## Appendix 6 - Business Profile & Experience

**Instructions:** All Proposers must respond to the following questions by restating the identifying number of each question (for example, 6.1), restating each question or statement in a way that distinguishes the question from the answer (i.e. bold/italics), and providing a detailed written response.

Do not combine questions or refer to some other answer without answering the question in that spot in its entirety.

The Proposal, at a minimum, must address the items listed below, and be organized in the order indicated below.

Include all documents requested in Appendix 6 *immediately after* your responses to Appendix 6 and label the document provided with the section number it replies to. (For example, “Appendix 6.1.a. Organizational Chart”).

The Proposer must provide sufficient detail for the evaluation committee and the Department to understand how the Proposer will comply with each requirement. If the Proposer believes that the Proposer’s qualifications go beyond the minimum requirements or add value, the Proposer should indicate those capabilities in the appropriate section of the Proposal.

**Fees related to any Services should NOT be noted in this section but must be included in the Cost Proposal only.**

**6.1**

Describe fully your organization’s corporate or other business entity structure.

* 1. Attach an **organizational chart** showing principal officers, directors, general partners, members, managers and staff members who will be associated with providing services related to this RFP. Include controlling stockholders, officers, directors, general partners, members, managers, etc.
  2. The **state of incorporation** or formation and year your organization was established.
  3. A general description, including **size**, number of **employees**, number of **offices and locations**, primary business, other business or services, type of organization (franchise, corporation, partnership, etc.), and other descriptive material.
  4. Is your organization a **subsidiary or affiliate** of another organization? If yes, name the affiliate or **parent organization**. Describe Proposer’s strategic alliances and partnerships. Is Proposer owned by or affiliated with any carriers or brokerage agencies? Provide full disclosure of any direct or indirect ownership or control by any administrative service agency and/or financial institution and describe the relationship fully. Indicate all entities that have an ownership stake in your organization (name and percentage).
  5. Describe any **acquisitions and/or mergers** or other material developments (e.g. changes in ownership, key personnel, etc.) pending now or that occurred in the past five (5) years with your organization. Disclose any potential mergers or acquisitions that have been recently discussed by senior officials and could potentially take place within three (3) years after the Contract starts.

Describe your firm’s **strengths** regarding client service; what **distinguishes** your firm from your competitors?

**6.3**

Submit information regarding your organization’s past performance. Include specific detailed information regarding the following:

1. All situations where your organization has been **investigated, cited, or threatened with a citation or disciplinary action**, by any state or federal regulatory agency within the last five (5) calendar years. This includes the business as-a-whole, but also any individuals associated with it. Provide a detailed description of any related litigation. The response must include all such situations including the date such action was initiated and how the matter was resolved.

1. All situations where your organization has **defaulted on a contract**.
2. All **litigation** involving your organization. Has your organization been subject to any litigation alleging breach of contract, fraud, breach of fiduciary duty, or other willful or negligent misconduct? Provide details of any judgment, criminal conviction, investigation or litigation pending against the firm. Include dates and outcomes. ETF reserves the right to disqualify any proposer if their response will impede their ability to work for ETF.
3. All situations where a **contract** has been **canceled** for any reason during the past five years, or where a contract was **not renewed** **due to alleged fault** on the part of your organization. Describe all such incidents, including why the contract was terminated, and the other party’s name, address, and telephone number. ETF will evaluate the facts and may, at its sole discretion, reject the proposal if the facts indicate that completion of a contract resulting from the RFP may be jeopardized by selection of the proposer. If no such terminations or cancellations have been experienced in the past five years, the proposer must so state.

**6.4**

It is the expectation that there will be a **Lead Account Manager** in charge of all programs assigned at all times, in addition to other personnel. Identify the Lead Account Manager available for these programs. Identify a second account manager who is available for working with the Lead Account Manager. Provide at least two (2) specific examples for each of the criteria below for each Account Manager:

1. Excellent customer service and client relationship management skills.
2. Ability to solve problems.
3. Ability to understand and effectively resolve financial matters.
4. Attention to detail and follow up on any unresolved issues.
5. Meets deadlines.
6. Good communication and transitioning (temporarily or permanently) between Lead Account Manager and anyone who provides backup support.

**6.5**

Information regarding the professional and experience qualifications of all **administrative staff** who will perform work for this specific contract besides the Lead Account Manager and backup. This includes anyone who will be involved with processing worker payroll, billing ETF, or handling payments from ETF.

**6.6**

Information regarding **how the staffing company selects personnel** to place at ETF. Specifically, describe the company policy to verify the competency of candidates being presented to work at ETF. Provide an example of the following assessment tools, if the proposer will use them during the process of helping ETF select a candidate to fill a position.

* + - * 1. Resume
        2. Reference check reports the proposer writes
        3. Reference check contact information (so that ETF can contact references for a candidate at ETF’s discretion)
        4. Technical skills evaluation reports
        5. Recruiters’ reports on the candidate
        6. Lead Account Manager’s candidate evaluation
        7. Personality or behavioral style assessments
        8. Other useful assessment tools.

**6.7**

A description of how any **turnover** on contractor’s personnel working at ETF would be handled.

**6.8**

Provide a narrative describing the relationship between staffing the positions in Appendix 7 and the **firm's other contracts**, and how the other contracts will not limit the ability to perform this contract. Note any other contracts with another government agency.

**6.9**

Describe your organization’s **quality control** procedures for keeping complete and accurate records, documenting business processes, checking for errors, and reviewing processes for effectiveness and opportunities to improve. Describe how your quality control processes would be applied to each stage of this contract including recruiting, on-boarding, monitoring, and removing workers.

**6.10**

**List all the Job Categories** you intend to cover. Full coverage is:

* Accountant
* **Benefit Specialist**
* **Long-Term Assistant**
* **Long-Term Professional**
* Other Positions as Needed

Keep in mind the following:

1. You are not required to cover Other Positions as Needed, but this is preferred and is what gives ETF strategic flexibility.
2. You must cover at least one Job Category that is not Other Positions as Needed to be considered for an award. For example, you must cover Lot 1 - Accountant or the **entire Lot 2 group** of these Job Categories: Benefit Specialist, Long-Term Assistant, and Long-Term Professional. **Lot 2 is in blue above.**
3. Covering a Job Category means you are covering every Position in that Job Category as listed on Appendix 7. Proposers must cover the *entire* Job Category if agreeing to cover any Position within it.
4. For every Job Category you list, you must provide a price on the Cost Proposal but no prices here. Affirm your Cost Proposal contains the same coverage as you list here.

**6.11**

Affirm your understanding of the **flexibility with Positions** you will need to provide, even if you don’t cover Other Positions as Needed. See also 1.1 Introduction & 4.21 Maximum Bill Rate – Ceiling.

Whether or not you choose to cover Other Positions as Needed, you will offer flexibility on the Job Categories you *are* covering.

Some requirements for a Position will be pre-defined via Appendix 7; others will not. Each Position Request may call for a sub-set of the Position’s requirements, and/or ETF may include *new* requirements that are not currently listed under that Position. Proposers must be able to accommodate all of these possibilities and respond to any Position Request with bill rates at or below the Maximum Bill Rate provided on the Cost Proposal for the Job Category.

Whether or not proposers are going to cover Other Positions as Needed, proposers must confirm they will allow Position Requests to call for requirements that are not listed in the Position currently – for *all* Job Categories proposers *are* covering.

There shall be no special or additional charges or surcharges applied to the Maximum Bill Rate. All hours, including over-time, shall be billed at one rate that is at or below the Maximum Bill Rate provided on the Cost Proposal for the Job Category.

Even if the Proposer covers and provides a price for Other Positions as Needed, ETF reserves the right to add new skills and duties to *any* Position *and* Position Request and stay within that Job Category’s Maximum Bill Rate *rather* than use the Other Positions as Needed Maximum Bill Rate.

**6.12**

Please provide the following items related to **data privacy** in your organization.

A list of the titles of the organization’s privacy policies.

A copy of the organization’s Breach Response Plan.

A copy of the organization’s Notice of Privacy Practices, paper and electronic.

Confirm that the organization’s workforce completes annual privacy training.

The name, contact information, and job description of the organization’s privacy officer.

A copy of your organization’s Code of Conduct, including but not limited to requirements for ethical and compliant business practices, and fraud, waste and abuse prevention activities.

Describe how your organization will protect ETF and ETF member confidentiality and comply with HIPAA data security and privacy requirements. Note that ETF takes the security and privacy of member data very seriously. Should a contractor fail to properly protect confidential information, any cost ETF pays to mitigate the data breach will be subtracted from the total contract price, in addition to other possible legal action. The contractor is responsible for taking timely action and must absorb the cost of mitigating the damages to affected members and ETF. The selected proposer(s) will be required to agree to ETF’s Department Terms and Conditions and have workers sign Appendix 11.