

## ATTACHMENT 13



Department of  
Civil Service

### Proposal Submission Requirement Checklist - RFP entitled: "New York State Health Insurance Program Decision Support System"

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 RFP Section 1.4.
- \_\_\_ 2. **FORMATTING REQUIREMENTS:** The Offeror's Proposal must be organized in three parts: Administrative Proposal; Technical Proposal and Financial Proposal and each part must each comply with the formatting requirements stated in Section 2 of this RFP.
- \_\_\_ a. **Nine (9) separately bound hardcopies** –1 ORIGINAL and 2 copies of each of the three (3) parts of the proposal, separated into Administrative, Technical and Financial sections. Each ORIGINAL hard copy of each part 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.
- \_\_\_ b. **One (1) master USB drive containing electronic versions of the Original Administrative Proposal, Technical Proposal AND Financial Proposal** marked as "MASTER".
- \_\_\_ c. **Sixteen (16) additional USB drives, eight (8) of which each contain an electronic copy of the Administrative and Technical Proposal ONLY, and eight (8) of which contain the Financial Proposal ONLY.**
- \_\_\_ d. Proposals must be prepared in Adobe Acrobat.
- \_\_\_ e. Each Original hard copy of the combined Administrative and Technical and Financial Proposal must be separately bound and clearly labeled with "New York State Health Insurance Program Decision Support System", the Offeror's name(s) and contain the following:
1. \_\_\_ Table of Contents
  2. \_\_\_ Index Tabs
  3. \_\_\_ Pagination
- \_\_\_ f. Required Content of Proposals - The Proposal shall consist of three parts: the Administrative Proposal must contain the documentation required in Section 4 of this RFP. The Technical Proposal must be responsive to the submission requirements set forth in Section 5 of this RFP. The Financial Proposal must demonstrate a commitment to perform all requirements set forth in Section 6 of this RFP.
- \_\_\_ 3. **REQUIRED CONTENT OF THE ADMINISTRATIVE PROPOSAL:** 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* (Attachment 3) as set forth in RFP in accordance with the requirements set forth in RFP, Section 4.
- \_\_\_ B. **Minimum Mandatory Requirements:** The Offeror must submit a completed *Offeror Attestations Form* (Attachment 17) containing the representations and warranties set forth therein.
- \_\_\_ C. **Key Subcontractors:** The Offeror must complete and submit the *Key Subcontractors* form (Attachment 15) which must:
1. provide a brief description of the services to be provided by the Key Subcontractor; and

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

The Offeror must indicate whether or not, as of the date of the Offeror's Proposal, a subcontract has been executed between the Offeror and the Key Subcontractor for services to be provided by the Key Subcontractor relating to this RFP. If the Offeror will not be subcontracting with any Key Subcontractor(s) to provide program services, the Offeror must indicate such on Attachment 15.

- \_\_\_ D. **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. If financial statements have not been prepared and/or audited, the Offeror/Key Subcontractor/Affiliate must provide 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. 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 RFP, and the parties (i.e., DCS and the Offeror or the Offeror and Key Subcontractor or Affiliate) contractual obligations should the Offeror be awarded the resultant contract.
- \_\_\_ E. **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 NYS's Worker's Compensation and NYS Disability coverage must be submitted for each.

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\_\_\_ **F. New York State Tax Law Section 5-a:** An Offeror is required to file the completed and notarized Form ST-220-CA with the Department certifying that the Offeror filed the ST-220-TD with DTF. Form ST-220-CA should be filed with the bid and submitted to the Department certifying that the Offeror filed the ST-220-TD with DTF. The Offeror should complete and return the certification forms within five (5) business days of request (if the forms are not completed and returned with bid submission). Failure to make either of these filings may render an Offeror non-responsive and non-responsible. The Offeror must take the necessary steps to provide properly certified forms within a timely manner to ensure compliance with the law.

\_\_\_ **G. Consultant Disclosure Requirement:** The Offeror must complete the *New York State Consultant Services Contractor's Planned Employment* form (Attachment 16) for all employees proposed to providing Project Services under the Contract whether employed by the Offeror or a Subcontractor.

\_\_\_ **H. Compliance with New York State Workers' Compensation Law:** 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.

\_\_\_ **I. Insurance Requirements:** Contractor shall provide a Certificate or Certificates of Insurance, as listed in Section 4.9 of this RFP, in a form satisfactory to the Department, before commencing any work under this contract.

4. **REQUIRED CONTENT OF THE TECHNICAL PROPOSAL:** The Technical Section shall be responsive to the duties and responsibilities and submission requirements set forth in Section IV of this RFP 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. Program Administration**

- \_\_\_ 1. Executive Summary
- \_\_\_ 2. Account Team

\_\_\_ **B. Implementation, Operation and Support Services**

- \_\_\_ 1. Implementation Plan
- \_\_\_ 2. Data Management
- \_\_\_ 3. User Requirements
- \_\_\_ 4. Analytical Capabilities
- \_\_\_ 5. Query and Reporting Capabilities
- \_\_\_ 6. Consulting Support Services

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- \_\_\_7. DSS Operational Requirements
- \_\_\_8. Security

\_\_\_C. **Transition and Termination of Contract**

- \_\_\_1. Transition Period

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

- \_\_\_A. Attachment 19 Implementation Fee Form
- \_\_\_B. Attachment 20 Ongoing Operations Monthly Fee Form
- \_\_\_C. Attachment 21 Additional User Fees Form
- \_\_\_D. Attachment 22 Data Provider Start-Up Fee Form
- \_\_\_E. Attachment 23 Additional Consulting Support Services Fees Form

6. **REQUESTED REDACTIONS USB drive and HARD COPY:** The FOIL-related materials described herein which the Offeror is requested to provide per RFP, Section 2 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 Offeror of the need to provide the requested items.

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

- \_\_\_A. *Freedom of Information Law – Request for Redaction Chart* (Attachment 24)
- \_\_\_B. Separately bound hardcopy of the Administrative Proposal, Technical Proposal, and Financial Proposal with each specific item requested to be protected from FOIL disclosure by highlighting in yellow.
- \_\_\_C. Electronic copy (on USB drive in Adobe Acrobat Professional software, version 8 or higher) of the complete Proposal noting each the specific items requested to be protected from FOIL which contains no more than three PDF files; one for each part of the Proposal (Administrative Proposal, Technical Proposal, and Financial Proposal).