

Request for Proposals

RFP #C041977

New York State Independent Assessor Program Services

AMENDMENT #5

July 28, 2026

The following are official modifications, which are hereby incorporated into RFP #C041977: New York State Independent Assessor Program Services. Deleted language appears in strikethrough ("~~xxx~~") and added language appears in **red** text. The information contained in this amendment prevails over the original RFP language. Bidders should review all documents in their entirety to ensure all amended language is incorporated into proposals.

Section 4.1 Tasks/Deliverables

A. General Contract Responsibilities

Throughout the contract term, the selected Contractor will be required to:

1. Follow applicable New York State (State) and federal laws, regulations, and guidance issued by the Department;
2. Develop secure Health Insurance Portability and Accountability Act (HIPAA) compliant protocols, to be approved by the Department, for receiving medical documentation from Managed Care Organizations (Plans or MCOs) and Local Departments of Social Services (LDSS);
3. Perform all assessments and send all written notices, either as required and/or at request of the Department, including but not limited to approval and/or denial notices, within the timeframes and other performance standards identified in [Section 4.15](#) of the RFP;
4. Adhere to all protected health information (PHI) and HIPAA regulations when scheduling and completing CHAs and any other duties related to the tasks identified in this RFP;

5. Maintain Department-approved policy and procedure documents and call scripting to guide staff in responding to callers and processing requests;
 - a. The Contractor must have a process for distributing new scripting to staff quickly in the event of circumstances such as changes to the program or system-generated issues.
6. Attend operational and strategic planning meetings with the Department upon request by the Department;
7. Leverage and expand facets of current statewide independent assessor functions, including but not limited to, evaluation and assessment work flows and business processes; technological infrastructure including file transfer systems, telephony infrastructure including Computer Telephonic Integration, Automatic Call Distribution, Integrated Voice Response System and Outbound dialer, and quality monitoring system including call recording and reporting, as appropriate and applicable, to fulfill the contract activities required throughout this RFP;
8. Provide multilingual support in performing the Independent Assessor services. This includes:
 - a. Telephonic support for appointment scheduling, rescheduling, and consumer inquiries and complaints, as further detailed in section 4.1.B;
 - b. Conducting community health assessments and medical examinations utilizing translation services and/or bilingual nurses; and
 - c. Providing written (notices and scripts) and/or verbal communications, in languages as required by the Department, including but not limited to English, Spanish, Russian, Haitian-Creole, Chinese, Korean and Bengali in accordance with State policy and/or Department directive.

In the event the contract is awarded to a non-incumbent vendor, the Contractor shall ensure that all required systems, staffing, and operational processes are fully implemented, tested, and operational no later than ~~September~~ **October 1, 2027.**

Section 4.1.C Community Health Assessments (CHA)

7. The Contractor will provide a reminder call to the consumer ~~no earlier than two (2) business days~~ before the scheduled assessment. **Reminder calls are to be completed one (1) business day prior to any scheduled initial assessment appointment;**

Section 4.3 Systems Interfaces

1. The Contractor shall provide and manage a Secure File Transfer Protocol (SFTP) solution accessible to the Department, health plans, and local districts for the exchange of files to support contract-related activities including but not limited to the Customer Relationship Management System and Workflow Management system, and any other system(s) as described throughout RFP [Section 4.1](#). Additional applications may be added at no cost to the Department.
 - a. The Contractor shall provide a weekly report on all data transfers occurring through the integration interfaces to the Department;
 - b. **The Contractor will be responsible for developing and implementing new notices and scripts as additional populations are incorporated into NYIAP. Any existing and newly developed notices and scripts must align with and support the applicable business processes and existing process flows.** The Contractor will amend and expand scripts and notices, and develop processes and protocols to accommodate the assessment activities described herein;
 - c. Where required, the Contractor shall provide a telehealth modality approved by the Department and in accordance with applicable laws and through a HIPAA secure platform;
 - d. The Contractor will develop an interface with the UAS-NY system and receive and process a monthly reassessment roster file;
 - e. The New York State Department of Health requires that vendors providing information technology (IT) and application services to the Department comply with the security and privacy policies and controls outlined in this RFP and all other applicable New York State and federal laws, regulations, policies, and standards for IT systems that transfer, process, or store Department data, including but not limited to the HIPAA and Omnibus Final Rule. Vendors are required to verify compliance with security and privacy requirements by providing the Department with documentation and artifacts that validate applicable standards and controls are in place.

Section 4.8 Materials

A. The Contractor will be responsible for logging consumer requests for materials in alternative formats.

Upon the Department's request, the Contractor is expected to:

- Translate written materials such as notices, applications, and website content into the top 12 most common non-English languages spoken in [New York State Language Access Law](#);
- Produce materials in alternate formats, such as Braille, audio recording, and other ADA compliant formats.

B. **The Contractor shall create and maintain a consumer friendly website for NYIAP, available immediately at the end of the transition period. This website must provide information about NYIAP, NYIAP services, managed long term care, and how to schedule an assessment. The website must include the phone number of the call center and its hours of operation. The website must be available in the languages required by the Department. The Contractor shall be responsible for updating the website based on the Department's direction. The Department will provide approval of the website. The website is not expected to be designed to store consumer information or allow consumer log-ins.**

Section 4.9 Facilities and Equipment

The Contractor must provide or procure a physical office space location in New York for all the work performed under this contract. This office space must include a location which will promote working relationships between all staff and increase efficiencies of the program and minimize overall administrative and program costs. The Department reserves the right to inspect all facilities at any time.

The Contractor is solely responsible for the supply, management, maintenance, and upgrade, to the satisfaction of the Department, of all facilities and equipment, in support of all services, business needs, policies, and procedures described within this RFP, including but not limited to: office space, leases, supplies and equipment, telecommunications, telephony, computers and peripherals, and all appropriate technology, tools, software, and security.

Section 4.11 Transition

A. Transition-In

- a. The transition-in period is the implementation and readiness phase following contract execution and prior to full operational service delivery. During this period, the Contractor shall complete all activities necessary to ensure successful operational readiness including, but not limited to, project planning, staffing, knowledge transfer, system configuration and integration, development and testing of required processes and deliverables, training, and any other implementation activities necessary to achieve a seamless transition to full contract operations on the Department-established go-live date of October 1, 2027.
- b. If the successful Contractor is the incumbent contractor currently performing the services, the Contractor shall remain responsible for ensuring uninterrupted service delivery and satisfying any new or revised contractual requirements prior to the established implementation or go-live date.
- c. Within thirty (30) calendar days of contract approval, the Contractor must submit an Implementation Plan demonstrating its approach to achieving operational readiness. For non-incumbent Contractors, the plan shall describe the proposed Transition-In approach. For incumbent Contractors, the plan shall describe the Contractor's experience developing and executing transition-in plans for comparable engagements, together with its approach to implementing new contract requirements and ensuring continuity of operations.

B. Transition-Out

- a. The transition-out period represents a period when the current contract activities performed by the Contractor must be turned over to the Department, another Department agent or successor Contractor during or at the end of the Contract Term.
- b. The Contractor must ensure that any transition to the Department, Departmental agency or successor Contractor be done in a way that provides the Department with uninterrupted services provided under the Contract. This includes a complete and total transfer of all data, files, reports, and records generated from the inception of the Contract through the end of the

Contract to the Department or another Department agent or successor Contractor should that be required during or upon expiration of its contract.

- c. The Contractor must provide technical and business process support as necessary and required by the Department to transition and assume contract requirements to the Department or another Department agent or successor Contractor should that be required during or at the end of the Contract.
- d. The Contractor must manage and maintain the appropriate number of staff to meet all requirements listed in the RFP during the transition. All reporting and record requirements, security standards, and performance standards will remain in full effect during the transition period.
- e. The Contractor is required to develop a work plan and timeline to securely and smoothly transfer any data and records generated from the inception of the Contract through the end of the Contract to the Department or another Department agent or successor Contractor should that be required during or upon expiration of its Contract. The plan and documentation must be submitted to the Department no later than twelve (12) months before the last day of the Contract with The Department or upon request of the Department.

Section 4.15 Performance Standards

The Department is committed to providing timely and high-quality assessments to consumers. To that end, the Contractor is expected to meet the following performance standards. The exact specifications for measuring the performance standard will be documented in a Performance Standard Specifications Document within 180 days of contract approval by OSC. Any changes to the specifications during the term of the contract must be documented in a revised Performance Standard Specification Document.

Table 1. Performance Standards

Program Area Performance Standard Category	Service Level Metric	Performance Standards	Applicable Penalties on Unmet Performance Standards
Consumer Facing Call Center: Timeliness	Average Speed of Answer for Inbound Calls to the Call Center	For callers who ask to speak to a live agent, the average wait time (average speed of answer) shall be less than fifteen (15) seconds	Upon each of the first two instances of failure to meet the service level metric, the Contractor shall provide in writing an assessment and a corrective action plan.

			Upon the third instance of failure to meet the service level metric, damages of \$50,000 may be deducted from the next monthly invoice. Immediately upon instances of failure that exceed thirty (30) seconds per month of average answer speed, damages of \$50,000 may be deducted from the next monthly invoice.
Consumer Facing Call Center: Abandonment Rate	The percentage of calls that are abandoned	Abandoned call rate is less than 8%	Upon each of the first two instances of failure to meet the service level metric, the Contractor shall provide in writing an assessment and a corrective action plan. Upon the third instance of failure to meet the service level metric, damages of \$50,000 may be deducted from the next monthly invoice. Immediately upon instances of failure that exceed twelve (12%) abandoned rate,

			damages of \$50,000 may be deducted from the next monthly invoice.
Consumer Facing Call Center: Scheduling	Average Days until Appointment	95% of assessments are scheduled and completed within 14 business calendar days	Upon each of the first two instances of failure to meet the service level metric, the Contractor shall provide in writing an assessment and a corrective action plan. Upon the third instance of failure to meet the service level metric, damages of \$50,000 per month may be deducted from the next monthly invoice. Immediately upon instances of failure where less than 90% of assessments are scheduled and completed within 14 business days, damages of \$50,000 per month may be deducted from the next monthly invoice.
Consumer Facing Call Center: Wait Times	Average wait times	Average waiting/hold time for a live voice is less than two minutes	Upon each of the first two instances of failure to meet the service level metric, the Contractor shall provide in writing an

			assessment and a corrective action plan. Upon the third instance of failure to meet the service level metric, damages of \$50,000 per month may be deducted from the next monthly invoice. Immediately upon instances of failure where the average waiting/hold time for a live voice is not less than four minutes, damages of \$50,000 per month may be deducted from the next monthly invoice.
Reporting	Timeliness of Monthly Reports	Monthly reports shall be provided by the 10 th day of the month following the reporting month. If the 10 th falls on a weekend or holiday, the reports shall be due the next business day	Upon each of the first two instances of failure to meet the service level metric, the Contractor shall provide in writing an assessment and a corrective action plan. Upon the third instance of failure to meet the service level metric, damages of \$50,000 per month may be deducted

			from the next monthly invoice. Immediately upon instances of failure where monthly reports are not provided before the 20th of the month, damages of \$50,000 per month may be deducted from the next monthly invoice.
Assessment Timeliness	Timeliness of Assessment process	90% percent of assessments shall be completed within 14 calendar days of when an appointment is scheduled	Upon each of the first two instances of failure to meet the service level metric, the Contractor shall provide in writing an assessment and a corrective action plan. Upon the third instance of failure to meet the service level metric, damages of \$50,000 per month may be deducted from the next monthly invoice. Immediately upon instances of failure where less than 80% of assessments are completed within 14 business calendar days,

			damages of \$50,000 per month may be deducted from the next monthly invoice.
Language Accessibility	Language Accessibility and Offerings	All callers shall have access to written and verbal communications in any of the five (5) DOH designated languages	Upon each of the first two instances of failure to meet the service level metric, the Contractor shall provide in writing an assessment and a corrective action plan. Upon the third instance of failure to meet the service level metric, damages of \$50,000 per month may be deducted from the next monthly invoice.
Conflict of Interest	Conflict of Interest Standards	All assessors are free of any conflicts from health plans or home care agencies affiliated with health plans	Upon each of the first two instances of failure to meet the service level metric, the Contractor shall provide in writing an assessment and a corrective action plan. Upon the third instance of failure to meet the service level metric, damages of \$50,000 per month may be deducted from the next monthly invoice.

Assessment Timeliness	Expedited Assessments Timeliness	85% of assessments on Expedited and Immediate Need cases are scheduled and performed within six (6) business calendar days	Upon each of the first two instances of failure to meet the service level metric, the Contractor shall provide in writing an assessment and a corrective action plan. Upon the third instance of failure to meet the service level metric, damages of \$50,000 per month may be deducted from the next monthly invoice. Immediately upon instances of failure where less than 75% of assessments on Expedited and Immediate Needs cases are scheduled and completed within twelve (12) business calendar days, damages of \$50,000 per month may be deducted from the next monthly invoice.
Noticing Timeliness	Mailing of Notices	95% of approval and denial notices are mailed within seven (7) business calendar days	Upon each of the first two instances of failure to meet the service level metric, the Contractor shall provide in writing an

			assessment and a corrective action plan. Upon the third instance of failure to meet the service level metric, damages of \$50,000 per month may be deducted from the next monthly invoice. Immediately upon instances of failure where less than 90% of approval and denial notices are mailed within seven (7) business calendar days, damages of \$50,000 per month may be deducted from the next monthly invoice.
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Section 6.1 Administrative Proposal

6.1.11 State Finance Law Consultant Disclosure Provisions

In accordance with New York State Finance Law Section 163(4)(g), State agencies must require all Contractors, including subcontractors, that provide consulting services for State purposes pursuant to a contract to submit an annual employment report for each such contract.

The successful bidder for procurements involving consultant services must complete a "State Consultant Services Form A, Contractor's Planned Employment from Contract Start Date through End of Contract Term" in order to be eligible for a contract.

The successful bidder must also agree to complete a "State Consultant Services Form B, Contractor's Annual Employment Report" for each state fiscal year included in the resulting contract. This report must be submitted annually to the Department, the Office of the State Comptroller, and Department of Civil Service.

Submit State Consultant Services Form A: Contractor's Planned Employment and Form B: Contractor's Annual Employment Report, available at: <http://www.osc.state.ny.us/agencies/forms/ac3271s.doc> and <http://www.osc.state.ny.us/agencies/forms/ac3272s.doc>.

~~6.1.12 State Finance Law Consultant Disclosure Provisions~~

~~In accordance with New York State Finance Law Section 163(4)(g), State agencies must require all Contractors, including subcontractors, that provide consulting services for State purposes pursuant to a contract to submit an annual employment report for each such contract.~~

~~The successful bidder for procurements involving consultant services must complete a "State Consultant Services Form A, Contractor's Planned Employment From Contract Start Date through End of Contract Term" in order to be eligible for a contract.~~

~~The successful bidder must also agree to complete a "State Consultant Services Form B, Contractor's Annual Employment Report" for each state fiscal year included in the resulting contract. This report must be submitted annually to the Department, the Office of the State Comptroller, and Department of Civil Service.~~

Submit State Consultant Services Form A: Contractor's Planned Employment and Form B: Contractor's Annual Employment Report, available at: <http://www.osc.state.ny.us/agencies/forms/ac3271s.doc> and

<http://www.osc.state.ny.us/agencies/forms/ac3272s.doc>.

Section 6.2.4 Technical Proposal Narrative

Section Crosswalk

Scope of Work	Corresponding Tech. Proposal Section # in Posted RFP	Amended Corresponding Tech. Proposal Section #
4.1 Tasks/Deliverables	6.2.4.1	<i>No change</i>
4.1.A General Contract Responsibilities	6.2.4.1.A	<i>No change</i>
4.1.B Call Center/Telephony	6.2.4.1.B	<i>No change</i>
4.1.C Community Health Assessments (CHA)	6.2.4.1.C	<i>No change</i>
4.1.D Independent Practitioner Orders	6.2.4.1.D	<i>No change</i>
4.1.E Immediate Needs/Expedited Workflow	6.2.4.1.E	<i>No change</i>
4.1.F Independent Review Panel	6.2.4.1.F	<i>No change</i>
4.1.G Special Populations	6.2.4.1.G	<i>No change</i>
4.2 QA	6.2.4.7	6.2.4.2
4.3 Systems Interfaces	6.2.4.8	6.2.4.3
4.4 Staffing	6.2.4.2	6.2.4.4
4.5 Project Planning	Not Included	6.2.4.5
4.6 Reporting	6.2.4.3	6.2.4.6

4.7 IT	6.2.4.4	6.2.4.7
4.8 Materials	Not Included	6.2.4.8
4.9 Facilities	Not Included	6.2.4.9
4.10 Security	6.2.4.5	6.2.4.10
4.11 Transition	6.2.4.6	6.2.4.11
4.12 Payment	N/A	N/A
4.13 Subcontracting	N/A	N/A
4.14 Insurance	N/A	N/A
4.15 Performance Standards	6.2.4.9	6.2.4.12
4.16 MWBE	N/A	N/A
4.17 EEO	N/A	N/A
4.18 SDVOB	N/A	N/A

6.2.4.1 Tasks/Deliverables

The bidder should describe in narrative format how their organization will meet the requirements that are described in [Section 4.1](#) of this RFP including:

A. General Contract Responsibilities

The bidder should describe their proposed approach for the following General Contract Responsibilities as listed in RFP [Section 4.1.A](#):

1. Following applicable New York State (State) and federal laws, regulations, and guidance issued by the Department;
2. Developing secure HIPAA compliant protocols, to be approved by the Department, for receiving medical documentation from Managed Care Organizations (Plans or MCOs) and Local Departments of Social Services (LDSS);

3. Performing all assessments and sending all written notices, either as required and/or at request of the Department, including but not limited to approval and/or denial notices, within the timeframes and other performance standards identified in Section 4.15 of the RFP;
4. Adhering to all protected health information (PHI) and HIPAA regulations when scheduling and completing CHAs and any other duties related to the tasks identified in this RFP;
5. Maintaining Department-approved policy and procedure documents and call scripting to guide staff in responding to callers and processing requests;
 - a. The Contractor must have a process for distributing new scripting to staff quickly in the event of circumstances such as changes to the program or system-generated issues.
6. Attending operational and strategic planning meetings with the Department upon request by the Department;
7. Leveraging and expand facets of current statewide independent assessor functions, including but not limited to, evaluation and assessment work flows and business processes; technological infrastructure including file transfer systems, telephony infrastructure including Computer Telephonic Integration, Automatic Call Distribution, Integrated Voice Response System and Outbound dialer, and quality monitoring system including call recording and reporting, as appropriate and applicable, to fulfill the contract activities required throughout this RFP;
8. Providing multilingual support in performing the Independent Assessor services. This includes:
 - a. Telephonic support for appointment scheduling, rescheduling, and consumer inquiries and complaints, as further detailed in section 4.1.B;
 - b. Conducting community health assessments and medical examinations utilizing translation services and/or bilingual nurses; and
 - c. Providing written (notices and scripts) and/or verbal communications, in languages as required by the Department, including but not limited to English, Spanish, Russian, Haitian-Creole, Chinese, Korean and Bengali in accordance with State policy and/or Department directive.

B. Call Center/Telephony System

1. The bidder should describe their proposed process for creating, staffing, and managing a telephony system and call center that must be available Monday to Friday from 8:30 a.m. to 8:00 p.m., and on Saturdays from 10:00 a.m. to 6:00 p.m., with the exception of state-observed holidays*, that can handle the projected volume of a minimum of one thousand (1,000) inbound telephone calls per day and a minimum of ten thousand (10,000) outbound calls per month including their ability to;
 - a. Receive calls from all existing telephone numbers that are directed to the NYIAP program;
 - b. Maintain or be able to quickly access a set of available toll-free numbers in the event that additional numbers are needed for special projects; and
 - c. Route calls to staff trained to support the caller in the event of a special project or if the call center has multiple phone numbers for consumers for different types of calls.

*The State-observed holidays are:

- a. New Year's Day
 - b. Martin Luther King Jr. Day
 - c. President's Day
 - d. Memorial Day
 - e. Juneteenth
 - f. Independence Day
 - g. Labor Day
 - h. Columbus Day
 - i. Veterans Day
 - j. Thanksgiving Day
 - k. Christmas Day
2. The bidder should describe their proposed process for creating a Customer Relationship Management System (CRMS) that will answer consumer questions, create, modify, and cancel appointments, and perform one (1) day reminder calls for existing appointments including how;
 - a. Contract staff will assist all callers in accordance with Department-established authentication and authorization procedures that define the level of information that may be provided to each type of caller; and
 - b. The CRMS will be able to store information about individuals who are authorized to speak on a consumer's behalf.
3. The bidder should describe their proposed process for reporting all outbound call campaigns and call center metrics including but not limited to:
 - a. The number of incoming calls per day and month;
 - b. The average wait times for inbound calls;

- c. The number of outgoing calls per day and month;
 - d. The disconnection rate of calls;
 - e. The average time for inbound and outbound calls; and
 - f. Other reporting information as requested by the Department.
4. The bidder should describe their proposed process for providing a secure workflow management system or other comparable system that allows complaints, referrals, and other requests to be documented by staff and forwarded to various bidder and Department units, where required, for processing; and
 5. The bidder should describe their proposed process for providing access to interpreter services for callers contacting the call center who request assistance in a language other than English, and staffing the call center with representatives who fluently speak English and other languages given the following:
 - a. Approximately ten percent (10%) of call center callers request assistance in a language other than English; and
 - b. Over fifty percent (50%) of the calls and appointments that are not in English are in Spanish.

C. Community Health Assessments (CHA)

1. The bidder should describe their proposed process for conducting CHAs to determine eligibility for PCS and/or CDPAS and Managed Long-Term Care (MLTC) plan enrollment options under appropriate eligibility criteria;
2. The bidder should describe their proposed process for scheduling and conducting all regularly required reassessments at intervals required the Department, State laws and regulations, for members enrolled in Medicaid Advantage Plus and MLTC Partial Capitation Plans; members enrolled in Mainstream Managed Care Plans, including an integrated mainstream product that is aligned with a Duals Special Needs Plan (DSNP), that require a CHA; and other Medicaid members receiving fee-for-service PCS and CDPAP; (collectively, referred to as "Routine Reassessments").
3. The bidder should describe their proposed process for scheduling and conducting any assessments other than Initial Assessments and regularly scheduled "Routine Reassessments", including:
 - a. "Significant Change in Status Reassessments"
 - b. "Return Assessments"
 - c. "Immediate Need Assessments;
 - d. "Other Assessments" and
 - e. "Expedited Assessments"
4. The bidder should describe their proposed process for adhering to the requirements listed in RFP [Section 4.1.C](#) while

performing all CHAs.

D. Independent Practitioner Panel Orders

1. The bidder should describe their proposed process for executing an independent practitioner medical examination, and if appropriate under applicable eligibility criteria for CDPAP/PCS, providing independent practitioner orders for CDPAP/PCS.
2. The bidder should describe their process for review of the CHA and other medical records and consultation with providers and others involved in the individual's care, as well as the process for examining individuals' medical conditions, need for assistance and services, self-direction in accordance with The Department regulations, and ability to be safely cared for at home.
3. The bidder should describe their ability to conduct exams in person in the consumer's residence, a caregiver's residence, medical facility, or through a telehealth modality.

E. Immediate Needs and Expedited Cases

1. The bidder should describe their proposed process for prioritizing and developing intake and scheduling procedures to perform and expedite the CHA and Independent Practitioner Orders.

F. Independent Review Panel (IRP) of High Needs Cases

1. The bidder should describe their proposed process for establishing an Independent Review Panel (IRP) to review high needs cases that are referred by Plans or LDSS.
2. The bidder should describe their proposed process to create and retain a panel of medical professionals or other clinicians and ensure individuals are properly licensed in accordance with applicable NYS laws and regulations
3. The bidder should describe their proposed process to perform evaluations in person in the consumer's residence, a caregiver's residence, medical facility, or through a telehealth modality
4. The bidder should describe their proposed process to participate in fair hearings
5. The bidder should describe their proposed process to establish clear protocols and procedures for plans and the LDSS to

schedule IRP reviews of high needs cases including making the IRP review recommendation form available to plans and the LDSS

G. Special Population and Special Projects

1. The bidder should describe their proposed process for conducting medical examinations for PACE enrollees meeting the ADL criteria; and
2. The bidder should describe their proposed process for developing a process to receive notification from the PACE plan to proceed with the scheduling of a medical examination for a PACE enrollee.

~~6.2.4.2. Staffing and Qualifications~~

~~A. The bidder should provide a staffing plan for completion of services that includes the following for each:~~

- ~~1. Title, responsibility, and type of staff available and physical location of bidder's staff to be engaged in performance of the audits;~~
- ~~2. How the bidder plans to recruit and train an adequate number of staff and their proposed procedure to ensure that staff is trained on an on-going basis;~~
- ~~3. Bidder's ability to provide qualified staff to carry out the projected workload during the contract and how they plan to provide staff to meet the scope of work over the entire contract period;~~
- ~~4. Bidder's ability to provide sufficient additional management and administrative support staff necessary to organize, prepare and carry out all administrative tasks associated with conducting the services;~~
- ~~5. Bidder's process for ensuring all Contractor and subcontractor staff are appropriately trained and how the training protocols provide for consistency among audit staff and the analysis of findings;~~
- ~~6. How the Bidder intends to maintain the staffing levels and personnel planned;~~
- ~~7. An organizational chart that delineates the titles of the staff responsible for fulfilling the tasks/deliverable detailed in RFP [Section 4.0](#) Scope of Work, their lines of communications, and demonstrates how the Bidder intends to organize staff and~~

management for this project;

~~B. The Staffing Plan should also include:~~

- ~~1. An organizational chart depicting each component of the project and all cross-cutting functional units of the organization, identifying lines of authority governing the interaction of staff as well as relationships with planned subcontractors;~~
- ~~2. An approach to and experience in staff forecasting needs and staffing adjustments based on changes in workload and call volume;~~
- ~~3. A description of the proposed staff's ability to provide services in languages other than English, including access to interpreter services and any tools that will be used;~~
- ~~4. A description of how the bidder plans to assign staff with the required experience in performing:
 - ~~a. CHAs (see [Section 4.2.C](#));~~
 - ~~b. Independent Practitioner's Orders (see [Section 4.2.D](#)); and~~
 - ~~c. Other Staffing Requirements (see [Section 4.4](#))~~~~
- ~~5. The bidder's approach to ensuring staff adhere to the proper procedures to protect privacy and the ability of the bidder to monitor and report any disclosure of PHI or PII.~~
- ~~6. A description of how the bidder's staffing plan for the CHA will allow for timely in person assessments whenever requested in all counties in New York State.~~

6.2.4.2 Proposed Approach — Quality Assurance Monitoring and Reporting (see [Section 4.2](#))

The bidder should describe in narrative format how their organization will meet the Quality Assurance Monitoring and Reporting requirements as outlined in RFP [Section 4.2](#). Specifically, the bidder should provide the following in their narrative:

1. Their proposed approach for implementing a quality management plan (QMP), within 60 days of contract approval, that defines how the bidder will ensure that all services are delivered in accordance with Department requirements;

2. How their QMP will include quality assurance (QA) standards for each major program component regarding the accuracy of information provided by the staff to consumers and the accuracy of work conducted by staff and how their QMP defines the procedures and standards by which the bidder will maintain and evaluate its performance; and
3. Their proposed approach to working with the Department to determine the specific nature and extent of all periodic and ad-hoc monitoring and reporting on QA activities, including reports to support the Department's evaluation of the bidder's achievement of contractual performance standards.

6.2.4.3. Proposed Approach—Reporting (see [Section 4.6](#))

The bidder should describe in narrative format how their organization will meet the Reporting requirements that are described in RFP [Section 4.6](#), including how the bidder will:

- a. Track and report on consumer complaints associated with the assessment experience described in RFP [Section 4.1](#);
- b. Track and report disputes related to the outcome of assessments conducted in RFP [Section 4.1](#) by consumers, plans and the LDSS;
- c. Review and analyze CHA assessment data for consistency, quality assurance and inter-rater reliability;
- d. Track and report the number of CHAs that included a factual inaccuracy as described in RFP [Section 4.1.C](#);
- e. Track and report assessments scheduled;
- f. Track and report the number of high needs cases reviewed by the independent review panel and the number of recommendations issued within five (5) business days of being assigned the case by the Contractor;
- g. Track and report the number of completed assessments for all minimum need cases and if those cases met/did not meet the ADL criteria; and
- h. Prepare (daily, weekly, and monthly) reports for delivery to MCOs and LDSS to facilitate the tracking of individual

~~appointments and progress.~~

~~The bidder is encouraged to provide examples of complex data outputs such as dashboards, reports, or summaries of large projects through submission of an Appendix to their Technical Proposal.~~

6.2.4.3 Proposed Approach — Systems Interfaces (see [Section 4.3](#))

The bidder should describe in narrative format how their organization will meet the Systems Interfaces requirements as outlined in RFP [Section 4.3](#). Specifically, the bidder should provide the following in their narrative:

1. Their proposed approach to providing and managing a Secure File Transfer Protocol (SFTP) solution accessible to the Department, health plans, and local districts for the exchange of files to support contract-related activities;
 - a. Their proposed approach for providing a weekly report on all data transfers occurring through the integration interfaces to the Department;
 - b. Their proposed approach to developing and implementing new notices and scripts as additional populations are incorporated into NYIAP, and their proposed approach to amend and expand scripts and notices, and to develop process and protocols to accommodate assessment activities described throughout the RFP;
 - c. Confirmation of their acceptance to, where required, provide a telehealth modality approved by the Department and in accordance with applicable laws and through a HIPAA secure platform;
 - d. Their proposed approach to develop an interface with the UAS-NY system and receive and process a monthly reassessment roster file; and
 - e. Their proposed approach to ensure any information technology (IT) and application services provided to the Department by the bidder comply with the security and privacy policies and controls outlined in this RFP and all other applicable New York State and deferral laws, regulations, policies, and standards for IT systems that transfer, process, or store Department data, including but not limited to the HIPAA and Omnibus Final Rule. This proposed approach should also verify compliance with security and privacy requirements by providing the Department with documentation and artifacts

that validate applicable standards and controls are in place.

~~6.2.4.4. Proposed Approach – Information Technology~~ (see [Section 4.7](#))

~~The bidder should describe in narrative format how their organization will comply with all NYS Information Technology policies and standards as described in RFP [Section 4.7](#).~~

6.2.4.4. Staffing and Qualifications (See [Section 4.4](#))

A. The bidder should provide a staffing plan for completion of services that includes the following for each:

1. Title, responsibility, and type of staff available and physical location of bidder's staff to be engaged in performance of the Independent Assessor Services as detailed throughout this RFP;
2. How the bidder plans to recruit and train an adequate number of staff and their proposed procedure to ensure that staff is trained on an on-going basis;
3. Bidder's ability to provide qualified staff to carry out the projected workload during the contract and how they plan to provide staff to meet the scope of work over the entire contract period;
4. Bidder's ability to provide sufficient additional management and administrative support staff necessary to organize, prepare and carry out all administrative tasks associated with conducting the services;
5. Bidder's process for ensuring all Contractor and subcontractor staff are appropriately trained and how the training protocols provide for consistency among audit staff and the analysis of findings;
6. How the Bidder intends to maintain the staffing levels and personnel planned;
7. An organizational chart that delineates the titles of the staff responsible for fulfilling the tasks/deliverable detailed in RFP [Section 4.0](#) Scope of Work, their lines of communications, and demonstrates how the Bidder intends to organize staff and management for this project;

B. The Staffing Plan should also include:

1. An organizational chart depicting each component of the project and all cross-cutting functional units of the organization, identifying lines of authority governing the interaction of staff as well as relationships with planned subcontractors;
2. An approach to and experience in staff forecasting needs and staffing adjustments based on changes in workload and call volume;
3. A description of the proposed staff's ability to provide services in languages other than English, including access to interpreter services and any tools that will be used;
4. A description of how the bidder plans to assign staff with the required experience in performing:
 - a. CHAs (see Section 4.4.C);
 - b. Independent Practitioner's Orders (see Section 4.4.D); and
 - c. Other Staffing Requirements (see Section 4.4)
5. The bidder's approach to ensuring staff adhere to the proper procedures to protect privacy and the ability of the bidder to monitor and report any disclosure of PHI or PII.
6. A description of how the bidder's staffing plan for the CHA will allow for timely in person assessments whenever requested in all counties in New York State.

~~6.2.4.5. Proposed Approach – Security~~ (see Section 4.10)

~~The bidder should describe in narrative format how their organization will comply with all applicable privacy and security policies and procedures as described in RFP Section 4.10.~~

6.2.4.5. Proposed Approach – Project Planning and Change Management (see Section 4.5)

- A. The bidder should describe in narrative format their proposed project plan for implementing all contract requirements described herein, including how this plan will be submitted to the Department as soon as is practicable, but no later than 120

(one hundred twenty) days after contract approval by OSC.

- B. The bidder should describe in narrative format their proposed methods to further improve call center productivity and performance must include efforts to identify and eliminate any inconsistencies throughout the call center. The proposed change management process must include a process for analyzing the impact of program/process changes across the project, preparing new or updated project plans to address the project requirements and developing proposed implementation timelines, with priorities set in conjunction with the Department. Should the changes require the Contractor to revise or draft new scripting, consumer notices, training materials, or policies and procedures, the proposed change management process should include procedures to ensure Department review of draft documents before implementation and procedures to ensure prepared documents incorporate all agreed upon changes and do not include the use of outdated materials, or old versions of notices or other materials that have been revised.

6.2.4.6 Proposed Approach — Transition (see [Section 4.11](#))

The bidder should describe in narrative format how their organization will meet the Transition requirements as outlined in RFP [Section 4.11](#). Specifically, the bidder should provide the following in their narrative:

- a. Their overall approach to the transition period. This approach should include how you will manage and maintain the appropriate number of staff to effectively meet all requirements as stated in this RFP during the transition, prioritize tasks and meet timeframes for completion, and any assumptions which affect your approach;
- b. A description of their data migration strategy and how they will support the migration of information from their system to any succeeding system(s);
- c. An outline of key tasks that will need to be completed along with the personnel (by functional title) who will be responsible and a proposed timeline for completion of the tasks;
- d. A description of their approach to knowledge transfer during the transition, including proposed timeframes; and
- e. A description of potential risks associated with the transfer and their approach to mitigating these risks.

6.2.4.6. Proposed Approach— Reporting (see [Section 4.6](#))

- A. The bidder should describe in narrative format how their organization will meet the Reporting requirements that are described

in RFP [Section 4.6](#), including how the bidder will:

1. Track and report on consumer complaints associated with the assessment experience described in RFP [Section 4.1](#);
2. Track and report disputes related to the outcome of assessments conducted in RFP [Section 4.1](#) by consumers, plans and the LDSS;
3. Review and analyze CHA assessment data for consistency, quality assurance and inter-rater reliability;
4. Track and report the number of CHAs that included a factual inaccuracy as described in RFP [Section 4.1.C](#);
5. Track and report assessments scheduled;
6. Track and report the number of high needs cases reviewed by the independent review panel and the number of recommendations issued within five (5) business days of being assigned the case by the Contractor;
7. Track and report the number of completed assessments for all minimum need cases and if those cases met/did not meet the ADL criteria; and
8. Prepare (daily, weekly, and monthly) reports for delivery to MCOs and LDSS to facilitate the tracking of individual appointments and progress.

The bidder is encouraged to provide examples of complex data outputs such as dashboards, reports, or summaries of large projects through submission of an Appendix to their Technical Proposal.

~~6.2.4.7 Proposed Approach — Quality Assurance Monitoring and Reporting~~ (see [Section 4.2](#))

~~The bidder should describe in narrative format how their organization will meet the Quality Assurance Monitoring and Reporting requirements as outlined in RFP [Section 4.2](#). Specifically, the bidder should provide the following in their narrative:~~

- ~~a. Their proposed approach for implementing a quality management plan (QMP), within 60 days of contract approval, that defines how the bidder will ensure that all services are delivered in accordance with Department requirements;~~
- ~~b. How their QMP will include quality assurance (QA) standards for each major program component regarding the accuracy of information provided by the staff to consumers and the accuracy of work conducted by staff;~~

- c. ~~How their QMP defines the procedures and standards by which the bidder will maintain and evaluate its performance; and~~
- d. ~~Their proposed approach to working with the Department to determine the specific nature and extent of all periodic and ad-hoc monitoring and reporting on QA activities, including reports to support the Department's evaluation of the bidder's achievement of contractual performance standards.~~

6.2.4.7. Proposed Approach – Information Technology (see [Section 4.7](#))

The bidder should describe in narrative format how their organization will comply with all NYS Information Technology policies and standards as described in RFP [Section 4.7](#).

6.2.4.8 Proposed Approach — Systems Interfaces (see [Section 4.3](#))

The bidder should describe in narrative format how their organization will meet the Systems Interfaces requirements as outlined in RFP [Section 4.3](#). Specifically, the bidder should provide the following in their narrative:

- a. ~~Their proposed approach to providing and managing a Secure File Transfer Protocol (SFTP) solution accessible to the Department, health plans, and local districts for the exchange of files to support contract-related activities;~~
- b. ~~Their proposed approach for providing a weekly report on all data transfers occurring through the integration interfaces to the Department;~~
- c. ~~Their proposed approach to amend and expand scripts and notices, and to develop process and protocols to accommodate assessment activities described throughout RFP Section 4.1;~~
- d. ~~Confirmation of their acceptance to, where required, provide a telehealth modality approved by the Department and in accordance with applicable laws and through a HIPAA secure platform;~~
- e. ~~Their proposed approach to develop an interface with the UAS-NY system and receive and process a monthly reassessment roster file; and~~

- ~~f. Their proposed approach to ensure any information technology (IT) and application services provided to the Department by the bidder comply with the security and privacy policies and controls outlined in this RFP and all other applicable New York State and deferral laws, regulations, policies, and standards for IT systems that transfer, process, or store Department data, including but not limited to the HIPAA and Omnibus Final Rule. This proposed approach should also verify compliance with security and privacy requirements by providing the Department with documentation and artifacts that validate applicable standards and controls are in place.~~

6.2.4.8. Proposed Approach – Materials (see [Section 4.8](#))

- A. The bidder should describe in narrative format their proposed approach for logging consumer requests for materials in alternative formats, including how, upon the Department's request, the bidder will:
- Translate written materials such as notices, applications, and website content into the top 12 most common non-English languages spoken in [New York State Language Access Law](#);
 - Produce materials in alternate formats, such as Braille, audio recording, and other ADA compliant formats.
- B. The bidder should describe in narrative format their proposed approach to create and maintain a consumer friendly website for NYIAP, available immediately at the end of the transition period. This website must provide information about NYIAP, NYIAP services, managed long term care, and how to schedule an assessment. The website must include the phone number of the call center and its hours of operation and must be available in the languages required by the Department.

~~6.2.4.9 Proposed Approach – Performance Standards~~ (see [Section 4.15](#))

~~The bidder should describe in narrative format how their organization will meet designated performance standards established to provide timely and high quality assessments to consumers.~~

6.2.4.9 Proposed Approach – Facilities and Equipment (see [Section 4.9](#))

The bidder should describe in narrative format how their organization will provide or procure a physical office space location in New York for work performed under this contract.

6.2.4.10. Proposed Approach – Security (see [Section 4.10](#))

The bidder should describe in narrative format how their organization will comply with all applicable privacy and security policies and procedures as described in RFP [Section 4.10](#).

6.2.4.11 Proposed Approach — Transition (see [Section 4.11](#))

- A. The bidder should describe in narrative format their proposed Implementation Plan demonstrating its approach to achieving operational readiness. For non-incumbent Bidders, the plan shall describe the proposed Transition-In approach. For incumbent Bidders, the plan shall describe the Bidder's experience developing and executing transition-in plans for comparable engagements, together with its approach to implementing new contract requirements and ensuring continuity of operations.
- B. The bidder should describe in narrative format how their organization will meet the Transition requirements as outlined in RFP [Section 4.11](#). Specifically, the bidder should provide the following in their narrative:
 - a. Their overall approach to the transition period. This approach should include how you will manage and maintain the appropriate number of staff to effectively meet all requirements as stated in this RFP during the transition, prioritize tasks and meet timeframes for completion, and any assumptions which affect your approach;
 - b. A description of their data migration strategy and how they will support the migration of information from their system to any succeeding system(s);
 - c. An outline of key tasks that will need to be completed along with the personnel (by functional title) who will be responsible and a proposed timeline for completion of the tasks;
 - d. A description of their approach to knowledge transfer during the transition, including proposed timeframes; and
 - e. A description of potential risks associated with the transfer and their approach to mitigating these risks.

6.2.4.12 Proposed Approach – Performance Standards (see [Section 4.15](#))

The bidder should describe in narrative format how their organization will meet designated performance standards established to provide timely and high-quality assessments to consumers.

Section 7.0 Proposal Submission, Sub-bullet 1

1. Submit three (3) separate, searchable, and open and permission password protected, PDF proposals in three (3) separate emails to: ~~[insert BML]~~ OHIPcontracts@health.ny.gov. Use this naming convention for the subject line of each email: <Type of Proposal Submission, Bidder Name, RFP #C041977>.

Attachment A

RFP C041977 – New York State Independent Assessor Program Services		
FOR THE ADMINISTRATIVE PROPOSAL		
RFP §	SUBMISSION	INCLUDED
§ 6.1.1	Attachment 1 - Bidder's Disclosure of Prior Non-Responsibility Determinations	☐
§ 6.1.2	Freedom of Information Law – Proposal Redactions (If Applicable)	☐
§ 6.1.3	Attachment 3 - Vendor Responsibility Attestation	☐
§ 6.1.4	Attachment 4 - Vendor Assurance of No Conflict of Interest or Detrimental Effect	☐
§ 6.1.5	M/WBE Participation Requirements:	☐
	Attachment 5 - Form 1	☐
	Attachment 5 - Form 2 (If Applicable)	☐
	Attachment 5 - Form 4	☐
	Attachment 5 - Form 5 (If Applicable)	☐
§ 6.1.6	Attachment 6 - Encouraging Use of New York Businesses	☐
§ 6.1.7	Attachment 7 - Bidder's Certified Statements	☐
§ 6.1.8	DOH Agreement (Standard Contract)	☐

§ 6.1.9 § 6.1.8	Attachment 10 - Diversity Practices Questionnaire	☐
§ 6.1.10 § 6.1.9	Attachment 11 - EO 177 Prohibiting Contracts with Entities that Support Discrimination	☐
§ 6.1.11 § 6.1.10	Attachment 12 – EO 16 Contracting with Businesses Conducting Business in Russia	☐
§ 6.1.12 § 6.1.11	State Finance Law Consultant Disclosure	☐
§ 6.1.13	Sales and Compensating Use Tax Certification	☐
§ 6.1.14	Attachment 14 - Gender-Based Violence and the Workplace Certification	☐
§ 6.1.8 § 8.6	Attachment 9- References	
FOR THE TECHNICAL PROPOSAL		
RFP §	SUBMISSION	INCLUDED
§ 6.2.1	Title Page	☐
§ 6.2.2	Table of Contents	☐
§ 6.2.3	Documentation of Bidder's Eligibility (Requirement)	☐
§ 6.2.4	Technical Proposal Narrative	☐
FOR THE COST PROPOSAL REQUIREMENT		

RFP §	REQUIREMENT	INCLUDED
§ 6.3	Attachment B- Cost Proposal	☐