weakness as such information is subject to NYS FOIL laws
- will not discuss any other aspects of the Procurement Record, including but not limited to the detailed scoring and evaluation criteria as such information is subject to NYS FOIL laws and
- may offer advice and guidance to the Offeror for the Offeror's consideration as regards future bidding opportunities, including those services which were the subject matter of the procurement.

General:

- ✓ The Department will schedule the same amount of time for each Offeror who requests a debriefing.
- ✓ Debriefing will not be scheduled for more than one hour.
- ✓ Debriefings will be held individually with a requesting Offeror.
- ✓ The Department's Designated Agency Contact (i.e., the Procurement Manager) is the sole person authorized to schedule a Debriefing.
- ✓ The Offeror must provide a list of intended attendees prior to the Debriefing, including their titles or relationship to the Offeror and notify the Department if the Offeror is intending to bring legal counsel, so that the Department can notify agency legal counsel.

Exhibit I.H - NYS Department of Civil Service Debriefing Guidelines

- ✓ At a minimum at least two agency employees must be present at each Debriefing.
- ✓ Debriefings will not be taped or transcribed by the Department, and Offerors are prohibited from taping the Debriefing.
- ✓ Any discussion of a proposal's strengths and weaknesses will relate to scoring of that bid submission against the IFB requirements, not against a competitor's proposal. The Department will not discuss the relative merits of one Offeror's submission against its competitors as that is not how proposals are evaluated and scored.
- ✓ Requests for copies of documents made by an Offeror at the Debriefing must be handled in accordance with the Department's FOIL procedures.

April 2011

This Exhibit has been intentionally
left blank

Exhibit I.J – Notice of Bidding Intention Form

**NYS Department of Civil Service
IFB No. DEAS-2015-1
entitled
“Dependent Eligibility Audit Services”**

Notice of Bidding Intention Form

(Please PRINT Firm's Name Above)

With regard to this IFB, (check one of the following boxes applicable):

- We **ARE INTERESTED & MAY** submit a bid response.
- We **ARE NOT INTERESTED & WILL NOT** be submitting a bid response because:

INTEREST IN M/WBE SUBCONTRACTING POSTING:

(Check box if applicable)

- Our firm is a NYS certified M/WBE interested in a subcontracting opportunity. Please add our firm's contact information, indicated at the top of this Form, to the list of certified M/WBE subcontractors that have expressed interest in this Procurement. The list will be posted on Department's web page for this Procurement. The NYS M/WBE certification documentation for our firm is attached

Name of Contact at Firm

Title

Email Address

____/____/____
Date

Exhibit I.J – Notice of Bidding Intention Form

Complete the tables above and submit it to the DEAS Program Procurement Manager specified in IFB, Section II.A.2.b. The completed table may be emailed, faxed and/or mailed (see addresses provided in IFB, Section II.A.2.b.).

Exhibit I.K – Offeror’s Affirmation of Understanding and Agreement

Part 1 of this Exhibit I.K, as contained on the following page, should be completed by the Offeror and emailed, faxed and/or mailed to the Dependent Eligibility Audit Services Procurement Manager as set forth in IFB, Section II.A.2.b.

Part 2 of this Exhibit I.K should, prior to initiating any contact with the Department, be completed for each Offeror officer, employee, agent or consultant retained, employed or designated, by or on behalf of the Offeror to appear before or contact the Department in regards to this Procurement and submit it to the Dependent Eligibility Audit Services Procurement Manager specified in IFB, Section II.A.2.b.

Part 1

Offeror’s Affirmation of Understanding and Agreement

Instructions:

Pursuant to State Finance Law §§139-j and 139-k, this solicitation imposes certain procurement lobbying limitations. Offerors are restricted from making contacts during the procurement’s “Restricted Period” (from the earliest written notice, advertisement or solicitation of a request for proposal, invitation for bids, or solicitation of proposals, or any other method for soliciting a response from Offerors intending to result in a procurement contract with a governmental entity and ending with the final contract award and approval by the governmental entity and, where applicable, approval by the State Comptroller) to other than designated staff, unless the contact falls within certain statutory exceptions (“permissible contacts”). the Department’s employees are required to obtain certain information from Offerors and others whenever there is a contact about the procurement during the Restricted Period, and are required to make a determination of the Offeror’s responsibility that addresses the Offeror’s compliance with the statutes’ requirements. Findings of non-responsibility result in rejection for contract award, and if an Offeror is subject to two non-responsibility findings within four years the Offeror also will be determined ineligible to submit a proposal on or be awarded a contract for four years from the date of the second non-responsibility finding.

Further information about these requirements can be found at:

<http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>.

As a prerequisite for participating in this procurement, an Offeror must provide the following Affirmation of Understanding and Agreement to comply with these procurement lobbying restrictions in accordance with State Finance Law §§139-j and 139-k.

Offeror Affirmation and Agreement	
The Offeror affirms that it understands the procurement lobbying requirements set forth in State Finance Law §§139-j and 139-k, and agrees to comply with the Department’s procedures regarding permissible contacts as required thereby.	
Name of Offeror:	<input type="text"/>
By:	<input type="text"/>
	(Signature)
Name:	<input type="text"/>
Title:	<input type="text"/>
Address:	<input type="text"/>
	<input type="text"/>
Date:	<input type="text"/>

Exhibit I.K – Offeror’s Affirmation of Understanding and Agreement

Part 2

Offeror Designated Contact	
First Name	
Last Name	
Company Name	
Company Address:	
Street Address	
City	
State	
Zip	
Individual's Business Telephone # (xxx) xxx-xxxx	
Principal Place of Business (1)	
Individual's Occupation	

(1) Enter the location of the individual's Principal Place of Business (e.g. Albany, NY)

Complete the table above for each Offeror officer, employee, agent or consultant retained, employed or designated, by or on behalf of the Offeror to appear before or contact the Department in regards to this Procurement, prior to the individual initiating any contact with the Department, and submit it to The DEAS Procurement Manager specified in Section II.A.2.b. of the IFB.



State of New York
Department of Civil Service
Albany, NY 12239

ADMINISTRATION DIVISION

Procurement Lobbying Policy: Restrictions
on Contacts During the Procurement Process

Policy on Restrictions on Contacts During the Procurement Process
Procurement Lobbying, Ch.4, L. 2010 State Finance Law (SFL)
Sections 139-j and 139-k

I. Definitions

For the purpose of this policy as it regards IFB #DEAS-2015-1, the following definitions apply:

"Article of procurement" means a commodity, service, technology, public work, construction, revenue contract, the purchase, sale or lease of real property or an acquisition or granting of other interest in real property, that is the subject of a Department governmental procurement.

"Contacts" means any oral, written, or electronic communication with DCS or any other State governmental entity under circumstances where a reasonable person would infer that the communication was intended to influence the governmental entity's conduct or decision regarding the governmental procurement. However, any communications received by the Department from members of the State legislature or legislative staff, when acting in his or her official capacity, shall not be considered to be a "contact" and shall not be recorded by the Department's staff pursuant to this policy.

"Procurement Contract" means any contract or other agreement, including an amendment, extension, renewal, or change order to an existing contract (other than amendments, extensions, renewals, or change orders that are authorized and payable under the terms of the contract as it was finally awarded or approved by the comptroller, as applicable), for an article of procurement involving an estimated annualized expenditure in excess of \$15,000. Grants, contracts entered into under SFL Article 11-B, and intergovernmental agreements shall not be deemed "procurement contracts" for the purpose of this policy.

"Governmental entity" means: (1) any department, board, bureau, commission, division, office, council, committee or officer of the state, whether permanent or temporary, including the Department; (2) each house of the state legislature; (3) the unified court system; (4) any public authority, public benefit corporation or commission created by or existing pursuant to the public authorities law; (5) any public authority or public benefit corporation, at least one of whose members is appointed by the governor or who serves as a member by virtue of holding a civil office of the state; (6) a municipal agency, as that term is defined in paragraph (ii) of subdivision (s) of section one-c of the legislative law; (7) a subsidiary or affiliate of such a public authority.

"Offeror" means any individual or entity, or any employee, agent, consultant, or person acting on behalf of such individual or entity, who contacts the Department or any other State governmental entity about a governmental procurement during that procurement's restricted period of such governmental procurement whether or not the caller has a financial interest in the outcome of the procurement; provided, however, that a governmental agency or its employees that communicates with the Department regarding a governmental procurement in the exercise of its oversight duties shall not be considered

Exhibit I.L – Procurement Lobbying Policy

an Offeror. "Offeror" includes prospective Offerors prior to the due date for the submission of offers/bids in response to the solicitation document.

"Proposal" means any bid, quotation, offer or response to the Department's solicitation of submissions relating to procurement.

"Governmental procurement" means:

- a) the public announcement, public notice, or public communication to any potential vendor of a determination of need for a procurement, which shall include, but not be limited to, the public notification of the specifications, , bid documents, request for proposals or evaluation criteria for a procurement contract;
- b) the solicitation for a procurement contract;
- c) the evaluation of a procurement contract;
- d) the award, approval, denial, or disapproval of a procurement contract; or
- e) the approval or denial of an assignment, amendment (other than amendments that are authorized and payable under the terms of the procurement contract as it was finally awarded or approved by the State Comptroller, as applicable), renewal or extension of a procurement contract, or any other material change in the procurement contract resulting in a financial benefit to the Offeror/Contractor.

"Restricted period" means the period of time commencing with the earliest written notice, advertisement or solicitation of a request for proposal, or invitation for bids, or solicitation of proposals, or any other method for soliciting a response from Offerors intending to result in a procurement contract, and ending with the final contract award and approval of the Department and, where applicable, the State Comptroller.

"Revenue contract" means any written agreement between the Department and an Offeror whereby the Department gives or grants a concession or a franchise.

II. Designated Contacts

For each governmental procurement, the Department shall at the same time that a restricted period is imposed, designate, with regard to each governmental procurement, a person or person(s) who are knowledgeable about the procurement and who may be contacted by Offerors relating to the governmental procurement. Each Offeror who contacts the Department during procurement's restricted period is permitted to make permissible contacts only the person(s) designated by the Department for that purpose (i.e., Designated Contact). Such contacts must comply with the requirements established by SFL sections 139-j and 139-k, and with the requirements set forth by the Department in the solicitation document.

III. Offeror Affirmation of Understanding and Agreement to Comply

As a threshold requirement to participating in a procurement, the Department shall require each Offeror to provide written affirmation of its understanding of and agreement to comply

Exhibit I.L – Procurement Lobbying Policy

with the Department's policy and procedures relating to permissible contacts during the governmental procurement's restricted period. Such a written affirmation by an Offeror shall be deemed to apply to any amendments to a procurement submitted by the Department after an initial affirmation is received with an initial bid.

IV. Contact Documentation

Upon any contact during the procurement's restricted period, the Department's staff shall obtain the name, address, telephone number, place of principal employment, and occupation of the person or organization making the contact, and also shall inquire whether the person or organization making the contact was the Offeror or was retained, employed, or designated by or on behalf of the Offeror to appear before or contact the Department about the procurement. All recorded contacts shall be recorded on the appropriate form(s) and included in the procurement record.

V. Non-responsibility Disclosure

The Procuring Agencies' staff shall ensure that all solicitation documents require Offerors to disclose findings of non-responsibility made within the previous four years by any State governmental entity where such prior finding of non-responsibility was due to:

- a) a violation of the procurement lobbying requirements established at SFL section 139-j; or
- b) the intentional provision of false or incomplete information to a government entity.

VI. Non-responsibility Determination

The failure of an Offeror to timely disclose accurate or complete information to the Department regarding the above shall be considered by the Department in their determination of the Offeror's responsibility. No procurement contract shall be awarded to any such Offeror, its subsidiaries, and any related or successor entity with substantially similar function, management, board of directors, officers and shareholders unless the Department finds that the award of the contract to that entity is necessary to protect public property or public health or safety, and that the entity is the only source capable of supplying the required article of procurement within the necessary timeframe, provided however, that the Department shall include in the procurement record a statement describing the basis for such finding.

VII. Contractor Certification

A contract award subject to SFL sections 139-j and 139-k shall contain a certification by the successful Offeror that all information provided to the Department with respect to the procurement lobbying requirements established by those sections is complete, true and accurate.

Each contract shall contain a provision authorizing the Department to terminate such contract in the event such certification is found to be intentionally false or intentionally incomplete. The Department shall include in the procurement record a statement describing the basis for such termination.

Exhibit I.L – Procurement Lobbying Policy

Any employee of the Department who becomes aware that an Offeror has made an impermissible contact(s) during the procurement shall immediately notify the DCS Ethics Officer or the DCS Director of Internal Audit. If an Offeror violates these requirements with regard to permissible contacts at a governmental entity other than the Department, the employee of that entity who becomes aware of the violation shall notify that entity's Ethics Officer, Inspector General, if any, or other official of that entity responsible for reviewing or investigating such matters, who shall in turn notify the DCS Ethics Officer or the DCS Director of Internal Audit.

VIII. DCS Review of Alleged Violations and the Imposition of Sanctions

- a) If the DCS Ethics Officer or the DCS Director of Internal Audit receives notification of an allegation that an Offeror has made an impermissible contact during the procurement's restricted period as described above, the DCS Director of Internal Audit shall immediately investigate such allegation. If the position of Director of Internal Audit is vacant, the Ethics Officer shall conduct the investigation, or the Commissioner may appoint a designee to investigate the allegation. In no event shall the person conducting the investigation be someone who has participated in the preparation of the solicitation document, the evaluation of Proposals, or the selection decision.
- b) If the investigation indicates that sufficient cause exists to believe that the allegation is true, the Department shall give the Offeror reasonable notice that an investigation is ongoing and an opportunity to be heard in response to the allegation. At the Department's discretion, such opportunity to be heard may be provided by giving the Offeror the opportunity to meet with the Department staff conducting the investigation or by the Offeror's submission of a written statement, or both. The Offeror may, but need not, be represented by counsel during the investigation. Any and all issues concerning the manner in which the investigation process is conducted shall be determined solely by the Department staff conducting the investigation.
- c) If it is found that an Offeror has knowingly and willfully made an impermissible contact in violation of these requirements, then the Department staff making such findings shall report to the President of the Civil Service Commission related instances, if any, of any Department employee's violation of Public Officers Law sections 73(5) and 74.

IX. Sanctions

- a) A finding that an Offeror has knowingly and willfully made an impermissible contact shall result in a determination of non-responsibility for such Offeror. Concomitantly, such Offeror and its subsidiaries, and any related or successor entity with substantially similar function, management, board of directors, officers and shareholders, shall not be awarded the procurement contract, unless the Department finds that the award of the procurement contract to that entity is necessary to protect public property or public health or safety, and that the entity is the only source capable of supplying the required article of procurement within the necessary timeframe. If such in the case, the Department shall include in the procurement record a statement describing the basis for such a finding.
- b) Any subsequent determination of an Offeror's non-responsibility due to violation of these requirements within four years of a prior determination of non-responsibility due to a violation of these requirements shall result in the Offeror being rendered

Exhibit I.L – Procurement Lobbying Policy

ineligible to submit a proposal on or be awarded any procurement contract for a period of four years from the date of the second non-responsibility determination.

X. Model Language For Solicitation Documents

The Department's staff shall ensure that the model language set forth below is included in all solicitation documents issued by the Department, subject to final review by their Offices of Counsel:

Restrictions on Contacts Between Offerors and State Staff During the Procurement Process

- a) Pursuant to State Finance Law sections 139-j and 139-k, this procurement imposes certain procurement lobbying limitations. Offerors are restricted from making contacts during the procurement's "Restricted Period" to other than designated staff of the Department and the Executive Branch of New York State government, unless the contact falls within certain statutory exceptions ("permissible contacts"). Staff is required to obtain certain information from Offerors and others whenever there is a contact about the procurement during the Restricted Period, and are required to make a determination of the Offeror's responsibility that addresses the Offeror's compliance with the statutes' requirements. Findings of non-responsibility result in rejection for contract award, and if an Offeror is subject to two non-responsibility findings within four years the Offeror also will be determined ineligible to submit a proposal on or be awarded a contract for four years from the date of the second non-responsibility finding. The Department's policy and procedures are attached as Exhibit (TBD) to this IFB. Further information about these requirements can be found at:

<http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

- b) In order to ensure public confidence and integrity in the procurement process, the Department will control strictly all communications between any Offeror and participants in the evaluation process from the earliest notice of intent to solicit offers in this procurement through the final award and approval of the procurement contract by the Department and OSC, if applicable. "Offeror" means any individual or entity, or any employee, agent, consultant, or person acting on behalf of such individual or entity, who contacts the Department or any other State governmental entity about a governmental procurement during that procurement's restricted period whether or not the caller has a financial interest in the outcome of the governmental procurement; provided, however, that a governmental agency or its employees that communicates with the Department regarding a governmental procurement in the exercise of its oversight duties shall not be considered an Offeror. "Offeror" includes prospective Offerors prior to the due date for the submission of offers/bids in response to the solicitation document. All contacts and inquiries concerning this procurement must be made to the Procurement Manager. The Department shall disqualify any Offeror who fails to comply with this requirement.

DEAS Procurement Manager
Attn: George Powers
NYS Civil Service
Agency Bldg. 1
Empire State Plaza
Albany, NY 12239
Fax: (518) 473-1788

Exhibit I.L – Procurement Lobbying Policy

E-mail: <mailto:DEAS2015IFB@cs.ny.gov>

Additionally, any Offeror is strictly prohibited from making any contacts or inquiries concerning the procurement with any member, officer or employee of any governmental entity other than the Department from the date the public announcement, public notice, or public communication to any potential vendor of a determination of need for a procurement, which shall include, but not be limited to, the date the IFB is released until the end of the procurement, subject only to the specific exceptions listed below. Further, any Offeror shall not attempt to influence the procurement in any manner that would result in a violation or an attempted violation of Public Officers Law sections 73(5) or 74.

- c) The following contacts are exempted from the provisions of paragraph 3 of section 139-j and as such do not need to be directed to the Procurement Manager pursuant to section 139-k:
- (1) the submission of written proposals in response to the solicitation document;
 - (2) the submission of written questions by a method set forth in the solicitation document when all written questions and responses are to be distributed to all Offerors who have expressed an interest in the procurement;
 - (3) participation in a demonstration, conference or other means for exchange of information in a setting open to all potential bidders provided for in the solicitation document;
 - (4) complaints by an Offeror regarding the failure of the Department's Procurement Manager to respond to an Offeror's authorized contacts, when such complaints are made in writing to the Department's Office of the General Counsel, provided that any such written complaints shall become a part of the procurement record;
 - (5) communications by a successful Offeror(s) who has been tentatively awarded a contract and is engaged in communications with the Department solely for the purpose of negotiating the terms of the contracts after having been notified of tentative award;
 - (6) contact by an Offeror to request the review of a procurement award when done in accordance with the procedure specified in the solicitation document;
 - (7)
 - A. contacts by an Offeror in protests, appeals or other review proceedings (including the apparent successful Offeror and its representatives) before the Department seeking a final administrative determination, or in a subsequent judicial proceeding; or
 - B. complaints of alleged improper conduct in the procurement when such complaints are made to the State Attorney General, Inspector General, District Attorney, or to a court of competent jurisdiction; or
 - C. protests, appeals or complaints to the State Comptroller's office during the process of contract approval, where the State Comptroller's approval is required provided that the state comptroller shall make a record of such communications and any response thereto which shall be entered into the procurement record pursuant to State Finance Law section 163; or

Exhibit I.L – Procurement Lobbying Policy

- D. complaints of alleged improper conduct in a governmental procurement conducted by a municipal agency or local legislative body to the state comptroller's office; and
- (8) communications between Offerors and governmental entities that solely address the determination of responsibility by a governmental entity of an Offeror.

Revised 4/2011

Exhibit I.M - Compliance with Public Officers Law Requirements



State of New York
Department of Civil Service
Alfred E. Smith State Office Building
Albany, NY 12239

Compliance with Public Officers Law Requirements

ADM-992 (1/07)

The New York State Public Officers Law ("POL"), particularly POL Sections 73 and 74, as well as all other provisions of New York State law, rules and regulations, and policy establishes ethical standards for current and former State employees. In submitting its Proposal, the Offeror must guarantee knowledge and full compliance with such provisions for purposes of this IFB and any other activities including, but not limited to, contracts, bids, offers, and negotiations. Failure to comply with these provisions may result in disqualification from the procurement process, termination, suspension or cancellation of the contract and criminal proceedings as may be required by law.

The Offeror hereby submits its affirmative statement as to the existence of, absence of, or potential for conflict of interest on the part of the Offeror because of prior, current, or proposed contracts, engagements, or affiliations.

Please provide below an affirmative statement as to the existence of, absence of, or potential for conflict of interest on the part of the Offeror because of prior, current, or proposed contracts, engagements, or affiliations. Please attach additional pieces of paper as necessary.

Name of Offeror: _____

Name & Title of Representative: _____

Signature:

Date: _____

Exhibit I.N - Compliance with Americans with Disabilities Act



State of New York
Department of Civil Service
Albany, NY 12239

Compliance with Americans with Disabilities Act

ADM-987 (1/07)

The Offeror hereby provides assurance of its compliance with the Americans With Disabilities Act (42 USC§12101 et. seq.), in that any services and programs provided during the course of performance of the Agreement resultant from this IFB shall be accessible under Title II of the Americans With Disabilities Act, and as otherwise may be required under the Americans With Disabilities Act.

Name of Offeror: _____

Name & Title of Representative: _____

Signature:

Date: _____



State of New York
 Department of Civil Service
 Albany, NY 12239

MWBE UTILIZATION PLAN

OFFICE OF FINANCIAL ADMINISTRATION

MWBE-100 (9/2011)

INSTRUCTIONS: All Offerors must complete this MWBE Utilization Plan and submit it as part of their Proposal. The Plan must contain a detailed description of the services to be provided by each Minority and/or Woman-Owned Business Enterprise (M/WBE) identified by the Offeror.

Offeror Name:			Federal Identification No.:			
Address:			Solicitation No.:			
City, State, Zip Code:			M/WBE Goals for the Solicitation: MBE: % WBE: %			
1. M/WBE Subcontractors/Suppliers Name, Address, Email Address, Telephone No.	2. Classification	3. Federal ID No.	4. Detailed Description of Work (Attach additional sheets, if necessary.)	5. Dollar Value of Subcontracts/Supplies		
A.	NYS ESD Certified <input type="checkbox"/> MBE <input type="checkbox"/> WBE					
B.	NYS ESD Certified <input type="checkbox"/> MBE <input type="checkbox"/> WBE					
6. WAIVER REQUESTED: MBE: <input type="checkbox"/> YES <input type="checkbox"/> NO If YES, submit form MWBE101 / WBE: <input type="checkbox"/> YES <input type="checkbox"/> NO If YES, submit form MWBE101						
PREPARED BY (Signature):			TELEPHONE NO.:	EMAIL ADDRESS:		
NAME AND TITLE OF PREPARER (Print or Type):						
DATE: Offeror's Certification Status: <input type="checkbox"/> MBE <input type="checkbox"/> WBE						
<p>SUBMISSION OF THIS FORM CONSTITUTES THE OFFEROR'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-A. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FIUNDING OF NONCOMPLIANCE AND/OR PROPOSAL DISQUALIFICATION.</p>			*****FOR DEPARTMENT USE ONLY*****			
			REVIEWED BY:		DATE:	
			UTILIZATION PLAN APPROVED: <input type="checkbox"/> YES <input type="checkbox"/> NO Date: _____			
			MBE CERTIFIED: <input type="checkbox"/> YES <input type="checkbox"/> NO			
			WBE CERTIFIED: <input type="checkbox"/> YES <input type="checkbox"/> NO			
WAIVER GRANTED: <input type="checkbox"/> YES <input type="checkbox"/> NO						
<input type="checkbox"/> Total Waiver <input type="checkbox"/> Partial Waiver						
NOTICE OF DEFICIENCY ISSUED: <input type="checkbox"/> YES <input type="checkbox"/> NO						
Date: _____						

Exhibit I.P – Offeror’s Certification of Compliance Pursuant to State Finance Law

Offeror’s Certification of Compliance Pursuant to State Finance Law §139-k(5)

Instructions:

New York State Finance Law (SFL) §139-k(5) requires that every contract award subject to the provisions of SFL §§139-k or 139-j shall contain a certification by the Offeror that all information provided to the Department with respect to SFL §139-k is complete, true and accurate.

At the time an Offer or Bid is submitted to the Department, the Offeror must provide the following certification that the information it has and will provide to the Department pursuant to SFL §139-k is complete, true and accurate including, but not limited to, disclosures of findings of non-responsibility made within the previous four years by any State governmental entity where such finding of non-responsibility was due to a violation of SFL §139-j or due to the intentional provision of false or incomplete information to a State governmental entity.

Offeror Certification

I certify that all information provided to the Governmental Entity with respect to State Finance Law §139-k is complete, true and accurate.

Name of Offeror: _____

By: _____
(Signature)

Name: _____

Title: _____

Address: _____

Date: _____

**MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES – EQUAL
EMPLOYMENT OPPORTUNITY POLICY STATEMENT**

M/WBE AND EEO POLICY STATEMENT

I, _____, the (awardee/contractor) _____
agree to adopt the following policies with respect to the project being developed or services
rendered at the New York State Department of Civil Service.

M/WBE

This organization will and will cause its contractors and subcontractors to take good faith actions to achieve the M/WBE contract participations goals set by the State for that area in which the State-funded project is located, by taking the following steps:

- (1) Actively and affirmatively solicit bids for contracts and subcontracts from qualified State certified MBEs or WBEs, including solicitations to M/WBE contractor associations.
- (2) Request a list of State-certified M/WBEs from the Department and solicit bids from them directly.
- (3) Where feasible, divide the work into smaller portions to enhanced participations by M/WBEs and encourage the formation of joint venture and other partnerships among M/WBE contractors to enhance their participation.
- (4) Document and maintain records of bid solicitation, including those to M/WBEs and the results thereof. The Contractor will also maintain records of actions that its subcontractors have taken toward meeting M/WBE contract participation goals.
- (5) Ensure that progress payments to M/WBEs are made on a timely basis so that undue financial hardship is avoided, and that bonding and other credit requirements are waived or appropriate alternatives developed to encourage M/WBE participation.

EEO

(a) This organization will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing programs of affirmative action to ensure that minority group members are afforded equal employment opportunities without discrimination, and 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.

(b) This organization shall state in all solicitation 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 disability or marital status.

(c) At the request of the contracting agency, this organization shall request each employment agency, labor union, or authorized 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 this organization's obligations herein.

(d) The Contractor shall comply with the provisions of the Human Rights Law, all other State and Federal statutory and constitutional non-discrimination provisions. The Contractor and subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic

Exhibit I.Q – M/WBE and EEO Policy Statement

characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

(e) This organization will include the provisions of sections (a) through (d) of this agreement in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with the State contract

Exhibit I.Q – M/WBE and EEO Policy Statement

Agreed to this _____ day of _____, 2015

By _____

Print: _____ Title: _____

_____ is designated as the Minority Business Enterprise Liaison
(Name of Designated Liaison)
responsible for administering the Minority and Women-Owned Business Enterprises- Equal
Employment Opportunity (M/WBE-EEO) program.

(1) Ensure that plans, specifications, request for proposals and other documents used to
secure bids will be made available in sufficient time for review by prospective M/WBEs.

M/WBE Contract Goals

% Minority and Women’s Business Enterprise Participation

% Minority Business Enterprise Participation

% Women’s Business Enterprise Participation

EEO Contract Goals

% Minority Labor Force Participation

% Female Labor Force Participation

(Authorized Representative)

Title: _____

Date: _____

Exhibit I.R - Questions Template

IFB #DEAS-2015-1
“Dependent Eligibility Audit Services IFB”

Questions Template

Question Number	IFB Page #	Section and Sub-Section Reference	Question

Offerors are requested to use the Questions Template table above in submitting questions. An Offeror’s questions must be submitted to the The DEAS Procurement Manager at the address specified in Section II.A.6 of this IFB, with an electronic copy (in Microsoft Word format) of the Offeror’s questions sent to the DEAS Procurement Manager’s attention at: DEAS2015IFB@cs.ny.gov.

[TO BE COMPLETED ON OFFEROR'S LETTERHEAD]

Date

Mr. George Powers
Procurement Manager
Employee Benefits Division – Room 1106
NYS Department of Civil Service
Albany, NY 12239

**RE: Invitation for Bids # DEAS-2015-1 entitled:
“Dependent Eligibility Audit Services,”
Firm Offer to the State of New York**

[INSERT OFFEROR NAME] hereby submits this firm and binding offer to the State of New York in response to the Department's Invitation for Bids # DEAS-2015-1, entitled “**Dependent Eligibility Audit Services,**” (IFB). The Proposal hereby submitted meets or exceeds all terms, conditions, and requirements set forth in the above-referenced IFB and in the manner set forth in this IFB.

[INSERT OFFEROR NAME] accepts the terms and conditions as set forth in IFB, Section VII and Appendices A, B, C, and D and agrees to satisfy the comprehensive programmatic duties and responsibilities outlined in this IFB in the manner set forth in this IFB.

[INSERT OFFEROR NAME] agrees to execute a contractual agreement composed substantially of the terms and conditions set forth in the draft contract included in the IFB, and accepts as non-negotiable the terms and conditions set forth in Appendices A, B, C and D to the draft contract.

[INSERT OFFEROR NAME] further agrees, if selected as a result of the IFB, to comply with 1) the provisions of Tax Law Section 5-a, Certification Regarding Sales and Compensating Use Tax; and 2) the Workers' Compensation Law as set forth in Section II.B.7 of the IFB.

This formal offer will remain firm and non-revocable for a minimum period of 365 days from the Proposal Due Date as set forth in the IFB. In the event that a contract is not approved by the NYS Comptroller within the 365 day period, this offer shall remain firm and binding beyond the 365 day period and until a contract is approved by the NYS Comptroller, unless [INSERT OFFEROR NAME] delivers to the Department of Civil Service written notice of withdrawal of its Proposal.

[INSERT OFFEROR NAME]'s complete offer is set forth as follows:

Administrative and Technical Sections: Total of eight (8) hard copy volumes [two (2) original and six (6) copies] and one (1) electronic copy on CD.

Cost Section: Total of eight (8) hard copy volumes [two (2) original and six (6) copies] and one (1) electronic copy on CD.

The undersigned affirms and swears s/he has the legal authority and capacity to sign and make this offer on behalf of, [INSERT OFFEROR NAME] and possesses the legal authority and capacity to act on behalf of [INSERT OFFEROR NAME] to execute a contract with the State of New York.

Exhibit I.S - Formal Offer Letter

The undersigned affirms and swears as to the truth and veracity of all documents included in this offer.

Date: _____

[INSERT OFFEROR NAME]

By: _____
(signature)

(name)

(title)

(phone number)

(email address)

CORPORATE OR PARTNERSHIP ACKNOWLEDGMENT

STATE OF _____ }
: **SS.:**

COUNTY OF _____ }

On the ____ day of _____ in the year 2015, before me personally appeared:
_____, known to me to be
the person who executed the foregoing instrument, who, being duly sworn by me did depose
and say that _he resides at

_____, Town of _____,
County of _____, State of _____; and further that:

[Check One]

(___ **If a corporation**): _he is the _____ of _____, the corporation described in said instrument; that, by authority of the Board of Directors of said corporation, _he is authorized to execute the foregoing instrument on behalf of the corporation for purposes set forth therein; and that, pursuant to that authority, _he executed the foregoing instrument in the name of and on behalf of said corporation as the act and deed of said corporation.

(___ **If a partnership**): _he is the _____ of _____, the partnership described in said instrument; that, by the terms of said partnership, _he is authorized to execute the foregoing instrument on behalf of the partnership for the purposes set forth therein; and that, pursuant to that authority, _he executed the foregoing instrument in the name and on behalf of said partnership as the act and deed of said partnership.

Notary Public

Exhibit I.T - Offeror Attestations Form

An authorized representative of the Offeror who is legally authorized to certify the information requested in the name of and on behalf of the Offeror is required to complete and sign the Offeror Attestations and provide all requested information. Offeror's authorized representative must certify as to the truth of the representations made by signing where indicated, below.

CERTIFICATION:

The Offeror (1) recognizes that the following representations are submitted for the express purpose of assisting the State of New York in making a determination to award a contract; (2) acknowledges and agrees by submitting the Attestation, that the State may at its discretion, verify the truth and accuracy of all statements made herein; (3) certifies that the information submitted in this certification and any attached documentation is true, accurate and complete.

Name of Business Entity Submitting Bid:		
Entity's Legal Form:		<input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Other _____
No.	IFB Ref.	IFB Requirement:
1.	Section III.B.1	At time of Proposal Due Date, Offeror represents and warrants that it: <input type="checkbox"/> possesses <input type="checkbox"/> does not possess the legal capacity to enter into a contract with the Department.
2.	Section III.B.2	At time of Proposal Due Date, Offeror represents and warrants that it: <input type="checkbox"/> attests <input type="checkbox"/> does not attest that it understands and agrees to comply with all specific duties and responsibilities set forth in Section IV of this IFB #DEAS-2015-1, entitled "Dependent Eligibility Audit Services."
3.	Section III.B.3	At time of Proposal Due Date, Offeror represents and warrants that it: <input type="checkbox"/> attests <input type="checkbox"/> does not attest it has provided dependent eligibility verification services for a minimum of five (5) years.
4.	Section III.B.4	Amended May 29, 2015 At time of Proposal Due Date, Offeror represents and warrants that it: <input type="checkbox"/> attests <input type="checkbox"/> does not attest That it has provided dependent eligibility verification services comparable to the services outlined in this IFB #DEAS-2015-1, entitled "Dependent Eligibility Audit Services" for at least one (1) client in the past three (3) years with a size of at least one hundred fifty thousand Dependent lives subject to audit verification services,
5.	Section III.B.5	At time of Proposal Due Date, Offeror represents and warrants that it: <input type="checkbox"/> attests <input type="checkbox"/> does not attest it can complete the Implementation Period within 60 Days from the date the Department notifies the Contractor that the Agreement has been approved by OSC, complete the Amnesty Period and Eligibility Verification Period within twelve(12) months and complete the entire DEA Project, including the Appeal and Reinstatement Period(s) within fifteen (15) months.

Exhibit I.T - Offeror Attestations Form

6.	Section III.B.6	<p>At time of Proposal Due Date, Offeror represents and warrants that it:</p> <input type="checkbox"/> attests <input type="checkbox"/> does not attest that its entire DEA Project is fully HIPAA compliant.
7.	Section III.B.7	<p>At time of Proposal Due Date, Offeror represents and warrants that it:</p> <input type="checkbox"/> attests <input type="checkbox"/> does not attest that it guarantees a return on investment (ROI), as defined in Section IV of this IFB #DEAS-2015-1, entitled "Dependent Eligibility Audit Services," of at least three to one (3:1) for the Project including administration of the Amnesty Period; the Eligibility Verification Period and the Appeal and Reinstatement Period(s).
8.	Section III.B.8	<p>At time of Proposal Due Date, Offeror represents and warrants that it:</p> <input type="checkbox"/> attests <input type="checkbox"/> does not attest that it will maintain a complete and accurate set of records as may be required by the State to be produced for review by the State pursuant to Appendix A of the draft Agreement, contained in Section VII of this IFB #DEAS-2015-1, entitled "Dependent Eligibility Audit Services," including any and all financial records as deemed necessary by the State to discharge its fiduciary responsibilities to NYSHIP participants and to ensure that public dollars are spent appropriately.
9.	Section III.B.9	<p>At time of Proposal Due Date, Offeror represents and warrants that it:</p> <input type="checkbox"/> attests <input type="checkbox"/> does not attest that it acknowledges and agrees that all enrollment data provided by the Department is being provided to the Offeror (Contractor) solely for the purposes of allowing the Contractor to fulfill its duties and responsibilities under the Agreement;,, said materials are sole property of the State; and it will not share, sell, release, or make the data available to third parties in any manner without the written consent of the Department, except as directed by a court of competent jurisdiction, or as necessary to comply with applicable New York State federal law.
10.	Section III. B.10	<p>At time of Proposal Due Date, Offeror represents and warrants that it:</p> <input type="checkbox"/> attests <input type="checkbox"/> does not attest that it will agree to provide minimum service levels for performance guarantees and credits, as defined in Section IV of this IFB #DEAS-2015-1, entitled "Dependent Eligibility Audit Services."
11.	Section III. B.11	<p>At time of Proposal Due Date, Offeror represents and warrants that it:</p> <input type="checkbox"/> attests <input type="checkbox"/> does not attest that it will provide a customizable secure online web portal (online reporting access) for DEA services, as defined in Section IV of this IFB #DEAS-2015-1, entitled "Dependent Eligibility Audit Services," that, at a minimum, <ol style="list-style-type: none"> a. allows Enrollees to upload scanned documents; b. allows Enrollees to view the status of their current compliance with the current audit; c. allows Enrollees to view all documents sent to the Enrollee by the Contractor; d. Allows the Department to compile periodic management reports documenting the progress and outcomes of the Project.

Exhibit I.T - Offeror Attestations Form

12.	Section III. B.12	<p>At time of Proposal Due Date, Offeror represents and warrants that it:</p> <ul style="list-style-type: none"><input type="checkbox"/> attests<input type="checkbox"/> does not attest <p>that it will provide a Call Center as defined in Section IV of this IFB #DEAS-2015-1, entitled "Dependent Eligibility Audit Services," that at a minimum</p> <ul style="list-style-type: none">a. is located in the United States;b. is fully staffed with trained Call Center representatives and supervisors from 8 am to 8 pm ET from the start of the 60-Day Amnesty Period through the end of the Appeal and Reinstatement Period(s), except for Business Holiday(s) observed by the State and have management reporting capability to provide information on the quality and effectiveness of the Call Center;c. is staffed appropriately based on anticipated peak call times (i.e., after Enrollee mailings); and,d. uses an integrated system to log and track all Enrollee calls. The system must create a record of the Enrollee contacting the call center, the call type, and all customer service actions and resolutions.
-----	----------------------	--

Exhibit I.T - Offeror Attestations Form

Date: _____

Signature

[INSERT OFFEROR NAME]

[INSERT TITLE]

[INSERT COMPANY NAME]

CORPORATE OR PARTNERSHIP ACKNOWLEDGMENT

STATE OF _____ }

: **SS.:**

COUNTY OF _____ }

On the ____ day of _____ in the year 2014, before me personally appeared:

_____, known to me to be the person who executed the

foregoing instrument, who, being duly sworn by me did depose and say that _he resides at

_____, Town of

_____, County of _____, State of

_____ ; and further that:

[Check One]

(___ **If a corporation**): _he is the _____ of

_____, the corporation described in said instrument;

that, by authority of the Board of Directors of said corporation, _he is authorized to execute

the foregoing instrument on behalf of the corporation for purposes set forth therein; and that,

pursuant to that authority, _he executed the foregoing instrument in the name of and on behalf

of said corporation as the act and deed of said corporation.

(___ **If a partnership**): _he is the _____ of

_____, the partnership described in said instrument;

that, by the terms of said partnership, _he is authorized to execute the foregoing instrument

on behalf of the partnership for the purposes set forth therein; and that, pursuant to that

authority, _he executed the foregoing instrument in the name and on behalf of said partnership

as the act and deed of said partnership.

Notary Public

Project Services Attestations

Project Team

The Offeror

- agrees
- does not agree

throughout the term of the Agreement, the Contractor must:

- a. Maintain an organization of sufficient size with staff that possesses the necessary skills and experience to administer, manage, and oversee all aspects of the DEA Project during implementation and operation;
- b. Dedicate a project manager who will be available full time for the entire term of the DEA Project and who has at least three (3) years' experience serving as a project manager. The Contractor must advise the Department immediately if replacement of the project manager is contemplated during the term of this DEA Project;
- c. Assign a project management team that is experienced, accessible, and sufficiently staffed to provide timely (one (1) Business Day) responses to administrative concerns and inquiries posed by the Department, and other users designated by the Department, for the duration of the Agreement to the satisfaction of the Department; and
- d. Immediately notify the Department of actual or anticipated events affecting the delivery of services to the Department and present options available to minimize or eliminate the impact of those events on the delivery of Project Services.

Project Implementation

The Offeror

- agrees
- does not agree

throughout the term of the Agreement, the Contractor must:

- a. Develop and update, as needed, a written implementation plan for the DEA Project as requested in IV.B.3.a of this IFB. The implementation plan must be detailed and comprehensive and demonstrate a firm commitment by the Contractor to complete all implementation activities within the 60-Day Implementation Period. For all tasks that require Department review and approval, a minimum review period of five (5) Business Days must be built into the implementation plan; and
- b. Undertake and complete all implementation activities, including but not limited to those specific activities set forth below in this Section IV.A.2.b of this IFB. Such implementation activities must be completed no later than the first Day following the 60-Day Implementation Period and includes:
 - (1) Planning and testing the transmission of data to/from the Department as outlined in Section IV.A.3 of this IFB;
 - (2) Establishing and maintaining a fully trained call center as outlined in Section IV.A.4

Exhibit I.T.1

of this IFB;

- (3) Establishing a secure online web portal providing access for Enrollees and the Department as outlined in IV.A.5 of this IFB; and
- (4) Developing Enrollee communications for review and approval by the Department as outlined in IV.A.7 of this IFB.

Electronic Transfer of Data

The Offeror

- agrees
- does not agree

throughout the term of the Agreement, the Contractor must:

- a. Receive and transmit Dependent data in a secure electronic format and on a schedule mutually agreed upon by the Contractor and the Department;
- b. Receive/transmit data in the format required by the file layouts presented in Exhibit III.E of this IFB;
- c. Ensure all electronic transfer of data and/or storage of files is located solely in the United States;
- d. Maintain a HIPAA compliant level of security to protect the confidentiality of all Enrollee/Dependent information;
- e. Have a disaster recovery plan in place that is applicable to this DEA Project;
- f. Image all documentation received from the Enrollee and transmit a file (or files) to the Department in a standard format (i.e. Multi-Page Tagged Image File Format (TIFF)). The file of images must be accompanied by indexing files and follow a naming convention as outlined in Exhibit III.G of this IFB; and
- g. Acknowledge that it is the Department's policy that all files need to have a PGP encryption key. If the Department sends the Contractor a file(s), the Department will send to the Contractor's server with the Contractor's PGP encryption key. If the Contractor sends the Department a file(s), the Contractor will send to the Department's server with the Department's PGP encryption key. The files will be exchanged using SFTP protocol.

Call Center Services

The Offeror

- agrees
- does not agree

throughout the term of the Agreement, the Contractor must:

- a. Establish a dedicated toll-free telephone number that Enrollees can call with questions during the Amnesty Period, the Eligibility Verification Period, and the Appeal and Reinstatement Period(s). The Contractor must maintain a call center with a staffing level sufficient to meet the call center performance guarantees. The Contractor must

Exhibit I.T.1

dedicate a core staff to service the Department's account;

- b. Establish a call center, located in the United States and staffed with fully trained call center representatives and supervisors, with representatives available, at a minimum, from 8:00 a.m. to 8:00 p.m. ET, except for Business Holidays observed by the State. The Contractor's call center technology must have a system to log and track all inquiries. The system must include call type, actions and resolutions. Call center representatives must be trained to respond to questions and inquiries including, but not limited to, Dependent eligibility and status of documentation review. Any inquiries that cannot be answered in the initial phone call must be responded to either by telephone or in writing within five (5) Business Days;
- c. Escalate complex and/or difficult calls to more experienced representatives and ultimately supervisory staff; and
- d. Staff the call center during the Appeal and Reinstatement Period(s) to assist Enrollees who submit documentation that supports reinstating the terminated Dependent's coverage.

Secure Online Web Portal

The Offeror

- agrees
- does not agree

throughout the term of the Agreement, the Contractor must:

- a. Establish a secure online web portal, which allows Enrollees to submit, and confirm submission of, eligibility documentation. The secure online web portal must be available twenty-four hours a day, seven (7) days a week, except for regularly scheduled maintenance. The Department shall be notified of all regularly scheduled maintenance at least one (1) Business Day prior to such maintenance being performed; and
- b. Maintain a secure online web portal that allows Enrollees, or the Department as applicable, to perform the following:
 - (1) Upload documentation;
 - (2) Check Dependent eligibility status in real-time;
 - (3) View all communications sent from the Contractor to the Enrollee;
 - (4) Review FAQ's that have been developed by the Contractor and approved by the Department;
 - (5) Allows Enrollees to get answers to questions via secure email and/or a chat function;
 - (6) Access customer service contact information including address(es), phone number(s) and email address(es);
 - (7) Allows the Department to compile periodic management reports documenting the progress and outcomes of the DEA Project via the secure online web portal; and
 - (8) Allows the Department to have view only access to Dependent eligibility status.
- c. Allows cobranding of the secure online portal by incorporating the NYSHIP logo.

Exhibit I.T.1

Amnesty Period, Eligibility Verification Period, and Appeal and Reinstatement Period(s)

The Offeror

- agrees
 does not agree

throughout the term of the Agreement, the Contractor must:

- a. Administer one (1) Amnesty Period for all Enrollees with a Family Policy to report ineligible Dependents. Administration of the Amnesty Period must include the communication of the Amnesty Period to Enrollees, call center support, receiving requests from Enrollees to terminate ineligible Dependents, and the reporting of ineligible Dependents to the Department;
- b. Administer up to three (3) Phases of eligibility verification during the Eligibility Verification Period. Administration of the Eligibility period shall include, but not be limited to, sending communication materials to Enrollees regarding the Eligibility Verification Period, providing call center support, receiving and processing documents to verify eligibility, and the reporting of ineligible Dependents to the Department. The Dependent eligibility audit tasks must conform to NYSHIP eligibility rules;
- c. Administer an Appeal and Reinstatement Period(s) for Dependents who were terminated because sufficient documentation was not provided on a timely basis and who subsequently are able to provide the documentation. The Department requires the Contractor to complete Reinstatements quickly and accurately and provide the Reinstatement File as outlined in Section IV.A.9.a.(6) of this IFB;
- d. Transmit termination and reinstatement files on a schedule as outlined in Sections IV.A.9.a.(5) and IV.A.9.a.(6) of this IFB; and
- e. Complete all tasks related to the Amnesty Period, and Eligibility Verification Period, within one (1) year of the Agreement Start Date and the Appeal and Reinstatement Period(s) within fifteen (15) months of the Agreement start date.

Communication Material

The Offeror

- agrees
 does not agree

throughout the term of the Agreement, the Contractor must:

- a. Develop customized Enrollee communications, subject to written approval by the Department for the Amnesty Period, the Eligibility Verification Period, and the Appeal and Reinstatement Period(s). The communications must provide sufficient detail so the Enrollee can clearly identify:
 - (1) Dependent children verified in the prior audit for whom eligibility does not need to be confirmed;
 - (2) Dependent children added to coverage on or after February 1, 2009 for whom documentation must be submitted to verify coverage;
 - (3) Spouse or Domestic Partner, regardless of the date the individual was added to

Exhibit I.T.1

- coverage for whom documentation must be submitted;
 - (4)** Dates by which documentation must be submitted; and
 - (5)** Termination date for Dependents deemed ineligible for coverage. The final letter must allow the Enrollee fourteen (14) Business Days for response prior to terminating the Dependent.
- b. Send different Enrollee communications for different types of Dependents (i.e. Dependent child versus Spouse) and NYSHIP populations (NY versus Participating Agency (PA) or Participating Employer (PE));
 - c. Mail sufficient Department approved Enrollee communication material to achieve the ROI guarantee as outlined in IV.A.10 of this IFB;
 - d. Use a dedicated P.O. Box or other address as approved by the Department as the return address for all Enrollee communications; and
 - e. Acknowledge that the cost of all Project Services communication mailings (including postage) will be paid by the Offeror and will be considered by the Department as being included in the total DEA Project cost submitted by the Offeror.

Outgoing and Returned Mail Process

The Offeror

- agrees
- does not agree

throughout the term of the Agreement, the Contractor must:

- a. Conform to address labeling guidelines that will be provided by the Department that, at a minimum, will require the following:
 - (1)** The Offeror must use coding as provided in the enrollment file, Exhibit III.E, above the Enrollee address block on each mail piece. This coding will be used by the Offeror to route returned mail to agencies or DCS as appropriate for handling;
 - (2)** For all active Enrollees, as well as Retirees of PAs, the agency code and benefit program code will be used; and
 - (3)** For all other Retirees, a unique code, to be identified by the Department, will be used.
- b. Use USPS software as needed for simple address hygiene purposes. National Change of Address (NCOA) software may not be used as NYSHIP policy is that address changes must be requested by the Enrollee only;
- c. Provide mailing samples during the Implementation Period for testing and Department approval before mailing to Enrollees. The Department will review and approve or deny within two (2) Business Days;
- d. Provide a weekly file of returned mail, as outlined in Section IV.A.9.a.(12) of this IFB, to the Department;
- e. Accept one or more updated enrollment files, as outlined in Section IV.A.9.a.(12) of

Exhibit I.T.1

this IFB, containing corrected addresses, which the Contractor must load into their system within one (1) Business Day of receipt, should the Department determine such files are necessary.

Reporting

The Offeror

- agrees
 does not agree

throughout the term of the Agreement, the Contractor must:

- a. Work with the Department to develop reports acceptable to the Department for the Amnesty Period, Eligibility Verification Period, and Appeal and Reinstatement Period(s), that include, but are not limited to, measurement of the Contractor's response rates and outcomes, adherence to Agreement requirements, and measurement of performance guarantees. Reporting will be at intervals mutually agreed upon by the Department and the Contractor. Reporting, at a minimum, must cover:

- (1) Verification Status Summary Report** – to provide information on each letter mailed and received including number of letters mailed, number of responders, number of Amnesty Period requests, number of complete documentation received, number of incomplete documentation received, number of non-responders, number of returned mail, number of Appeals received, number of Appeals accepted, and number of Appeals rejected. The report will be required daily and may transition to weekly at the sole discretion of the Department;
- (2) Call Center Statistics** – report detailing each day's call center activity including, but not limited to, the number of calls, telephone response rate, telephone abandonment rate, and telephone blockage rate. The report will be required daily and may transition to weekly at the sole discretion of the Department;
- (3) Secure Online Portal Statistics** – weekly report providing information on the number of documents received daily, and the percent (%) processed within three (3) Business Days and the percent (%) processed within five (5) Business Days;
- (4) Weekly Management Summary Report** – provide progress of the DEA Project and the milestones met;
- (5) Results File** – identifying Dependents to be terminated from coverage. A file will be required at the end of the Amnesty Period and at the end of each Phase of the Eligibility Verification Period. Refer to the "Results File Layout" tab in Exhibit III.E of this IFB for the file layout;
- (6) Reinstatement File** – identifying those Dependents that are terminated during the audit and acceptable documentation is subsequently received prior to the completion of the DEA Project. The report will be required on a daily basis and must include all Reinstatements processed on the previous Business Day. Refer to the "Reinstatement File" tab in Exhibit III.E of this IFB for the file layout;

Exhibit I.T.1

- (7) Terminated and Deceased File** – a file shall be sent from the Department to the Offeror on a weekly basis after the Amnesty Period. The file will identify Enrollees and/or Dependents who have had coverage terminated or were identified as deceased after the initial population was identified for Amnesty. Refer to the “Term & Deceased File Layout” tab in Exhibit III.E of this IFB for the file layout;
- (8) File of Imaged Eligibility Documentation** –provide one (1) or more files of images of all eligibility documentation received, Enrollee correspondence received, and Contractor communications to Enrollees. The file will be provided on a weekly basis. Refer to Exhibit III.G of this IFB for the file layout;
- (9) Guarantee Report** – summarizing the Contractor's compliance with all Agreement guarantees (with the exception of the ROI Guarantee, which will be calculated by the Department). This report is to be provided 30 Days after the conclusion of the DEA Project;
- (10) Final Project Report** – summarizing the DEA Project outcome and suggestions, including draft forms/documents, to improve the Department's ongoing management of Dependent eligibility. This report is to be provided 90 Days after the conclusion of the DEA Project;
- (11) Ad Hoc Reports** – the Department may, on occasion, request ad hoc reports or other data analysis to monitor Project Services and contract compliance. The format, frequency, and due dates for such reports, if any, will be specified by the Department to the Contractor during the term of the Agreement that results from this IFB; and
- (12) File of Returned Mail** – provides a complete listing of mail returned to the Contractor due to incorrect addresses. The file will be required weekly at the discretion of the Department. Refer to the “Returned Mail Layout” tab in Exhibit III. E of this IFB for the file layout.

Project Return on Investment (ROI)

The Offeror

- agrees
 does not agree

throughout the term of the Agreement, the Contractor must:

- a. Guarantee a return on investment of at least 3:1 (Total Savings of at least three times the total DEA Project cost) for the DEA Project including administration of the Amnesty Period, the Eligibility Verification Period and the Appeal and Reinstatement Period(s);
- b. Total Savings will be calculated by the Department and will be based on the Plan (Empire, SEHP or HMO) the member is enrolled in at the time of the audit. The Total Savings shall be calculated as follows (refer to Exhibit III.F for an example of the ROI Calculation):

(1) For the Empire Plan and SEHP, the savings shall be calculated by the

Exhibit I.T.1

Department as the average annual paid claims amount per Dependent determined to be ineligible by the vendor multiplied by the number of Dependents disenrolled. The annual paid claims per Dependent shall be calculated by the Department as the claims paid for each Dependent determined ineligible for the period 2010-2014 divided by the number of months such Dependent was enrolled in the Plan during that period multiplied by 12.

Plus

- (2) For HMO Dependents, annual savings calculated as the difference between Family and Individual 2014 Net Premium multiplied by the number of Family Policies that changed to Individual as a result of all Dependents being determined to not be eligible.

Plus

- (3) Annual savings of Medicare Part B Premium reimbursement paid for Medicare Dependents determined not eligible by the Contractor based on the standard 2014 monthly Medicare Part B Premium amount.

Plus

- (4) For Enrollees with a Family Policy who are participating in the Opt-Out Program, there will be an annual savings of \$2,000 in instances where all of the Enrollee's Dependents are determined not eligible.

Exhibit I.T.1

Date: _____

Signature

[INSERT OFFEROR NAME]

[INSERT TITLE]

[INSERT COMPANY NAME]

CORPORATE OR PARTNERSHIP ACKNOWLEDGMENT

STATE OF _____ }
: SS.:

COUNTY OF _____ }

On the ____ day of _____ in the year 2015, before me personally appeared: _____, known to me to be the person who executed the foregoing instrument, who, being duly sworn by me did depose and say that _he resides at _____, Town of _____, County of _____, State of _____; and further that:

[Check One]

(___ If a corporation): _he is the _____ of _____, the corporation described in said instrument; that, by authority of the Board of Directors of said corporation, _he is authorized to execute the foregoing instrument on behalf of the corporation for purposes set forth therein; and that, pursuant to that authority, _he executed the foregoing instrument in the name of and on behalf of said corporation as the act and deed of said corporation.

(___ If a partnership): _he is the _____ of _____, the partnership described in said instrument; that, by the terms of said partnership, _he is authorized to execute the foregoing instrument on behalf of the partnership for the purposes set forth therein; and that, pursuant to that authority, _he executed the foregoing instrument in the name and on behalf of said partnership as the act and deed of said partnership.

Notary Public

Performance Guarantee Attestations

Implementation and Start-Up Guarantee

The Offeror

- agrees
- does not agree

that all Implementation and Start-Up activities listed in Section IV.A.2 will be in place on the implementation date.

If the Contractor fails to complete all implementation and start-up activities within the Implementation Period, the Contractor shall credit against the Project's fees \$1,250 per Day that the Contractor fails to assume full operational responsibility to the satisfaction of the Department.

Call Center Availability Guarantee

The Offeror

- agrees
- does not agree

that the call center toll-free telephone line will be operational and available to callers at least ninety-eight percent (98%) of the Contractor's Call Center Hours. The call center availability will be reported daily, and may transition to weekly at the discretion of the Department, and calculated for the term of the Agreement.

For each .01 to 1% below the standard of ninety-eight percent (98%) that the Contractor's toll-free telephone line is not operational and available to callers during the Contractor's Call Center Hours, the Contractor shall credit against the Project Fees the amount of \$10,000.

Call Center Telephone Response Time Guarantee

The Offeror

- agrees
- does not agree

that the call center toll-free telephone line will be answered by a call center representative within 45 seconds at least ninety percent (90%) of the time during the Contractor's Call Center Hours. The call center response time will be reported daily, and may transition to weekly at the discretion of the Department, and calculated for the term of the Agreement.

For each .01 to 1% of incoming calls to the Contractor's telephone line below the standard of ninety percent (90%) that is not answered by a call center representative within 45 seconds, Contractor shall credit against the Project Fees the amount of \$10,000.

Exhibit I.T.2

Telephone Abandonment Rate Guarantee

The Offeror

- agrees
 does not agree

that incoming calls to the Contractor's call center toll-free telephone line in which the caller disconnects prior to the call being answered by a call center representative will not exceed the standard of three percent (3%) of total incoming calls. The call center telephone abandonment rate will be reported daily and may transition to weekly at the discretion of the Department, and calculated for the term of the Agreement.

For each .01 to 1% of incoming calls to the Contractor's call center toll-free telephone line in which the caller disconnects prior to the call being answered by a call center representative in excess of the standard of three percent (3%) of total incoming calls, the Contractor shall credit against the Project Fees the amount of \$10,000.

Telephone Blockage Rate Guarantee

The Offeror

- agrees
 does not agree

that incoming calls to the Contractor's call center toll-free telephone line that are blocked by a busy signal shall not exceed the standard of one percent (1%) of total incoming calls. The call center telephone line blockage rate will be reported daily, and may transition to weekly at the discretion of the Department, and calculated for the term of the Agreement.

For each .01 to 1% of incoming calls to the call center toll-free telephone line that are blocked by a busy signal, in excess of the standard of one percent (1%) of total incoming calls, the Contractor shall credit against the Project's Fees the amount of \$10,000.

Secure Online Web Portal Guarantee

The Offeror

- agrees
 does not agree

that ninety-five percent (95%) of all documents submitted by Enrollees, regardless of method of submission, will be uploaded, processed and viewable on the Contractor's secure online web portal within three (3) Business Days of receipt and one-hundred percent (100%) will be uploaded, processed and viewable on the Contractor's secure online web portal within five (5) Business Days of receipt. The document processing time shall be reported weekly and calculated for the term of the Agreement.

For each .01 to 1% below the standard of ninety-five percent (95%) of all documents received that are not uploaded, processed and viewable on the Contractor's secure online web portal within three (3) Business Days, the Contractor shall credit against the Project Fees the amount of \$10,000. Additionally for each .01 to 1% below the standard of one-hundred percent (100%) of all documents received that are not uploaded, processed and viewable on the Contractor's secure online web portal within five (5) Business Days, the Contractor shall credit against the Project Fees the amount of \$10,000.

Exhibit I.T.2

Amnesty Period, Eligibility Verification Period, and Appeal and Reinstatement Period(s) Guarantee

The Offeror

- agrees
 does not agree

that all Amnesty Period and Eligibility Verification Period tasks will be completed within one (1) year of the Agreement start date and all Appeal and Reinstatement Period(s) tasks will be completed within fifteen (15) months of Agreement start date.

For each month or partial month that all Amnesty Period and Eligibility Verification Period tasks are not completed within one (1) year of the Agreement start date and all Appeal and Reinstatement Period(s) tasks that are not completed within fifteen (15) months of the Agreement start date, the Contractor shall credit four percent (4%) of the total Project Fees charged under the Agreement for all DEA Project Services.

Reporting Guarantee

The Offeror

- agrees
 does not agree

that the accurate management of reports as specified in Section IV.A.9.a of this IFB will be delivered to the Department no later than their respective due dates inclusive of the date of receipt and supply the reports in an electronic format (Microsoft Access, Excel, Word) as determined by the Department.

For each management report that is not received by its respective due date, the Contractor shall credit against the Project Fees \$1,250 per report per each Business Day between the due date and the date the management report is received by the Department inclusive of the date of receipt.

Return on Investment (ROI) Guarantee

The Offeror

- agrees
 does not agree

to guarantee a ROI of at least 3:1 for the administration of the Amnesty Period and the Eligibility Verification Period: Total savings of at least three (3) times the total DEA Project cost. Total savings shall be calculated by the Department, as outlined in IV.10.b of this IFB, and shall be based on the Plan (Empire, SEHP or HMO) the member is enrolled in at the time of the audit.

If total savings calculated by the Department is less than three (3) times the total DEA Project cost charged under the Agreement, the Contractor shall credit against the total Project Fees the difference between three (3) times the total DEA Project cost and actual total savings as calculated by the Department, not to exceed the total Project Fees charged under the Agreement.

Exhibit I.T.2

Date: _____

Signature

**[INSERT OFFEROR NAME]
[INSERT TITLE]
[INSERT COMPANY NAME]**

CORPORATE OR PARTNERSHIP ACKNOWLEDGMENT

STATE OF _____ }
: **SS.:**
COUNTY OF _____ }

On the ____ day of _____ in the year 2015, before me personally appeared: _____, known to me to be the person who executed the foregoing instrument, who, being duly sworn by me did depose and say that _he resides at _____, Town of _____, County of _____, State of _____; and further that:

[Check One]

(**If a corporation**): _he is the _____ of _____, the corporation described in said instrument; that, by authority of the Board of Directors of said corporation, _he is authorized to execute the foregoing instrument on behalf of the corporation for purposes set forth therein; and that, pursuant to that authority, _he executed the foregoing instrument in the name of and on behalf of said corporation as the act and deed of said corporation.

(**If a partnership**): _he is the _____ of _____, the partnership described in said instrument; that, by the terms of said partnership, _he is authorized to execute the foregoing instrument on behalf of the partnership for the purposes set forth therein; and that, pursuant to that authority, _he executed the foregoing instrument in the name and on behalf of said partnership as the act and deed of said partnership.

Notary Public

Exhibit I.U.1 - Key Subcontractors or Affiliates

The Offeror must complete and submit this Exhibit as part of its Administrative Section. A separate form should be completed for each Key Subcontractor or Affiliate, if any. If the Offeror will not be subcontracting with any Key Subcontractor(s) or Affiliate(s) to provide any of the services required under the IFB, the Offeror must complete and submit a single Exhibit I.U.1 to that affect.

INSTRUCTION: Prepare this form for each Key Subcontractor or Affiliate	
Offeror's Name:	
<p>The Offeror:</p> <p><input type="checkbox"/> is <input type="checkbox"/> is not proposing to utilize the services of a Key Subcontractor(s) or Affiliate(s) to provide Program Services</p> <p><input type="checkbox"/> is <input type="checkbox"/> is not proposing to utilize the services of a subcontractor(s) to provide Program Services totaling \$100,000 or more during the term of the 5 year agreement</p>	
Subcontractor's Legal Name:	
Business Address:	
Subcontractor's Legal Form:	<input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Other _____
<p>As of the date of the Offeror's Proposal, a subcontract</p> <p><input type="checkbox"/> has <input type="checkbox"/> has not been executed between the Offeror and the subcontractor(s) for services to be provided by such subcontractor(s) relating to Dependent Eligibility Audit Services Program Services.</p>	
<p>In the space provided below, describe the Key Subcontractor's or Affiliate's role(s) and responsibilities regarding Program Services to be provided.</p>	
<p>Relationship between Offeror and Key Subcontractor or Affiliate for Current Engagements: (Complete items 1 through 5 for each client engagement identified)</p>	
1. Client:	
2. Client Reference Name and Phone #	
3. Program Title:	
4. Program Start Date:	
5. In the space provided below, Program Status:	
<p>6. In the space provided below, describe the roles and responsibilities of the Offeror and subcontractor in regard to the program identified in 3, above:</p>	

Exhibit I.V - Program References

Reference #: _____

Current or Former Customer?: _____

Abstract	
Customer For Whom Services Were Performed: _____	
Number of covered Lives: _____	
Customer Address: _____ _____ _____	
Program Description: (The Offeror should submit specific details concerning the program identified in satisfaction of the requirements in IFB, Section III.E. This information should be provided as an attachment to this form and the information provided should support the Offeror's assertion that it can successfully implement and administer programs of the scope and complexity as set forth in this IFB# DEAS-2015-1.)	
Program Contact References: (Required And Will Be Verified) (Attach 2 current and 1 former client reference)	
Contact Name: _____	Contact Title: _____
Phone Number: _____	E-Mail Address: _____
Contact Name: _____	Contact Title: _____
Phone Number: _____	E-Mail Address: _____

Exhibit I.W - Compliance with NYS Workers' Compensation Law

Sections 57 and 220 of the New York State Workers' Compensation Law (WCL) provide that the Department shall not enter into any contracts unless proof of workers' compensation and disability benefits insurance coverage is produced. Prior to entering into contracts with DCS, the selected Offeror will be required to verify for DCS, on forms authorized by the New York State Workers' Compensation Board, the fact that they are properly insured or are otherwise in compliance with the insurance provisions of the WCL. The forms to be used to show compliance with the WCL are listed below. DCS requests the Offeror submit this insurance verification information with their Proposals. Any questions relating to either workers' compensation or disability benefits coverage should be directed to the State of New York Workers' Compensation Board, Bureau of Compliance at (518)486-6307. You may also find useful information at their website <http://www.wcb.state.ny.us>. Failure to provide verification of either of these types of insurance coverage by the time the winning Offeror is selected and the Contract is ready to be executed will be grounds for disqualification of an otherwise successful Proposal.

Workers' Compensation Requirements under WCL § 57:

To comply with coverage provisions of the WCL, businesses must:

- A) be legally exempt from obtaining workers' compensation insurance coverage; or
- B) obtain such coverage from insurance carriers; or
- C) be a Board-approved self-insured employer or participate in an authorized group self-insurance plan.

To assist State and municipal entities in enforcing WCL Section 57, businesses requesting permits or seeking to enter into contracts **MUST provide ONE** of the following forms to the government entity issuing the permit or entering into a contract:

- A) CE-200, Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage ⁽¹⁾; **OR**
- B) C-105.2 -- Certificate of Workers' Compensation Insurance (the business's insurance carrier will send this form to the government entity upon request) **PLEASE NOTE:** The State Insurance Fund provides its own version of this form, the U-26.3; **OR**
- C) SI-12 -- Certificate of Workers' Compensation Self-Insurance (the business calls the Board's Self-Insurance Office at 518-402-0247), **OR** GSI-105.2 -- Certificate of Participation in Worker's Compensation Group Self-Insurance (the business's Group Self-Insurance Administrator will send this form to the government entity upon request).

Disability Benefits Requirements under Workers' Compensation Law §220(8)

To comply with coverage provisions of the WCL regarding disability benefits, businesses may:

- A) be legally exempt from obtaining disability benefits insurance coverage; or
- B) obtain such coverage from insurance carriers; or
- C) be a Board-approved self-insured employer.

Accordingly, to assist State and municipal entities in enforcing WCL Section 220(8), businesses requesting permits or seeking to enter into contracts **MUST provide ONE** of the following forms to the entity issuing the permit or entering into a contract:

- A) CE-200, Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage ⁽¹⁾; **OR**
 - B) DB-120.1 -- Certificate of Disability Benefits Insurance (the business's insurance carrier will send this form to the government entity upon request); **OR**
 - C) DB-155 -- Certificate of Disability Benefits Self-Insurance (the business calls the Board's Self-Insurance Office at 518-402-0247).
-

Exhibit I.W - Compliance with NYS Workers' Compensation Law

- ⁽¹⁾ *Starting December 1, 2008, Form CE-200 can be filled out electronically on the Board's website, www.wcb.state.ny.us, under the heading "Forms." Applicants filing electronically are able to print a finished Form CE-200 immediately upon, completion of the electronic application. Applicants without access to a computer may obtain a paper application for the CE-200 by writing or visiting the Customer Service Center at any District Office of the Workers' Compensation Board. Applicants using the manual process may wait up to four weeks before receiving a CE-200. Once the applicant receives the CE-200, the applicant can then submit that CE-200 to the government agency from which he/she is getting the permit, license or contract.*

**Extraneous Terms Template
(Instructions for Documentation and Submission)**

Offerors shall identify all Extraneous Terms in the table provided on the following page, and shall adhere to all instructions below for preparing the table.

INSTRUCTIONS:

**IFB Section
and Sub-Section
Reference:**

The Offeror must insert the exact IFB Section, and Sub-Section number of the requirement(s) that the Offeror is proposing to modify. The Offeror must insert the nature of the proposed change and its impact on the Requirement.

IFB Requirement:

The Offeror must insert a concise description of the requirement(s) that the Offeror is proposing to modify.

**Proposed
Extraneous Term
Type:**

The Offeror must insert a one-word description, of the type of modification to each of the requirement(s) that the Offeror is proposing to modify, selected from the following list:

- Additional;
- Supplemental;
- "Or Equal"; or
- Alternative

**Proposed
Extraneous
Term:**

The one-word description must be followed by proposed alternate wording of the requirement(s).

**Impact on IFB
Requirement:**

The Offeror should describe the impact of the alternate wording. Then, the comments should explain how the modification(s) would benefit the State and provide best value. If there is a corresponding impact on the Administrative, Technical or Financial Section(s), that impact should be explained here with reference(s) to the parts of the volume(s) that are affected. However, **DO NOT INCLUDE ANY COST DATA IN THE ADMINISTRATIVE OR TECHNICAL SECTIONS.**

The Offeror must use the table format described above and detailed on the following page to summarize its proposed Extraneous Terms, if any. The Offeror may refer to more voluminous narratives, tables, figures and appendices that more fully describe aspects of the Extraneous Terms, provided that the additional material is fully cross-referenced by this required table.

Extraneous Terms Template

EXTRANEIOUS TERM(S)			
No.	IFB Section and Sub-Section Reference	IFB Requirement	Proposed Extraneous Term Type
1.			<input type="checkbox"/> Additional; <input type="checkbox"/> Supplemental; <input type="checkbox"/> "Or Equal"; or <input type="checkbox"/> Alternative
<u>Proposed Extraneous Term(s):</u>			
<u>Impact on IFB Requirement:</u>			

NYSHIP Dependent Eligibility Audit Services
#DEAS-2015-1
NYSHIP Dependent Eligibility Guidelines

Exhibit II.A

The following Dependents are eligible for NYSHIP coverage:

1. Your Spouse, including a legally separated Spouse, is eligible. If you are divorced or your marriage has been annulled, your former Spouse is not eligible, even if a court orders you to maintain coverage.
2. Your Domestic Partner. You may cover your same or opposite sex Domestic Partner as your Dependent under NYSHIP. A domestic partnership, for eligibility under NYSHIP, is one in which you and your partner are 18 years of age or older, unmarried and not related in a way that would bar marriage, living together, involved in an exclusive mutually committed relationship and financially interdependent. To enroll a Domestic Partner, you must have been in the partnership for six months and be able to provide proof of 6 months of cohabitation and 6 months of financial interdependence. There is a one year waiting period from the termination date of your previous partner's coverage before you may again enroll a Domestic Partner.
3. Your children under 26 years of age are eligible. This includes your natural children, legally adopted children, children in a waiting period prior to finalization of adoption, your stepchildren and children of your Domestic Partner who are covered without regard to financial dependence, residency with you, student status or employment. Other children who reside permanently with you in your household, who are chiefly dependent on you and for whom you have assumed legal responsibility, in place of the parent, also are eligible; you must verify eligibility and provide documentation to your Employer upon enrollment. For "other children," legal responsibility by you must have commenced before the child reached 19.
4. For purposes of eligibility for health insurance coverage as a Dependent you may deduct from your Dependent's age up to four years for service in a branch of the U.S. Military between the age of 19 and 25 for those Dependents that return to school on a full time basis, are unmarried and are otherwise not eligible for employer group coverage. You must be able to provide written documentation from the U.S. Military. Proof of full-time student status at an accredited secondary or preparatory school, college or other educational institution will be required for verification.
5. Your unmarried Dependent children 26 or over who are incapable of self-sustaining employment by reason of mental illness, developmental disability, mental retardation as defined in the mental hygiene law, or physical handicap who became so incapable prior to attainment of the age at which Dependent coverage would otherwise be terminated are eligible.

**NYSHIP Dependent Eligibility Audit Services
#DEAS-2015-1
Dependent Survivor Eligibility Guidelines**

**Exhibit II.B
Page 1 of 2**

Dependent Survivors

Dependent Survivors should contact the Employee's agency Health Benefits Administrator. The Department sends information about eligibility, enrollment and payment methods to Dependent Survivors during the extended benefits period which is provided to an Employee's Dependent Survivors after the Employee's death.

Extended Benefits Period

If an Employee dies while on the State's payroll, the enrolled Dependents will continue to receive coverage for five biweekly payroll periods beyond the payroll period for which their last health insurance deduction was taken.

If an Employee dies while on a Participating Employer or Participating Agency's payroll, the enrolled Dependents will continue to receive coverage for three months beyond the month in which the Employee died.

If the Employee dies while retired or in vested status, the enrolled Dependents will have health insurance coverage for three months beyond the month in which the Employee died.

If the Employee dies while enrolled in NYSHIP through COBRA, the enrolled Dependents will be eligible for the balance of the COBRA continuation coverage (up to a maximum of 36 months from the original COBRA start date) and/or conversion to a direct-pay contract.

Continued Dependent Survivor Coverage

The *unremarried Spouse*, or Domestic Partner who has not acquired another Domestic Partner, and eligible Dependent children may be allowed to continue their coverage under NYSHIP after the extended benefits period ends.

Whether they are eligible for Dependent Survivor coverage depends on the following circumstances:

If a State, Participating Employer, or Participating Agency Employee dies as a result of a work-related illness or injury, regardless of their age at the time of death or their length of service, their Dependents are eligible for NYSHIP coverage for as long as the Dependents otherwise remain eligible.

If the Employee's death is not the result of a work-related illness or injury: If at the time of the State, Participating Employer or Participating Agency Employee's death the Employee was an active Employee who had 10 years of service with New York State or an agency eligible to participate in NYSHIP the Dependents will be eligible for NYSHIP coverage. In addition, Participating Agencies have the option of including years of service with New York City in calculating the 10 years of service.

Enrollment Identification

During the extended benefits period, the Employee's Dependent Survivors should continue to use the card(s) they already have under the Employee's identification number.

After the extended benefits period ends, if the Dependent then enrolls for Dependent Survivor coverage, the Department will change the file to the Dependent Survivor's own name and identification number, and issue a new card.

Employee's Eligible Dependents if Employee's Surviving Spouse Loses Eligibility or Dies

If the Employee's surviving Spouse or Domestic Partner loses eligibility or dies, the eligible Dependent children may continue their coverage as Dependent Survivors until they no longer meet the eligibility requirements as Dependents. If they no longer meet these requirements, they may enroll in COBRA or convert to a direct pay contract.

Not Eligible for Dependent Survivor Coverage

If the Employee's Spouse or Domestic Partner and children are not eligible for Dependent Survivor coverage under NYSHIP, they may be eligible to continue their coverage in NYSHIP under COBRA or convert to a direct-pay conversion contract.

Option Transfer for Dependent Survivors

Dependent Survivors may change options at any time once in a twelve-month period. They are covered by the same rules as retirees for changing options.

**NYSHIP Dependent Eligibility Audit Services
#DEAS-2015-1
NYSHIP Required Proofs for Dependent Eligibility**

**Exhibit II.C
Page 1 of 1**

Spouse:

- Birth Certificate
- Marriage Certificate
- Proof of current joint ownership/joint financial obligation

Domestic Partner:

- Birth Certificate
- Proof of joint financial obligations (2 proofs required)
- Proof of residing together (PO BOX not acceptable)

Natural-born Children, Stepchildren, and Children of a Domestic Partner:

- Birth Certificate

Adopted Children:

- Birth Certificate or
- Adoption papers

Other Children:

- Birth Certificate
- Proof of Support greater than 50%
- Proof of Residency

Child Who Is a Full-Time Student With Military Service:

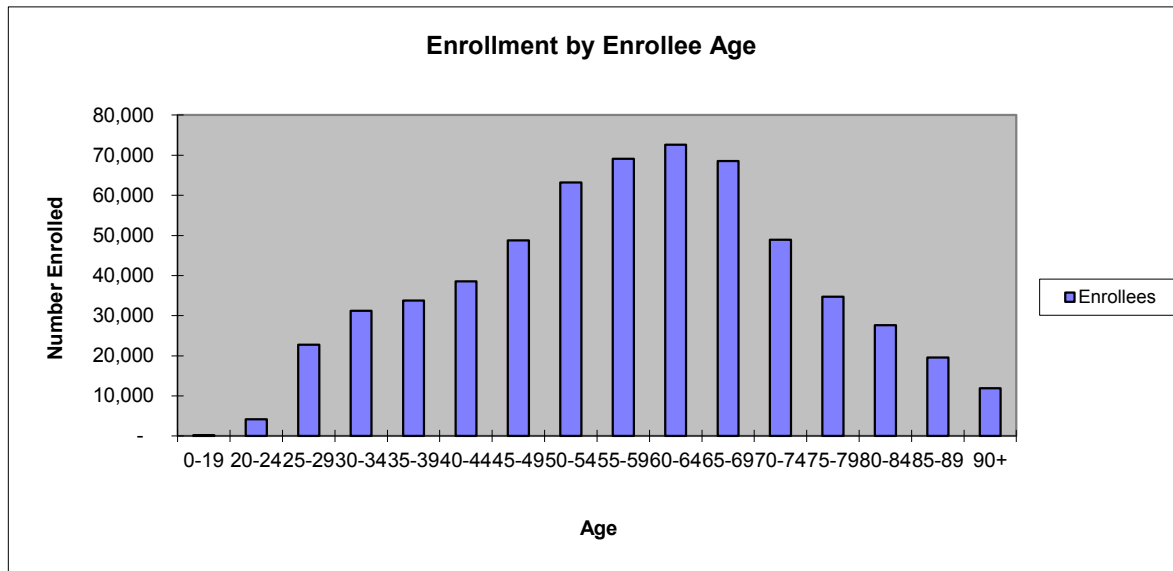
- Birth Certificate
- Proof of full time student status

**NYSHIP Dependent Eligibility Audit Services
#DEAS-2015-1**

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**TOTAL COMBINED NYSHIP & OPT OUT ENROLLMENT & COVERED LIVES BY AGE
AS OF FEBRUARY 27, 2015**

Age Group	Enrollees	Spouses	Dependents	Total
0-19	156	26	241,624	241,806
20-24	4,190	484	89,861	94,535
25-29	22,717	5,485	17,987	46,189
30-34	31,181	14,509	652	46,342
35-39	33,751	20,519	402	54,672
40-44	38,575	25,555	296	64,426
45-49	48,746	31,501	219	80,466
50-54	63,169	37,201	150	100,520
55-59	69,110	38,438	61	107,609
60-64	72,592	36,746	33	109,371
65-69	68,575	31,149	6	99,730
70-74	48,959	20,728	3	69,690
75-79	34,699	12,606	1	47,306
80-84	27,595	7,532	-	35,127
85-89	19,554	3,763	-	23,317
90+	11,941	1,193	-	13,134
Total:	595,510	287,435	351,295	1,234,240



Source: NYBEAS

NYSHIP Dependent Eligibility Audit Services

#DEAS-2015-1

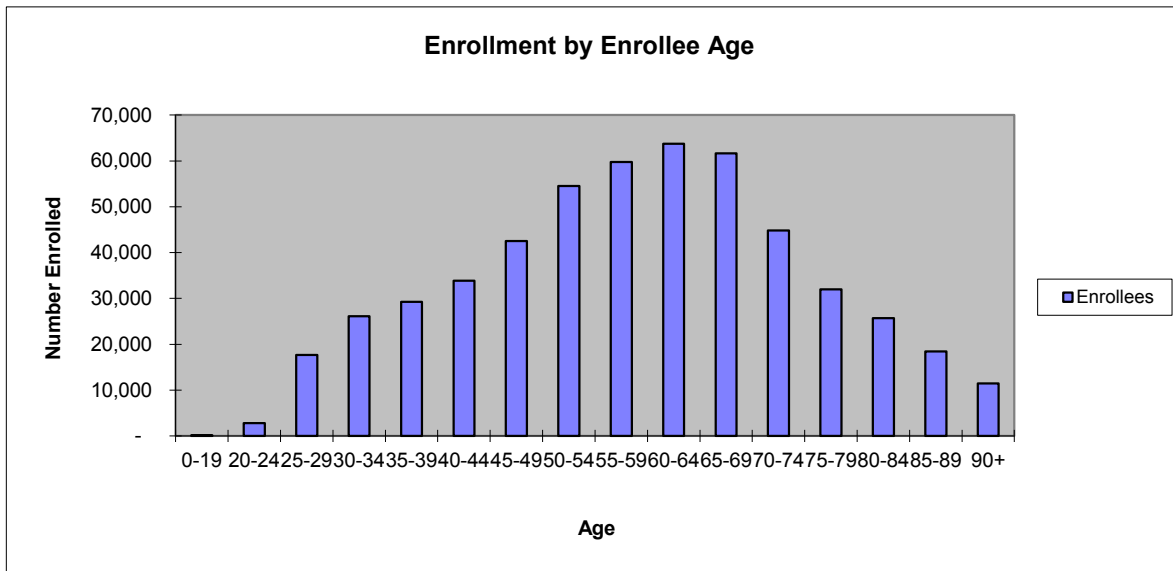
NYSHIP Total Enrollment by Age

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**TOTAL EMPIRE PLAN ENROLLMENT AND COVERED LIVES BY AGE
AS OF FEBRUARY 27, 2015**

Age Group	Enrollees	Spouses	Dependents	Total
0-19	125	21	212,489	212,635
20-24	2,813	407	78,556	81,776
25-29	17,698	4,630	15,942	38,270
30-34	26,107	12,543	598	39,248
35-39	29,277	17,981	372	47,630
40-44	33,839	22,646	279	56,764
45-49	42,551	27,680	201	70,432
50-54	54,568	32,483	146	87,197
55-59	59,740	33,682	58	93,480
60-64	63,774	32,964	32	96,770
65-69	61,674	28,510	6	90,190
70-74	44,842	19,291	3	64,136
75-79	31,998	11,861	1	43,860
80-84	25,731	7,128	-	32,859
85-89	18,476	3,590	-	22,066
90+	11,450	1,147	-	12,597
Total:	524,663	256,564	308,683	1,089,910



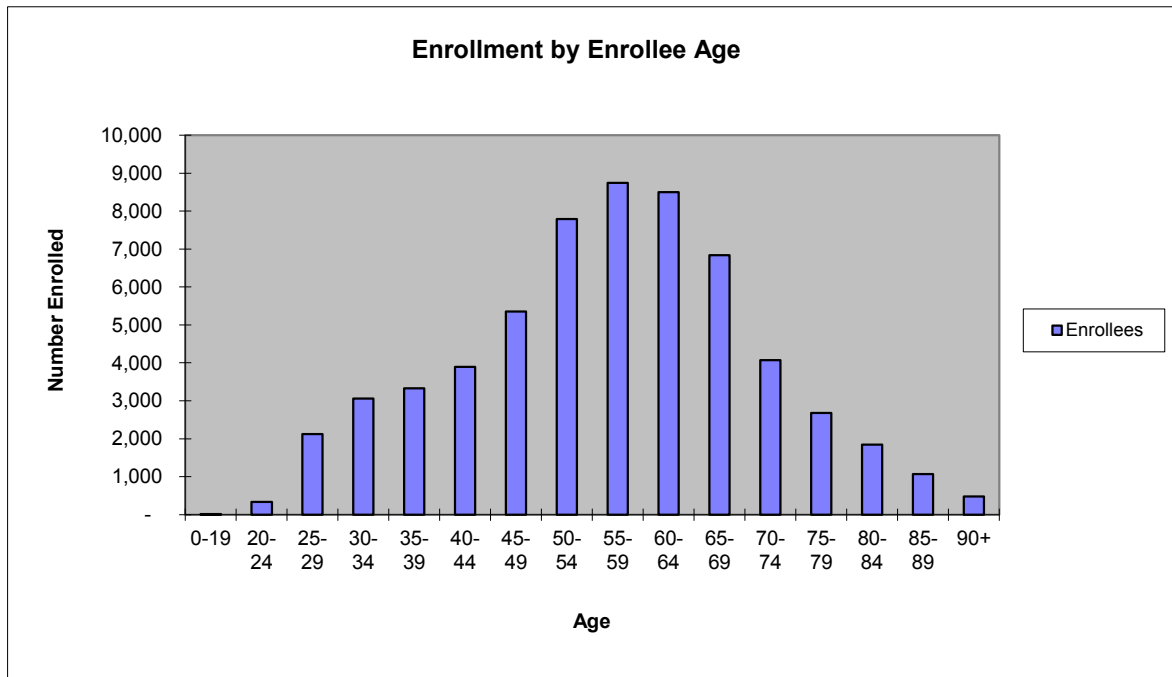
Source: NYBEAS

**NYSHIP Dependent Eligibility Audit Services
#DEAS-2015-1
NYSHIP Total Enrollment by Age**

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**TOTAL HMO ENROLLMENT AND COVERED LIVES BY AGE
AS OF FEBRUARY 27, 2015**

Age Group	Enrollees	Spouses	Dependents	Total
0-19	14	1	24,408	24,423
20-24	337	50	10,355	10,742
25-29	2,122	496	1,903	4,521
30-34	3,063	1,302	52	4,417
35-39	3,331	1,895	30	5,256
40-44	3,893	2,271	17	6,181
45-49	5,351	3,205	16	8,572
50-54	7,788	4,123	4	11,915
55-59	8,746	4,287	3	13,036
60-64	8,496	3,596	1	12,093
65-69	6,834	2,581	-	9,415
70-74	4,073	1,415	-	5,488
75-79	2,678	736	-	3,414
80-84	1,848	402	-	2,250
85-89	1,067	169	-	1,236
90+	481	44	-	525
Total:	60,122	26,573	36,789	123,484



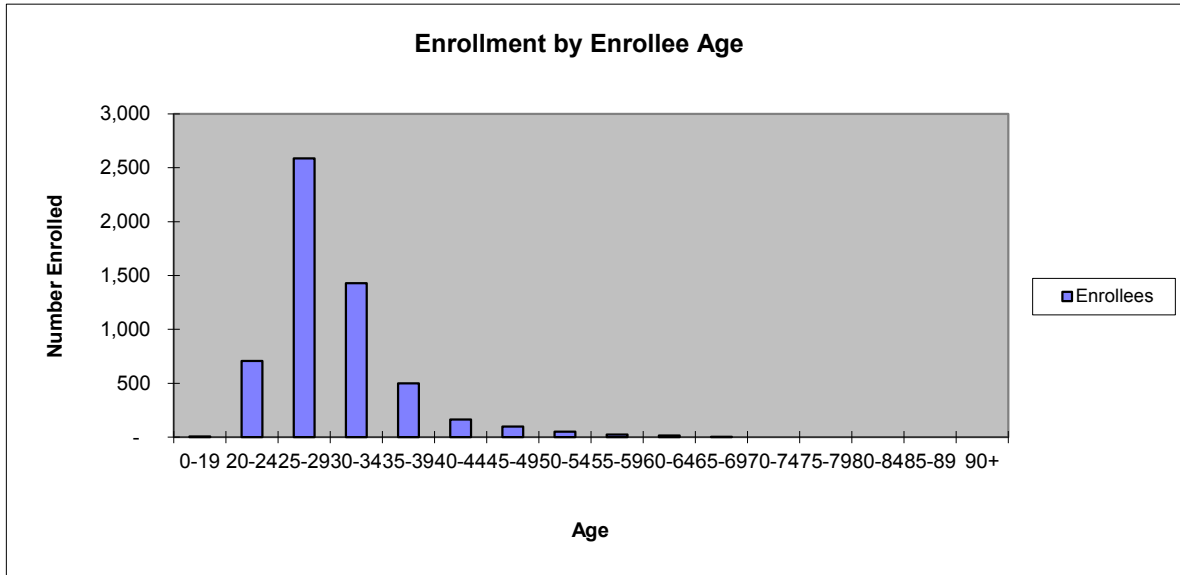
Source: NYBEAS

**NYSHIP Dependent Eligibility Audit Services
#DEAS-2015-1
NYSHIP Total Enrollment by Age**

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**TOTAL STUDENT EMPLOYEE HEALTH PLAN ENROLLMENT AND COVERED LIVES BY AGE (1)
AS OF FEBRUARY 27, 2015**

Age Group	Enrollees	Spouses	Dependents	Total
0-19	6	2	501	509
20-24	707	21	20	748
25-29	2,586	221	4	2,811
30-34	1,430	253	-	1,683
35-39	500	141	-	641
40-44	165	74	-	239
45-49	98	36	-	134
50-54	52	17	-	69
55-59	25	11	-	36
60-64	15	5	-	20
65-69	1	3	-	4
70-74	-	1	-	1
75-79	-	-	-	-
80-84	-	-	-	-
85-89	-	-	-	-
90+	-	-	-	-
Total:	5,585	785	525	6,895



(1) Program enrollment includes NYS (SUNY) and CUNY Graduate Student Employee Union
Source: NYBEAS

**NYSHIP Dependent Eligibility Audit Services
#DEAS-2015-1
Projected DEA Project Services Count as of February 2015**

Exhibit III.B

Total NYSHIP Family Policy and Dependent Information as of February 2015				
	Enrollees with Family Coverage	Spouse/Domestic Partners	Dependent Children	Total Dependents (SP/DP & Dep. Children)
Subject to the Amnesty Election	322,985	287,255	350,662	637,917
Exempt from Eligibility Verification (Verified in 2009 Audit)	20,627	0	219,610	219,610
Subject to Eligibility Verification	302,358	287,255	131,052	418,307

Total NYS Family Policy and Dependent Information as of February 2015				
	Enrollees with Family Coverage	Spouse/Domestic Partners	Dependent Children	Total Dependents (SP/DP & Dep. Children)
Subject to the Amnesty Election	169,516	147,989	184,344	332,333
Exempt from Eligibility Verification (Verified in 2009 Audit)	10,191	0	117,179	117,179
Subject to Eligibility Verification	159,325	147,989	67,165	215,154

Total Participating Agencies (PA) Family Policy and Dependent Information as of February 2015				
	Enrollees with Family Coverage	Spouse/Domestic Partners	Dependent Children	Total Dependents (SP/DP & Dep. Children)
Subject to the Amnesty Election	118,896	108,730	125,346	234,076
Exempt from Eligibility Verification (Verified in 2009 Audit)	6,319	0	76,182	76,182
Subject to Eligibility Verification	112,577	108,370	49,164	157,894

Total Participating Entities (PE) Family Policy and Dependent Information as of February 2015				
	Enrollees with Family Coverage	Spouse/Domestic Partners	Dependent Children	Total Dependents (SP/DP & Dep. Children)
Subject to the Amnesty Election	34,573	30,536	40,972	71,508
Exempt from Eligibility Verification (Verified in 2009 Audit)	4,117	0	26,249	26,249
Subject to Eligibility Verification	30,456	30,536	14,723	45,259

**NYSHIP Dependent Eligibility Audit Services
#DEAS-2015-1**

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NYSHIP Total Covered Lives

**Empire Plan, Excelsior Plan and SEHP
February 2015**

With Drug Coverage

Empire Plan		Enrollee	Spouse	Dependents	Total Covered Lives
NYS	Individual	141,244	-	-	141,244
	Family	139,632	121,847	148,301	409,780
	Total	280,876	121,847	148,301	551,024
PEs	Individual	13,883	-	-	13,883
	Family	27,635	24,533	32,608	84,776
	Total	41,518	24,533	32,608	98,659
PAs	Individual	80,829	-	-	80,829
	Family	118,793	108,636	125,247	352,676
	Total	199,622	108,636	125,247	433,505
Total With Drug Coverage	Individual	235,956	-	-	235,956
	Family	286,060	255,016	306,156	847,232
	Total	522,016	255,016	306,156	1,083,188

With No Drug Coverage

NYS	Individual	9	-	-	9
	Family	-	-	-	-
	Total	9	-	-	9
PEs	Individual	861	-	-	861
	Family	1,747	1,476	2,105	5,328
	Total	2,608	1,476	2,105	6,189
PAs	Individual	7	-	-	7
	Family	-	-	-	-
	Total	7	-	-	7
Total With No Drug Coverage	Individual	877	-	-	877
	Family	1,747	1,476	2,105	5,328
	Total	2,624	1,476	2,105	6,205
Total Empire(a)	Individual	236,833	-	-	236,833
	Family	287,807	256,492	308,261	852,560
	Total	524,640	256,492	308,261	1,089,393

(a) Excludes Excelsior Plan & SEHP

**NYSHIP Dependent Eligibility Audit Services
#DEAS-2015-1
NYSHIP Total Covered Lives**

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**Empire Plan, Excelsior Plan and SEHP
February 2015**

With Drug Coverage

Excelsior Plan

		Enrollee	Spouse	Dependents	Total Covered Lives
PAs Excelsior Plan	Individual	124	-	-	124
	Family	103	94	99	296
	Total	227	94	99	420

With No Drug Coverage

PAs Excelsior Plan	Individual	-	-	-	-
	Family	-	-	-	-
	Total	-	-	-	-
Total Excelsior Plan	Individual	124	-	-	124
	Family	103	94	99	296
	Total	227	94	99	420

With Drug Coverage

SEHP

NYS	Individual	2,844	-	-	2,844
	Family	375	357	210	942
	Total	3,219	357	210	3,786
PEs (CUNY)	Individual	1,891	-	-	1,891
	Family	448	424	314	1,186
	Total	2,339	424	314	3,077
Total SEHP	Individual	4,735	-	-	4,735
	Family	823	781	524	2,128
	Total	5,558	781	524	6,863
Total Empire, Excelsior and SEHP	Individual	241,692	-	-	241,692
	Family	288,733	257,367	308,884	854,984
	Total	530,425	257,367	308,884	1,096,676

**NYSHIP Dependent Eligibility Audit Services
#DEAS-2015-1
NYSHIP Total Covered Lives**

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**HMOs/NYSHIP
February 2015**

With Drug Coverage

HMOs		Enrollee	Spouse	Dependents	Total Covered Lives
NYS	Individual	26,296	-	-	26,296
	Family	26,044	22,535	30,907	79,486
	Total	52,340	22,535	30,907	105,782
PEs	Individual	2,924	-	-	2,924
	Family	4,365	3,787	5,446	13,598
	Total	7,289	3,787	5,446	16,522
Total With Drug Coverage	Individual	29,220	-	-	29,220
	Family	30,409	26,322	36,353	93,084
	Total	59,629	26,322	36,353	122,304

With No Drug Coverage

NYS	Individual	-	-	-	-
	Family	-	-	-	-
	Total	-	-	-	-
PEs	Individual	156	-	-	156
	Family	304	248	384	936
	Total	460	248	384	1,092
Total With No Drug Coverage	Individual	156	-	-	156
	Family	304	248	384	936
	Total	460	248	384	1,092
Total HMO's	Individual	29,376	-	-	29,376
	Family	30,713	26,570	36,737	94,020
	Total	60,089	26,570	36,737	123,396
Total Opt-Outs	Individual	1,170	-	-	1,170
	Family	3,540	3,318	5,041	11,899
	Total	4,710	3,318	5,041	13,069
NYSHIP Total	Individual	272,238	-	-	272,238
	Family	322,986	287,255	350,662	960,903
	Total	595,224	287,255	350,662	1,233,141

**NYSHIP Dependent Eligibility Audit Services
#DEAS-2015-1
Empire Plan Dependent Claims Cost (1)**

Exhibit III.D

Year Paid	Total Claims Paid	Average # Dependents
2010	\$2,265,802,505	541,073
2011	\$2,535,440,070	567,935
2012	\$2,614,295,991	569,582
2013	\$2,758,045,423	567,746
2014	\$2,878,474,271	566,014

(1) Includes paid claims for Empire, Excelsior and SEHP dependents.

Note: this information not available for NYSHIP HMOs.

Enrollment File Layout

File Sent from DCS - Record Length 505

Field Name	Description	Type	Length	Begin Position	End Position
Enrollee SSN	Enrollee Social Security No.	CHAR	9	1	9
Enrollee Emp ID	Enrollee Identification No. - Unique number assigned to All NYSHIP Enrollees	CHAR	11	10	20
Enrollee Alt ID	Enrollee alternative Identification Number - Unique number assigned to Empire Plan and SEHP Enrollees	CHAR	9	21	29
Enrollee Last Name	Enrollee Last Name	CHAR	30	30	59
Enrollee First Name	Enrollee First Name	CHAR	30	60	89
Enrollee Middle Initial	Enrollee Middle Initial	CHAR	1	90	90
Enrollee Birthdate	Enrollee Date of Birth - YYYYMMDD	CHAR	8	91	98
Enrollee Address 1	Enrollee Street Address	CHAR	40	99	138
Enrollee Address 2	Enrollee Street Address - May be blank, if not used	CHAR	40	139	178
Enrollee City	Enrollee City - May be blank, if other than USA	CHAR	30	179	208
Enrollee State	Enrollee State - May be blank, if other than USA	CHAR	2	209	210
Enrollee Zip Code	Enrollee Zip Code Zipcode 5 plus 4 when supplied May be blank if other than USA	CHAR	10	211	220
Enrollee Country	Enrollee Country - All countries reported including USA	CHAR	3	221	223
Enrollee Benefit Program	Indicates benefit package of enrollee, enrollee employment status (e.g. active, COBRA, retiree), union group or other group	CHAR	3	224	226
Enrollee Benefit Plan	Medical Plan of Enrollee	CHAR	3	227	229
Enrollee Customer ID	Billing Entity	CHAR	5	230	234
Enrollee Department ID	Employing Agency	CHAR	5	235	239
Enrollee Company	Employing Agency Type - NYS = New York State enrollees; PE = Participating Employer Enrollees; PA = Participating Agency Enrollees	CHAR	3	240	242
Dependent Number	Dependent Number - Assigned unique number of each dependent (i.e. 02, 03, and so on). Numbers may not be sequential.	CHAR	2	243	244
Dependent Type	Dependent Type - See chart below	CHAR	2	245	246
Dependent SSN	Last four digits of dependent social security number - If not available, field left blank	CHAR	4	247	250
Dependent Medicare Reimbursable	Dependent Reimbursed for Medicare Part B Premium - Y = Yes; N = No	CHAR	1	251	251
NMSO	NMSO or QMCSSO in affect Y = Yes; N = No	CHAR	1	252	252
Dependent Last Name	Dependent Last Name	CHAR	30	253	282
Dependent First Name	Dependent First Name	CHAR	30	283	312
Dependent Middle Initial	Dependent Middle Initial	CHAR	1	313	313
Dependent Birthdate	Dependent Date of Birth - YYYYMMDD	CHAR	8	314	321
Dependent Sex	Dependent Gender - M = Male; F = Female; U = Unknown; ' ' = Blank	CHAR	1	322	322
Disabled/Military Dependent Indicator	Indicates if dependent is disabled or age extension due to military service - Report 4 values: Permanently Disabled = P, Temporarily Disabled = T, Military Eligibility = M or N = Not Disabled	CHAR	1	323	323

Enrollment File Layout

File Sent from DCS - Record Length 505

Field Name	Description	Type	Length	Begin Position	End Position
Dependent Eligibility Status	Eligibility Status - if this field has an 'E' this dependent was verified eligible in the prior Audit, if the field is blank this dependent must be included in the audit.	CHAR	1	324	324
Returned Mail Agency Name	Agency Name	CHAR	30	325	354
Returned Mail Address 1	Address to be used for returned mail process	CHAR	35	355	389
Returned Mail Address 2	Address to be used for returned mail process - may be blank if not used	CHAR	35	390	424
Returned Mail Address 3	Address to be used for returned mail process - may be blank if not used	CHAR	35	425	459
Returned Mail City	Address to be used for returned mail process	CHAR	30	460	489
Returned Mail State	Address to be used for returned mail process	CHAR	6	490	495
Returned Mail Zip Code	Address to be used for returned mail process- Zip Code Zipcode 5 plus 4 when supplied	CHAR	10	496	505
Dependent Type	Code				
Spouse	SP				
Spouse/Domestic Partner	DP				
Son	S				
Daughter	D				
Other Dependent	O				

Enrollment Update File layout (Term & Deceased File layout)					
File Sent from DCS - Record Length 507					
Field Name	Description	Type	Length	Begin Position	End Position
Enrollee SSN	Enrollee Social Security No.	CHAR	9	1	9
Enrollee Emp ID	Enrollee Identification No. - Unique number assigned to All NYSHIP Enrollees	CHAR	11	10	20
Enrollee Alt ID	Enrollee alternative Identification Number - Unique number assigned to Empire Plan and SEHP Enrollees	CHAR	9	21	29
Enrollee Last Name	Enrollee Last Name	CHAR	30	30	59
Enrollee First Name	Enrollee First Name	CHAR	30	60	89
Enrollee Middle Initial	Enrollee Middle Initial	CHAR	1	90	90
Enrollee Birthdate	Enrollee Date of Birth - YYYYMMDD	CHAR	8	91	98
Enrollee Address 1	Enrollee Street Address	CHAR	40	99	138
Enrollee Address 2	Enrollee Street Address - May be blank, if not used	CHAR	40	139	178
Enrollee City	Enrollee City - May be blank, if other than USA	CHAR	30	179	208
Enrollee State	Enrollee State - May be blank, if other than USA	CHAR	2	209	210
Enrollee Zip Code	Enrollee Zip Code Zipcode 5 plus 4 when supplied May be blank if other than USA	CHAR	10	211	220
Enrollee Country	Enrollee Country - All countries reported including USA	CHAR	3	221	223
Enrollee Benefit Program	Indicates benefit package of enrollee, enrollee employment status (e.g. active, COBRA, retiree), union group or other group	CHAR	3	224	226
Enrollee Benefit Plan	Medical Plan of Enrollee	CHAR	3	227	229
Enrollee Customer ID	Billing Entity	CHAR	5	230	234
Enrollee Department ID	Employing Agency	CHAR	5	235	239
Enrollee Company	Employing Agency Type - NYS = New York State enrollees; PE = Participating Employer Enrollees; PA = Participating Agency Enrollees	CHAR	3	240	242
Dependent Number	Dependent Number - Assigned unique number of each dependent (i.e. 02, 03, and so on). Numbers may not be sequential.	CHAR	2	243	244
Dependent Type	Dependent Type - See chart below	CHAR	2	245	246
Dependent SSN	Last four digits of dependent social security number - If not available, field left blank	CHAR	4	247	250
Dependent Medicare Reimbursable	Dependent Reimbursed for Medicare Part B Premium - Y = Yes; N = No	CHAR	1	251	251
NMSO	NMSO or QMCSO in affect Y = Yes; N = No	CHAR	1	252	252
Dependent Last Name	Dependent Last Name	CHAR	30	253	282
Dependent First Name	Dependent First Name	CHAR	30	283	312
Dependent Middle Initial	Dependent Middle Initial	CHAR	1	313	313
Dependent Birthdate	Dependent Date of Birth - YYYYMMDD	CHAR	8	314	321
Dependent Sex	Dependent Gender - M = Male F = Female U = Unknown ' ' = Blank	CHAR	1	322	322
Disabled/Military Dependent Indicator	Indicates if dependent is disabled or age extension due to military service - Report 4 values: Permanently Disabled = P, Temporarily Disabled = T, Military Eligibility = M or N = Not Disabled	CHAR	1	323	323

Enrollment Update File layout (Term & Deceased File layout)					
File Sent from DCS - Record Length 507					
Field Name	Description	Type	Length	Begin Position	End Position
Dependent Eligibility Status	Eligibility Status - if this field has an 'E' this dependent was verified eligible in the prior Audit, if the field is blank this dependent must be included in the audit.	CHAR	1	324	324
Returned Mail Agency Name	Agency Name	CHAR	30	325	354
Returned Mail Address 1	Address to be used for returned mail process	CHAR	35	355	389
Returned Mail Address 2	Address to be used for returned mail process - may be blank if not used	CHAR	35	390	424
Returned Mail Address 3	Address to be used for returned mail process - may be blank if not used	CHAR	35	425	459
Returned Mail City	Address to be used for returned mail process	CHAR	30	460	489
Returned Mail State	Address to be used for returned mail process	CHAR	6	490	495
Returned Mail Zip Code	Address to be used for returned mail process- Zip Code Zipcode 5 plus 4 when supplied	CHAR	10	496	505
Enrollee Update	Terminated Enrollee update - T = Terminated Enrollee; N = No Enrollee Update.	CHAR	1	506	506
Dependent Update	Dependent update - T = Dependent removed from coverage or dependent of Terminated Enrollee.	CHAR	1	507	507
Dependent Type	Code				
Spouse	SP				
Spouse/Domestic Partner	DP				
Son	S				
Daughter	D				
Other Dependent	O				

Reinstate FILE Layout
File Sent to DCS - Record Length 506

Field Name	Description	Type	Length	Begin Position	End Position
Enrollee SSN	Enrollee Social Security No.	CHAR	9	1	9
Enrollee Emp ID	Enrollee Identification No. - Unique number assigned to All NYSHIP Enrollees	CHAR	11	10	20
Enrollee Alt ID	Enrollee alternative Identification Number - Unique number assigned to Empire Plan and SEHP Enrollees	CHAR	9	21	29
Enrollee Last Name	Enrollee Last Name	CHAR	30	30	59
Enrollee First Name	Enrollee First Name	CHAR	30	60	89
Enrollee Middle Initial	Enrollee Middle Initial	CHAR	1	90	90
Enrollee Birthdate	Enrollee Date of Birth - YYYYMMDD	CHAR	8	91	98
Enrollee Address 1	Enrollee Street Address	CHAR	40	99	138
Enrollee Address 2	Enrollee Street Address - May be blank, if not used	CHAR	40	139	178
Enrollee City	Enrollee City - May be blank, if other than USA	CHAR	30	179	208
Enrollee State	Enrollee State - May be blank, if other than USA	CHAR	2	209	210
Enrollee Zip Code	Enrollee Zip Code Zipcode 5 plus 4 when supplied May be blank if other than USA	CHAR	10	211	220
Enrollee Country	Enrollee Country - All countries reported including USA	CHAR	3	221	223
Enrollee Benefit Program	Indicates benefit package of enrollee, enrollee employment status (e.g. active, COBRA, retiree), union group or other group	CHAR	3	224	226
Enrollee Benefit Plan	Medical Plan of Enrollee	CHAR	3	227	229
Enrollee Customer ID	Billing Entity	CHAR	5	230	234
Enrollee Department ID	Employing Agency	CHAR	5	235	239
Enrollee Company	Employing Agency Type - NYS = New York State enrollees; PE = Participating Employer Enrollees; PA = Participating Agency Enrollees	CHAR	3	240	242
Dependent Number	Dependent Number - Assigned unique number of each dependent (i.e. 02, 03, and so on). Numbers may not be sequential.	CHAR	2	243	244
Dependent Type	Dependent Type - See chart below	CHAR	2	245	246
Dependent SSN	Last four digits of dependent social security number - If not available, field left blank	CHAR	4	247	250
Dependent Medicare Reimbursable	Dependent Reimbursed for Medicare Part B Premium - Y = Yes; N = No	CHAR	1	251	251
NMSO	NMSO or QMCSO in affect Y = Yes; N = No	CHAR	1	252	252
Dependent Last Name	Dependent Last Name	CHAR	30	253	282
Dependent First Name	Dependent First Name	CHAR	30	283	312
Dependent Middle Initial	Dependent Middle Initial	CHAR	1	313	313
Dependent Birthdate	Dependent Date of Birth - YYYYMMDD	CHAR	8	314	321
Dependent Sex	Dependent Gender - M = Male F = Female U = Unknown ' ' = Blank	CHAR	1	322	322
Disabled/Military Dependent Indicator	Indicates if dependent is disabled or age extension due to military service - Report 4 values: Permanently Disabled = P, Temporarily Disabled = T, Military Eligibility = M or N = Not Disabled	CHAR	1	323	323
Dependent Eligibility Status	Eligibility Status - if this field has an 'E' this dependent was verified eligible in the prior Audit, if the field is blank this dependent must be included in the audit.	CHAR	1	324	324
Returned Mail Agency Name	Agency Name	CHAR	30	325	354
Returned Mail Address 1	Address to be used for returned mail process	CHAR	35	355	389
Returned Mail Address 2	Address to be used for returned mail process - may be blank if not used	CHAR	35	390	424
Returned Mail Address 3	Address to be used for returned mail process - may be blank if not used	CHAR	35	425	459

Reinstate FILE Layout

File Sent to DCS - Record Length 506

Field Name	Description	Type	Length	Begin Position	End Position
Returned Mail City	Address to be used for returned mail process	CHAR	30	460	489
Returned Mail State	Address to be used for returned mail process	CHAR	6	490	495
Returned Mail Zip Code	Address to be used for returned mail process- Zip Code Zipcode 5 plus 4 when supplied	CHAR	10	496	505
Eligibility Status	Eligibility Status-R for Reinstate	CHAR	1	506	506

Result File Layout

File Sent to DCS - Record Length 526

Field Name	Description	Type	Length	Begin Position	End Position
Enrollee SSN	Enrollee Social Security No.	CHAR	9	1	9
Enrollee Emp ID	Enrollee Identification No. - Unique number assigned to All NYSHIP Enrollees	CHAR	11	10	20
Enrollee Alt ID	Enrollee alternative Identification Number - Unique number assigned to Empire Plan and SEHP Enrollees	CHAR	9	21	29
Enrollee Last Name	Enrollee Last Name	CHAR	30	30	59
Enrollee First Name	Enrollee First Name	CHAR	30	60	89
Enrollee Middle Initial	Enrollee Middle Initial	CHAR	1	90	90
Enrollee Birthdate	Enrollee Date of Birth - YYYYMMDD	CHAR	8	91	98
Enrollee Address 1	Enrollee Street Address	CHAR	40	99	138
Enrollee Address 2	Enrollee Street Address - May be blank, if not used	CHAR	40	139	178
Enrollee City	Enrollee City - May be blank, if other than USA	CHAR	30	179	208
Enrollee State	Enrollee State - May be blank, if other than USA	CHAR	2	209	210
Enrollee Zip Code	Enrollee Zip Code Zipcode 5 plus 4 when supplied May be blank if other than USA	CHAR	10	211	220
Enrollee Country	Enrollee Country - All countries reported including USA	CHAR	3	221	223
Enrollee Benefit Program	Indicates benefit package of enrollee, enrollee employment status (e.g. active, COBRA, retiree), union group or other group	CHAR	3	224	226
Enrollee Benefit Plan	Medical Plan of Enrollee	CHAR	3	227	229
Enrollee Customer ID	Billing Entity	CHAR	5	230	234
Enrollee Department ID	Employing Agency	CHAR	5	235	239
Enrollee Company	Employing Agency Type - NYS = New York State enrollees; PE = Participating Employer Enrollees; PA = Participating Agency Enrollees	CHAR	3	240	242
Dependent Number	Dependent Number - Assigned unique number of each dependent (i.e. 02, 03, and so on). Numbers may not be sequential.	CHAR	2	243	244
Dependent Type	Dependent Type - See chart below	CHAR	2	245	246
Dependent SSN	Last four digits of dependent social security number - If not available, field left blank	CHAR	4	247	250
Dependent Medicare Reimbursable	Dependent Reimbursed for Medicare Part B Premium - Y = Yes; N = No	CHAR	1	251	251
NMSO	NMSO or QMCSO in affect Y = Yes; N = No	CHAR	1	252	252
Dependent Last Name	Dependent Last Name	CHAR	30	253	282
Dependent First Name	Dependent First Name	CHAR	30	283	312
Dependent Middle Initial	Dependent Middle Initial	CHAR	1	313	313

Result File Layout

File Sent to DCS - Record Length 526

Field Name	Description	Type	Length	Begin Position	End Position
Dependent Birthdate	Dependent Date of Birth - YYYYMMDD	CHAR	8	314	321
Dependent Sex	Dependent Gender - M = Male F = Female U = Unknown ' ' = Blank	CHAR	1	322	322
Disabled/Military Dependent Indicator	Indicates if dependent is disabled or age extension due to military service - Report 4 values: Permanently Disabled = P, Temporarily Disabled = T, Military Eligibility = M or N = Not Disabled	CHAR	1	323	323
Dependent Eligibility Status	Eligibility Status - if this field has an 'E' this dependent was verified eligible in the prior Audit, if the field is blank this dependent must be included in the audit.	CHAR	1	324	324
Returned Mail Agency Name	Agency Name	CHAR	30	325	354
Returned Mail Address 1	Address to be used for returned mail process	CHAR	35	355	389
Returned Mail Address 2	Address to be used for returned mail process - may be blank if not used	CHAR	35	390	424
Returned Mail Address 3	Address to be used for returned mail process - may be blank if not used	CHAR	35	425	459
Returned Mail City	Address to be used for returned mail process	CHAR	30	460	489
Returned Mail State	Address to be used for returned mail process	CHAR	6	490	495
Returned Mail Zip Code	Address to be used for returned mail process- Zip Code Zipcode 5 plus 4 when supplied	CHAR	10	496	505
Eligibility Status	Eligibility Status - See Results Code spreadsheet	CHAR	1	506	506
Eligibility Reason code	See Results Code spreadsheet	CHAR	2	507	508
Dependent Drop Effective date		CHAR	8	509	516
Incomplete Doc Code 1	Populate if dep status = "I" - See Incomplete Doc Codes spreadsheet	CHAR	2	517	518
Incomplete Doc Code 2	Populate if dep status = "I" - See Incomplete Doc Codes spreadsheet	CHAR	2	519	520
Incomplete Doc Code 3	Populate if dep status = "I" - See Incomplete Doc Codes spreadsheet	CHAR	2	521	522
Incomplete Doc Code 4	Populate if dep status = "I" - See Incomplete Doc Codes spreadsheet	CHAR	2	523	524
Incomplete Doc Code 5	Populate if dep status = "I" - See Incomplete Doc Codes spreadsheet	CHAR	2	525	526
Positions 1-505 will be the data which was sent by DCS - positions 506-526 will be the results of the amnesty/audit.					

Ineligible Reason Code List		
Code	Description	
00	Enrollee instructed delete in Amnesty phase (voluntary drop during amnesty)	
01	Enrollee instructed delete (voluntary drop during audit)	
20	Amnesty Drop During Verification Phase	
62	Audit Stopped - Client Instructed Delete	
66	(Sys or manual) Terminated (Employee terminated, dependent removed from audit)	
77	Client Instructed Delete and removed from audit	
88	Enrollee failed to provide complete documentation	
99	Enrollee did not respond	
Dependent Status Code List		
Dep Status Code	Description	
E	Eligible	
I	Incomplete	
X	Ineligible	
W	Withdrawn from Audit	
Results Grid	Eligibility Status	Eligibility Reason Code
Audit Stopped - Dependent removed from audit per client request (non term/deceased)	W	62
Dependent Eligible	E	NULL
Mail Undeliverable - dependent removed prior to Verification launch and from verification (end of verification phase 1 & 2 prior to pulling result file)	W	05
Employee Terminated - Dependent removed from audit	W	66
Dependent Removed from benefits - Dependent removed from audit	W	77
Dependent Dropped - Voluntary Drop During Amnesty	X	00
Dependent Dropped - Amnesty Drop During Verification Phase	X	20
Dependent Dropped - Incomplete Documentation	X	88
Dependent Dropped - No Response	X	99

Incomplete Document Codes

CODE	DOC_DESC
AA	Proof of Marital Status/[Date TBD] Federal or State Tax Return (AA)
AC	[Date TBD] filing extension Form 4868 (AC)
AD	Marriage Certificate (AD)
B1	Dependent Dropped In Error
BA	Joint ownership: mortgage statement/bank statement, etc.(BA)
BB	Document did not list both your and your spouse's names (BB)
BC	Joint ownership document was dated prior to [Date TBD] or was dated after the audit processing date (BC)
BD	3rd party letter verifying JO document was effective between [Date TBD] and audit processing date (BD)
CA	Domestic Partner Financial Interdependency (CA)
CB	Domestic Partner: One Proof required from LIST A (CB)
CC	Financial Interdependency: Document did not list both names (CC)
CD	Financial Interdependency document was not dated between [Dates TBD] (CD)
CE	Letter from 3rd party verifying FI document was effective between [Dates TBD] (CE)
DA	Domestic Partner Residency (DA)
DB	Residency: Document did not list both names (DB)
DC	Address on DP proof of residency did not match enrollee's address (DC)
DD	DP Residency document was not dated between [Dates TBD] (DD)
DE	3rd party letter verifying DP Residency document was effective between [Dates TBD](DE)
EA	Proof of Relationship (EA)
EB	Birth certificate did not list the parent(s) (EB)
EC	Divorce decree or court document did not name the children (EC)
ED	Divorce decree or court document did not have signature, seal or stamp (ED)
EE	Divorce decree or court document did not name the parents (EE)
FA	Proof of Full-Time Student Status (FA)
FB	Documentation did not include number of credit hours (FB)
FC	Documentation did not list dependent as a student (FC)
FD	Documentation did not list the school's name (FD)
FE	Proof of Full-Time Student Criteria (FE)
FF	Full-Time Student document was not dated between [Dates TBD] (FF)
FG	Proof of School Accreditation (FG)
GA	Other Child Financial Support (GA)
GB	Child's name was not listed on the tax form (GB)
GD	Financial Support document was not dated between [Dates TBD] (GD)
HA	Other Child Residency (HA)
HB	Number of Children who live with you did not match (HB)
HC	The Qualifying Child Box was not checked (HC)
HD	Other Child Residency document was not dated between [Dates TBD] (HD)
ZA	Official translation for all foreign language documents (ZA)
ZB	Contact HBA for deceased enrollee or dependent (ZB)
ZC	Contact DCS for deceased enrollee or dependent (ZC)
ZD	Participant Deceased
ZZ	Contact the Dependent Eligibility Service Center

Returned Mail File Layout

File Sent to DCS and file sent from DCS - Record Length 687

Field Name	Description	Type	Length	Begin Position	End Position
Enrollee SSN	Enrollee Social Security No.	CHAR	9	1	9
Enrollee Emp ID	Enrollee Identification No. - Unique number assigned to All NYSHIP Enrollees	CHAR	11	10	20
Enrollee Alt ID	Enrollee alternative Identification Number - Unique number assigned to Empire Plan and SEHP Enrollees	CHAR	9	21	29
Enrollee Last Name	Enrollee Last Name	CHAR	30	30	59
Enrollee First Name	Enrollee First Name	CHAR	30	60	89
Enrollee Middle Initial	Enrollee Middle Initial	CHAR	1	90	90
Enrollee Birthdate	Enrollee Date of Birth - YYYYMMDD	CHAR	8	91	98
Enrollee Address 1	Enrollee Street Address	CHAR	40	99	138
Enrollee Address 2	Enrollee Street Address - May be blank, if not used	CHAR	40	139	178
Enrollee City	Enrollee City - May be blank, if other than USA	CHAR	30	179	208
Enrollee State	Enrollee State - May be blank, if other than USA	CHAR	2	209	210
Enrollee Zip Code	Enrollee Zip Code Zipcode 5 plus 4 when supplied May be blank if other than USA	CHAR	10	211	220
Enrollee Country	Enrollee Country - All countries reported including USA	CHAR	3	221	223
Enrollee Benefit Program	Indicates benefit package of enrollee, enrollee employment status (e.g. active, COBRA, retiree), union group or other group	CHAR	3	224	226
Enrollee Benefit Plan	Medical Plan of Enrollee	CHAR	3	227	229
Enrollee Customer ID	Billing Entity	CHAR	5	230	234
Enrollee Department ID	Employing Agency	CHAR	5	235	239
Enrollee Company	Employing Agency Type - NYS = New York State enrollees; PE = Participating Employer Enrollees; PA = Participating Agency Enrollees	CHAR	3	240	242
Dependent Number	Dependent Number - Assigned unique number of each dependent (i.e. 02, 03, and so on). Numbers may not be sequential.	CHAR	2	243	244
Dependent Type	Dependent Type - See chart below	CHAR	2	245	246
Dependent SSN	Last four digits of dependent social security number - If not available, field left blank	CHAR	4	247	250
Dependent Medicare Reimbursable	Dependent Reimbursed for Medicare Part B Premium - Y = Yes; N = No	CHAR	1	251	251
NMSO	NMSO or QMCSO in affect Y = Yes; N = No	CHAR	1	252	252
Dependent Last Name	Dependent Last Name	CHAR	30	253	282
Dependent First Name	Dependent First Name	CHAR	30	283	312
Dependent Middle Initial	Dependent Middle Initial	CHAR	1	313	313
Dependent Birthdate	Dependent Date of Birth - YYYYMMDD	CHAR	8	314	321
Dependent Sex	Dependent Gender - M = Male; F = Female; U = Unknown; ' ' = Blank	CHAR	1	322	322

Returned Mail File Layout

File Sent to DCS and file sent from DCS - Record Length 687

Field Name	Description	Type	Length	Begin Position	End Position
Disabled/Military Dependent Indicator	Indicates if dependent is disabled or age extension due to military service - Report 4 values: Permanently Disabled = P, Temporarily Disabled = T, Military Eligibility = M or N = Not Disabled	CHAR	1	323	323
Dependent Eligibility Status	Eligibility Status - if this field has an 'E' this dependent was verified eligible in the prior Audit, if the field is blank this dependent must be included in the audit.	CHAR	1	324	324
Returned Mail Agency Name - if necessary	Agency Name	CHAR	30	325	354
Returned Mail Address 1- if necessary	Address to be used for returned mail process	CHAR	35	355	389
Returned Mail Address 2 - if necessary	Address to be used for returned mail process - may be blank if not used	CHAR	35	390	424
Returned Mail Address 3 - if necessary	Address to be used for returned mail process - may be blank if not used	CHAR	35	425	459
Returned Mail City - if necessary	Address to be used for returned mail process	CHAR	30	460	489
Returned Mail State - if necessary	Address to be used for returned mail process	CHAR	6	490	495
Returned Mail Zip Code - if necessary	Address to be used for returned mail process- Zip Code Zipcode 5 plus 4 when supplied	CHAR	10	496	505
Returned Mail Status	1 - Post Office gave vendor forwarding address ; 2 - Vendor sent returned mail to agency on initial file; 3 - DCS sending new address to vendor	CHAR	1	506	506
Returned Mail Agency Name - where it was sent	Agency Name	CHAR	30	507	536
Returned Mail Address 1- where it was sent	Address to be used for returned mail process	CHAR	35	537	571
Returned Mail Address 2- where it was sent	Address to be used for returned mail process - may be blank if not used	CHAR	35	572	606
Returned Mail Address 3 - where it was sent	Address to be used for returned mail process - may be blank if not used	CHAR	35	607	641
Returned Mail City - where it was sent	Address to be used for returned mail process	CHAR	30	642	671
Returned Mail State - where it was sent	Address to be used for returned mail process	CHAR	6	672	677
Returned Mail Zip Code - where it was sent	Address to be used for returned mail process- Zip Code Zipcode 5 plus 4 when supplied	CHAR	10	678	687

Returned Mail File Layout

File Sent to DCS and file sent from DCS - Record Length 687

Field Name	Description	Type	Length	Begin Position	End Position
Dependent Type	Code				
Spouse	SP				
Spouse/Domestic Partner	DP				
Son	S				
Daughter	D				
Other Dependent	O				

**NYSHIP Dependent Eligibility Audit Services
#DEAS-2015-1
Sample Return On Investment Calculation**

Exhibit III.F

Example: Of 100 dependents subject to the Dependent Eligibility Audit; 7 are determined to be ineligible for NYSHIP benefits:

- 4 are enrolled in the Empire Plan; savings is based on their average claims experience
- 2 are enrolled in HMOs; removing the ineligible dependents, as they were the only dependents listed, results in the enrollee's coverage changing from Family to Individual.
- 3 of the 6 dependents are also Medicare eligible
- 1 of the dependents is a sole dependent under a Family Policy of an Enrollee who participates in the Opt-Out Program

The Savings and the Return on Investment relative to the seven dependents determined to be ineligible are calculated as follows:

1 Annualized Savings for Dependents Currently Enrolled in the Empire Plan or SEHP					
	Total Claims 2010 - 2014	# Months Enrolled in Empire Plan or SEHP 2010 - 2014	Average Monthly Claims Paid	12 Months	Average Annualized Claims Paid
	a	b	c=a/b	d	e=c*d
Dependent A	\$10,000	60	166.67	12	2,000.04
Dependent B	\$5,000	48	104.17	12	1,250.04
Dependent C	\$0	13	0.00	12	0.00
Dependent D	\$500	7	71.43	12	857.16
Average Annual Cost Per Ineligible Dependent					1,026.81
Number of Ineligible Dependents					4
Total Empire Plan/SEHP Savings (1):					\$4,107.24

2 Annualized Savings for Dependents Currently Enrolled in an HMO			
	2014 Annual Family Net Premium	2014 Annual Individual Net Premium	Annualized Savings
	a	b	c=a-b
Dependent E	\$12,000	5,000	\$7,000
Dependent F	\$11,000	4,800	\$6,200
Total HMO Savings (2):			\$13,200

3 Annualized Savings for Dependents Currently Medicare Eligible			
	Monthly Medicare Part B Reimbursement	12 Months	Annualized Savings
Dependent A	\$104.90	12	\$1,258.80
Dependent B	\$104.90	12	\$1,258.80
Dependent E	\$104.90	12	\$1,258.80
Total Medicare Part B Reimbursement Savings (3):			\$3,776

4 Annualized Savings for Dependents of Enrollees who Participate in the Opt-Out Program		
	Savings for each Family Opt-Out converted to Individual Opt-Out	Annualized Savings
Dependent G	\$2,000.00	\$2,000
Total Opt-Out Savings (4):		\$2,000

5 Total Savings and Return on Investment Calculation	
Total Savings (5)=(1)+(2)+(3)+(4)	\$23,083.64
Total Cost of Project (6)	\$5,000
ROI = (5)/(6)	4.6

**NYSHIP Dependent Eligibility Audit
#DEAS-2015-1
Streaming FileNet Load Process for DEA Project Services**

Exhibit III.G

Index File Filename:

letter-DEPENDT_ELIGIBILTY_AUDIT-123456789_1.fna

Index File Contents:

123456789
letter-DEPENDT_ELIGIBILTY_AUDIT-123456789_1

TIFF Filename:

letter-DEPENDT_ELIGIBILTY_AUDIT-123456789_1.tiff

**NYS Dependent Eligibility Audit Services
#DEAS-2015-1
Quoted Fees For DEA Project Services**

- 1.) Quote in the space provided an all-inclusive (includes all postage cost) flat fee for each task based on the total number of Family Policies and Dependents below. **Note:** Fees must be expressed in fixed dollar amounts (e.g. \$100,000).

Total NYSHIP Family Policy and Dependent Information as of February 2015				
	Enrollees with Family Coverage	Spouse/Domestic Partners	Dependent Children	Total Dependents (SP/DP & Dep. Children)
Subject to the Amnesty Election	322,985	287,255	350,662	637,917
Exempt from Eligibility Verification (Verified in 2009 Audit)	20,627	0	219,610	219,610
Subject to Eligibility Verification*	302,358	287,255	131,052	418,307
* Prior to Voluntary Terminations in the Amnesty Period				

A. Quote flat fee for Administration of Implementation Period		\$	-
B. Quote flat fee for Administration of Amnesty Period		\$	-
C. Quote flat fee for Administration of Eligibility Verification Period(s)		\$	-
D. Quote flat fee for Administration of Appeal & Reinstatement Period(s)		\$	-
E. Total Project Cost for DEA Project Services		\$	-
(A+B+C+D = E)			