
SECTION IV: TECHNICAL PROPOSAL REQUIREMENTS

The Department is seeking to award the Agreement to a qualified Offeror to provide the New York State statutory PFL benefit to New York State employees. This section of the RFP sets forth the expected programmatic duties and responsibilities and includes questions concerning those duties and responsibilities for response by an Offeror. The Offeror's Technical Proposal must contain responses to all questions (i.e. Required Submissions) in the format requested. Each Offeror may submit only one Technical Proposal. Technical Proposals will be evaluated based on the Offeror's responses to the questions contained in this Section. Therefore, it is critical that Offerors fully respond to each of the questions presented in this Section IV.

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

The Department will only evaluate Proposals from qualified Offerors that meet the Minimum Mandatory Requirements in Section III and are responsive to the duties and responsibilities set forth in Section IV of this RFP.

A. Program Administration**1. Firm and Account Team Qualifications**

The Offeror must describe its capacity to administer the PFL Program.

a. Required Submission

The Offeror must submit an executive summary that describes its capacity to administer the PFL Program for New York State employees. The executive summary must include:

(1) An organizational chart and description illustrating how the Offeror proposes to administer, manage, and oversee all aspects of the PFL Program. Include the following:

(a) The name and address of the Offeror's main and branch offices and the name of the account leader who will be responsible for this account;

- (b) Reporting relationships, job descriptions, and responsibilities of each key position of the account team and describe how the account team interfaces with senior management and ultimate decision makers within the Offeror's organization;
 - (c) Qualifications of those individuals selected to comprise the account team for the Offeror. Complete **Exhibit I.B** of this RFP, Biographical Sketch Form, for all key members of the proposed account team. Where individuals are not named, include qualifications of the individuals that the Offeror would seek to fill the positions.
- (2) A statement explaining the Offeror's and the Offeror's Key Subcontractors' previous experience managing paid family leave programs or disability insurance programs. Detail how this experience qualifies the Offeror and, if applicable, the experience of its Key Subcontractors to undertake the functions and activities required by this RFP; and
- (3) An explanation of how the following administrative and operational components will be performed by the Offeror. Include an organizational chart detailing responsibility for the following functions:
- (a) Firm and Account Team
 - (b) Implementation
 - (c) Customer Service
 - (d) Employee Communication Support
 - (e) Eligibility Management
 - (f) Claims Submission and Processing
 - (g) Reporting
 - (h) Transition and Termination of Agreement
- (4) What resources will the Offeror utilize to ensure the PFL Program is in compliance with State regulations and how will the Offeror communicate the impact of any future statutory or regulatory changes to the Department?

- (5) Please confirm the Offeror will assist the Department with recommendations and evaluation of proposed changes and implement any changes necessary to accommodate PFL Program modifications resulting from legislation or within the statutory discretion of the State.

2. Implementation

The Offeror must ensure that the PFL Program is fully functional no later than 75 days after the Office of the State Comptroller approves the Agreement. The implementation plan must be detailed and comprehensive and demonstrate a firm commitment by the Offeror to complete all implementation activities within the said time period.

a. Duties and Responsibilities

- (1) During the implementation period, the Offeror must undertake and complete all implementation activities provided below. Such implementation activities must be completed within the implementation period proposed by the Offeror.
- (a) A fully operational call center, providing all aspects of customer support as set forth in Section IV.B.1 of this RFP. The call center must be open and operational on the first day following the implementation period. Telephonic communications must have resources for members who are hearing impaired and meet Language Access Requirements for Employees;
 - (b) A fully functioning, customized PFL Program website available on the first day following the implementation period, with a secure dedicated link from the Department's website;
 - (c) A fully functioning claims processing system that adheres to the PFL Program's State regulations; and
 - (d) The ability to accept and maintain an eligibility file, whose format is mutually agreed to by the State and the Offeror.

b. Required Submission

- (1) Provide an implementation plan (via a detailed narrative, diagram, and timeline) that results in each of the duties and responsibilities in this section being completed on the first day following the implementation period. The implementation plan should explicitly state the number of days needed to complete all of the necessary tasks. Note that Offerors who can implement the PFL Program in fewer than 75 days will receive a higher score on this requirement.

B. Proposed PFL Program Services

In this section, the Offeror must demonstrate its capacity to provide the required services for administration of the PFL Program.

1. Customer Service**a. Duties and Responsibilities**

The Offeror will be responsible for all customer support and services including, but not limited to:

- (1) Maintaining a call center for the PFL Program that provides Employee access to fully trained customer service representatives and supervisors on the first day following the implementation period between the hours of 8:00AM to 11:00PM, Monday through Friday, except for business holidays. Customer service representatives must be able to provide employees with the status of submitted claims during these hours; The call center must be located in the United States to ensure information, privacy and protection practices are in accordance with state and federal law. Telephonic communications must have resources for members who are hearing impaired and Language Access Requirements for Employees whose primary language is not English. The call center must continue in operation for four (4) months after termination of the Agreement;
- (2) Trained customer service representatives capable of responding to inquiries and complaints related to PFL Program benefits, eligibility and claim status and must track all Employee calls and create a record of call details;

- (3) Maintaining a backup customer service staff located in the United States with PFL Program training to handle any calls in the event the main call center becomes unavailable; and

b. Required Submission

- (1) Confirm you will maintain access to a call center located in the United States that provides access to fully trained customer service representatives and supervisors on the first day following the implementation period between the hours of 8:00AM to 11:00PM, Monday through Friday, except business holidays. If additional hours are proposed, please state. Confirm telephonic communications will have resources for Employees who are hearing impaired and translation services for Employees whose primary language is not English. Confirm the call center will continue in operation for four (4) months after termination of the Agreement;
- (2) Describe the information, resources and system capabilities that are available for the customer service representatives to address and resolve member inquiries. Include:
 - (a) Whether any Interactive Voice Response (IVR) system is proposed and, if so, provide a sample of the IVR script and a description of customizable options, if any, you propose for the PFL Program; and
 - (b) A description of the capabilities of your phone system to record calls, and track call types, reasons and resolutions.
- (3) Describe the training including the amount of time training is provided to customer service representative staff before they go “live” on the phone with Employees.
- (4) Describe the back-up system for your primary telephone system to be used if the primary telephone system fails, is unavailable or at maximum capacity. If a back-up system is deployed, explain how, and in what order, calls from Employees will be handled. Confirm that back-up staff will have PFL Program-specific training. Indicate the number of times the back-up system has been utilized over the past two (2) years. Confirm that calls will be handled exclusively by your call center and that the back-up call center would only be used in case of system failure or call overflow.

2. Employee Communication Support

The Department provides information regarding PFL Program benefits to Employees through various publications.

a. Duties and Responsibilities

- (1) The Offeror must consult with the Department on all PFL Program promotional and communications materials prior to sending to Employees; and
- (2) The Offeror is responsible for producing the PFL Program policy certificate for the Department.

b. Required Submission

- (1) Describe the resources that will be available to the Department to support the Department's development of various Employee communications and the Offeror's ability to provide input into such communications.
- (2) Please confirm that the Offeror will produce the PFL Program policy certificate.

3. Eligibility Management

The Offeror will be responsible for the maintenance of accurate, complete, and up-to-date enrollment records based on information provided by the Department. The enrollment records must be maintained in the United States to ensure information privacy and protection practices are in accordance with state and federal law. These enrollment records shall be used by the Offeror to process claims, provide customer service, and produce management reports and data files. Offeror must provide enrollment management services including but not limited to:

a. Duties and Responsibilities

- (1) Initial Testing: Performing an initial enrollment load to commence upon receipt of the enrollment file from the Department during PFL Program implementation. The file may be a fixed length American Standard Code for Information Interchange (ASCII) text file, or a custom file format, which will be determined by the Department;

- (2) Testing to determine if the initial enrollment file and weekly enrollment file updates are loaded correctly and that the enrollment system interfaces with the claims processing system to accurately adjudicate claims. The Offeror shall submit enrollment test files to the Department for auditing, provide the Department with secure, online access required to ensure accurate loading of the PFL Program enrollment data, and promptly correct any identified issues to the satisfaction of the Department;
- (3) Providing an enrollment system capable of receiving secure enrollment transactions on a weekly basis and having all transactions fully loaded to the claims processing system twenty-four (24) hours after the Department sends an enrollment file. The Offeror shall manually review and load any transactions which did not process correctly from the daily file by reviewing the correct enrollment date maintained by the Department. The Offeror shall immediately notify the Department of any delay in loading enrollment transactions. If the Offeror cannot load the enrollment file due to the quality of the data supplied by the Department, the Offeror shall immediately notify the Department. Once the Department provides the Offeror with file that meets the requisite quality standards for loading, the Offeror must load all records received within twenty-four (24) hours. If for any reason, the Department needs to send more than one enrollment file within a week, the Offeror must be capable of loading all files within the twenty-four (24) hour performance standard.

The format of these transactions will be in a format specified by the Department. The latest transaction format is contained in Exhibit II.A of the Agreement. The Offeror must also have the capability to receive alternate identification numbers and any special update files from the Department containing eligibility additions and deletions, including emergency updates, if required;

- (4) Ensuring the security of all enrollment information in order to protect the confidentiality of Employee data contained in the enrollment file. Any transfers of enrollment data within the Offeror's system or to external parties must be completed via a secured process, (e.g. Secure File Transfer Protocol (SFTP));

- (5) The Offeror must be able to provide electronic reporting back to Department in a similar format as to what was sent in the Department's submission of the enrollment file. That file must be able to be sent to Department via SFTP along with Pretty Good Privacy (PGP) encryption using the Department's public PGP Key;
- (6) Cooperating fully with any State initiatives to use new technologies, processes, and methods to improve the efficiencies of maintaining enrollment data including any enrollment file conformance testing requested during the course of the Agreement; and
- (7) The Offeror will have a back-up system in the event the primary eligibility file fails or cannot be accessed.

b. Required Submission

- (1) Describe the Offeror's testing plan to ensure that the initial enrollment load and daily enrollment transition files for the PFL Program are accurately updated to the Offeror's system and that they interface correctly with the Offeror's claims system.
 - (a) Explain what quality controls are performed before the initial and ongoing enrollment transactions are loaded into the claims adjudication system?
 - (b) How does your system identify transactions that will not load into the Offeror's enrollment system? What exceptions will cause enrollment transactions to fail to load into the Offeror's enrollment system? What steps are taken to resolve the exceptions, and what is the turnaround time for the exception records to be added to the Offeror's enrollment file?
- (2) Describe the Offeror's system capabilities for retrieving and maintaining enrollment information within twenty-four (24) hours of its release by the Department as well as:
 - (a) How the Offeror's system maintains a history of enrollment transactions and how long enrollment history is kept online and if there is a limit to the quantity of history transactions that can be kept on-line;

- (b) How the Offeror's system handles retroactive changes and corrections to enrollment data; and
- (c) Confirm the Offeror's enrollment and claims processing system has the capacity to administer a social security number, alternative identification number, and unique claim number. Does the Offeror's system have any special requirements to accommodate these three identification numbers?
- (d) Describe how the backup system, process or policy that will be used ensures that Employees receive PFL Program benefits in the event that enrollment information is not available.

4. Claims Submission and Processing

The Offeror must process all claims within the time frames outlined in State regulations. The claims submission and processing system should be able to accept paper claim forms at a minimum. Proposals that include electronic and telephonic claims submission capabilities will be scored more favorably.

a. Duties and Responsibilities

- (1) The Offeror must provide all aspects of claims submission and processing. Such responsibility shall include but not be limited to:
 - (a) Accurate and timely processing of all claims submitted under the PFL Program in accordance with State regulations;
 - (b) Verifying that the PFL Program provisions have been loaded into the system appropriately to calculate claim payments and maintaining a back-up system and disaster recovery system for processing claims in the event that the primary claims payment system fails or is not accessible;
 - (c) Providing NYS agency-specific PFL claim information;

- (d) To ensure information privacy and protection practices are in accordance with state and federal law, all aspects of claims submission and processing must be located only in the United States staffed by fully trained claims processors and supervisors; and
- (e) Upon termination of this Agreement, all claims initiated prior to the termination of this Agreement will be the responsibility of the Offeror until the end of the leave.

b. Required Submission

All payable claims must be processed in the time frames outlined in State regulations and PFL Program provisions.

- (1) Provide a flow chart and step-by-step description of the Offeror's proposed claims process for receiving and adjudicating claims submitted electronically, telephonically, and via paper submission. The ability to accept electronically and telephonically submitted claims is not required. However, proposals that include such capabilities will be evaluated more favorably.
- (2) Describe the Offeror's process to ensure all claims are paid accurately and timely in accordance with State regulations and PFL provisions.
- (3) Confirm the Offeror is able to provide NYS agency-specific PFL claim information.
- (4) Describe the Offeror's claims processing system platform including any back-up system utilized. Describe your disaster recovery plan.
- (5) Confirm that the Offeror will analyze and monitor claim submissions to promptly identify errors, fraud and abuse and report such information in a timely manner to the Department.
- (6) Confirm that all aspects of claims submission and processing are located only in the United States and staffed by fully trained claims processors and supervisors.

- (7) Confirm upon termination of this Agreement that all claims initiated prior to the termination of this Agreement will be the responsibility of the Offeror until the end of the leave.

5. Reporting

The Offeror must provide PFL Program reports as required by State regulations and to the Department for its use in the review and management of the PFL Program. The exact format, frequency and due dates for such reports shall be negotiated with the selected Offeror.

a. Duties and Responsibilities

In addition to providing the reports to the Department of Financial Services (DFS) that are mandated by regulation, the Offeror will be responsible for reporting services including, but not limited to:

- (1) Providing claim status reports to the Department on a weekly basis via SFTP which include, at a minimum, distribution by leave type, duration of leave, employee agency, salary and total days and weeks used by Employee; and
- (2) Providing management reports which may be requested by the Department.

b. Required Submission

- (1) The Offeror must confirm that claim status reports as specified in Section IV B.5.a. of this RFP will be delivered electronically via SFTP on a weekly basis. Any other reports requested by the Department will be delivered as soon as practicable.
- (2) The Offeror must submit examples of possible claim status reports and describe the value of each example. Provide an overview of the Offeror's reporting capabilities and the value the Offeror believes it will bring to the Program.
- (3) Confirm your ability and willingness to provide management reports and other data analysis. Provide examples of management reports that you have provided for other clients and/or propose to provide to the Department.

6. Transition and Termination of Agreement

The Offeror shall ensure that, upon termination of the Agreement, any transition to another organization shall provide Employees with uninterrupted access to their PFL Program benefits and associated customer service through the termination of the Agreement. This includes, but is not limited to: the processing of all claims; providing sufficient staffing to ensure members continue to receive good customer service through the call center for four (4) months after the termination date of the Agreement. It is also imperative that the Department continue to have dialogue with key personnel of the Offeror's account team, maintain access to online systems and receive data/reports and other information regarding the PFL Program after the termination date of the Agreement. In addition, the Offeror shall fully cooperate with the successor organization and the Department to create and implement a transition plan in a timely manner.

a. Duties and Responsibilities

- (1) The Offeror must commit to fully cooperate with the successor Offeror to ensure the timely receipt of all information necessary to transfer administration of the PFL Program;
- (2) The Offeror must, within ninety (90) Days prior to the end of the Agreement, or within forty-five (45) Days of notification of termination, if the Agreement is terminated prior to the end of its term, submit to the Department for approval a detailed written transition plan;
- (3) The Offeror must provide a test file to the successor organization at least ninety (90) days in advance of the Implementation Date to allow the successor organization to address any potential formatting issues;
- (4) The Offeror must provide a second production file prior to the successor organization's implementation;
- (5) Within ninety (90) calendar days from receipt of the transition plan, the Department shall either approve the transition plan or notify the Offeror, in writing, of the changes required to the transition plan so as to make it acceptable to the Department;

- (6) Within thirty (30) calendar days from the Offeror's receipt of the required changes, the Offeror shall incorporate said changes into the transition plan and submit such revised transition plan to the Department for approval; and
- (7) The Offeror must receive and apply enrollment updates, keep call center phone lines open with adequate staffing to provide customer service at the same level provided prior to the termination of the Agreement, adjust phone scripts, and transfer calls to the successor organization's telephone lines during the transition period.

b. Required Submission

- (1) Confirm that the Offeror will commit to fully cooperate with the successor organization to ensure the timely receipt of all information necessary to transfer administration of the PFL Program.
- (2) Provide an outline of the key elements and tasks that would be included in the transition plan to ensure that all the required duties and responsibilities are completed if the Offeror were the incumbent Contractor transferring duties to a successor Offeror. Include a brief explanation on how the Offeror would accomplish this with the successor organization.