



## ATTACHMENT 4

### MANDATORY REQUIREMENT CERTIFICATION

#### CERTIFICATIONS:

- \_\_\_\_\_1. Bidder completed the attached Appendix T, Vendor Security Survey. Appendix T, and any substantiating documents, even if included or referenced elsewhere in a bidder's response, must be submitted as one file and labeled separately in the electronic copy.
- \_\_\_\_\_2. Bidder is a qualified Licensed TPA to represent insurance carriers under the NYS WCL.
- \_\_\_\_\_3. Bidder, for Categories A, B & C, possesses a minimum of five (5) years of experience with the administration of workers' compensation programs. Bidder is currently administering workers' compensation claims in the State of New York.
- \_\_\_\_\_4. If bidding on Category D, Bidder is currently administering DB & PFL claims in the State of New York and has a minimum of five (5) years of experience in the administration of DB and at least one (1) year of PFL claims.
- \_\_\_\_\_5. All claim adjusters that will be administering claims for NYSIF has a NYS DFS issued independent adjuster license.
- \_\_\_\_\_6. Bidder, for Categories A, B & C, utilizes the services of a Pharmacy Benefit Manager ("PBM"), a Diagnostic Testing Network ("DTN") and a Center for Medicare & Medicaid Services Medicare Set Aside Vendor ("CMS MSA"). Note: the PBMs, DTNs, and CMS MSAs used by the Bidders must be in compliance with the NYS Workers Compensation Board.
- \_\_\_\_\_7. Bidder complies with federal and state criteria set forth for the Centers for Medicare and Medicaid Services/Medicare and Medicaid & SCHIP Extension Act of 2007 reporting, NCCI reporting and IAIABC/Electronic Data Interchange (EDI) reporting.
- \_\_\_\_\_8. Bidder is willing to enter into a non-disclosure agreement (hereinafter "NDA") with NYSIF.
- \_\_\_\_\_9. Substitutions of key staff must be approved by NYSIF. Bidder may not delegate any responsibility performed pursuant to any contract resulting from this RFP to anyone not identified in its proposal, without prior written approval from NYSIF.
- \_\_\_\_\_10. Bidder has designated a specific individual to serve as the key liaison with NYSIF in contract matters.

- \_\_\_\_\_ 11. Bidder certifies that it has performed a conflict of interest check and concluded that there exists no potential or actual conflict with any current or reasonably foreseeable future client. If any conflict of interest arises during the performance of work herein, the Bidder will notify NYSIF immediately and follow such steps as directed by NYSIF.
- \_\_\_\_\_ 12. Bidder has disclosed to NYSIF if the licenses of your organization or any of its affiliates have ever been revoked by the state of New York or by any other state.
- \_\_\_\_\_ 13. Bidder has disclosed if any of the owners or principal officers of your organization have ever been convicted of a felony, a securities law violation, or has been subject to any regulatory or disciplinary action.
- \_\_\_\_\_ 14. Bidder has disclosed if your organization, its affiliates, subsidiaries, or its parent company ever filed for bankruptcy law protection.
- \_\_\_\_\_ 15. Bidder has disclosed if your organization, its parent, affiliate, or any subsidiary companies ever been subject to any regulatory action by the federal, state, or securities authorities, including insurance departments.
- \_\_\_\_\_ 16. Bidder understands and acknowledges that NYSIF makes no representation about the volume of work assigned to any Bidder and that Assignment of work is within NYSIF's discretion.
- \_\_\_\_\_ 17. Bidder understands and acknowledges that upon NYSIF's request, a Bidder must immediately remove an employee from performing work on behalf of NYSIF.
- \_\_\_\_\_ 18. Bidder understands and acknowledges that they may be disqualified if NYSIF determines Bidder lacks sufficient technical, operational or financial stability to provide the services required under this RFP.

**Claims management system (CMS) Certifications**

Bidder operates a CMS that:

- \_\_\_\_\_1. is in full compliance with the New York State Workers' Compensation EDI Claims Reporting requirements.
- \_\_\_\_\_2. generates management/claims reports and loss runs as shall be reasonably required by NYSIF and their policyholders.
- \_\_\_\_\_3. can be successfully implemented, within 90 days of award letter, data string layouts for the transfer of information, as required in Attachment 5 & Attachment 6 in compliance with service letter agreement that will be provided upon award.
- \_\_\_\_\_4. allows client user complete remote access.
- \_\_\_\_\_5. allows multiple users from multiple locations to view files simultaneously.
- \_\_\_\_\_6. allows all imaged documents to be viewed by the client user.
- \_\_\_\_\_7. allows a client user viewing of First Report of Injury/Subsequent Reports of Injury.
- \_\_\_\_\_8. allows a client user viewing of all history of claims reporting in compliance with WCB statutory reporting requirements.
- \_\_\_\_\_9. allows a client user viewing of reserving history and rationale.
- \_\_\_\_\_10. allows a client user to set up an alert, generate reports and segregate claims by type, such as incident, indemnity, medical only, etc.
- \_\_\_\_\_11. allows reports to be exported to Excel or PDF or .csv.
- \_\_\_\_\_12. can be tailored to include specific data fields/ad hoc reports.
- \_\_\_\_\_13. allows a client user access to the complete notes regarding each claim.

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Typed/Printed Name**

\_\_\_\_\_  
**Company Name**

\_\_\_\_\_  
**Title**