

STATE OF DELAWARE
Department of Health & Social Services
Division of Substance Abuse & Mental Health

**REQUEST FOR PROPOSALS FOR PROFESSIONAL SERVICES
INTENSIVE CASE MANAGEMENT SERVICES
HSS-15-041
ISSUED BY DIVISION OF SUBSTANCE ABUSE & MENTAL HEALTH**

I. Overview

The State of Delaware Department of Health and Social Services Division of Substance Abuse & Mental Health seeks professional services to provide INTENSIVE CASE MANAGEMENT (ICM) SERVICES. This request for proposals (“RFP”) is issued pursuant to 29 *Del. C.* §§ [6981](#) and [6982](#).

The proposed schedule of events subject to the RFP is outlined below:

Public Notice	Date: 08/14/2015
Pre-bid Meeting	Date: 08/31/2015 at 11:00 AM (Local Time)
Deadline for Questions	Date: 09/08/2015
Response to Questions Posted by:	Date: 09/15/2015
Deadline for Receipt of Proposals	Date: 10/16/2015 at 11:00 AM (Local Time)
Estimated Notification of Award	Date: 11/15/2015

Each proposal must be accompanied by a transmittal letter which briefly summarizes the proposing firm’s interest in providing the required professional services. The transmittal letter must also clearly state and justify any exceptions to the requirements of the RFP which the applicant may have taken in presenting the proposal. (Applicant exceptions must also be recorded on Attachment 3). Furthermore, the transmittal letter must attest to the fact that no activity related to this proposal contract will take place outside of the United States. The State of Delaware reserves the right to deny any and all exceptions taken to the RFP requirements.

MANDATORY PREBID MEETING

A mandatory pre-bid meeting has not been established for this Request for Proposal.

A pre-bid meeting will be held on August 31, 2015 at 11:00 AM at Herman Holloway Campus, 1901 N. DuPont Highway, 23 Mitchell Lane, Springer Building, Gymnasium. While attendance is not mandatory, entities who wish to bid on this proposal are strongly encouraged to take advantage of this opportunity for face to face discussion with state personnel responsible for managing the contract(s) resulting from this solicitation. To better ensure meeting space will accommodate those desiring to attend, it is requested that bidders limit representation to 2 individuals. Bidders should RSVP by calling (302) 255-9290.

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II. Background/ Program Description

Delaware Health and Social Services, Division of Substance Abuse and Mental Health (DSAMH), is seeking proposals from qualified providers to provide INTENSIVE CASE MANAGEMENT SERVICES for adults throughout the State.

DSAMH subscribes to the beliefs, substantiated by research, that:

- Alcoholism, drug dependence, mental illnesses and compulsive gambling are treatable medical conditions that individuals can and do recover from if provided access to care and evidence-based practice interventions. DE also sees these illnesses as primarily physiological chronic disease states that require both timely interventions as well as the understanding that these conditions are characterized by relapse that require “more services immediately” and not consequences or less services.
- Recovery from mental illness, compulsive gambling, and substance use conditions, is our overall goal and must be an expectation of DSAMH state and provider services.
- All individuals in need of any type of health services are unique.
- Clients, and their families, reflect the diversity of our communities, including differences in ethnicity, socioeconomic status, education, religion, geographic location, age, sexual orientation, and disability.
- Treatment services and supports for Substance Use Disorders (SUD) and Mental Health (MH) conditions benefit the individual client and his or her family, but also public health, public safety, and the public purse.
- Successful treatment begins with accessible services and good customer service that reflects staff’s personalized engagement in assisting the client and any significant others.
- Treatment should be timely, affordable, and of sufficient intensity and duration to be effective. It should be provided in a welcoming, safe, and accessible environment.
- At time, some individuals suffering from alcoholism, drug dependence, mental illness and compulsive gambling may engage in improper or illegal behavior. Although such behavior may result from, or may be a symptom of, the underlying illness (es), the illness does not excuse this behavior. However, it is essential to recognize that the illness itself is a medical condition and a public health problem for which effective treatments and services are available. As a general principle, infractions of rules or policies should be handled individually.

DSAMH will require providers of PROMISE services to subscribe to these basic tenets.

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In addition, the State of Delaware and the United States Department of Justice entered into a settlement agreement, in 2011, regarding full compliance with Title II of the Americans with Disabilities Act ("the ADA"), 42 U.S.C. § 12101 and Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. § 794. In essence, this settlement agreement directs the provision of services and supports to all individuals with disabilities that reflect those most appropriate to that individual's needs and that prevents inpatient hospitalization or institutionalization whenever possible.

With the goal of further developing DSAMH's community-based behavioral health service system to better serve individuals with severe and persistent mental illness (SPMI) and significant substance use disorders (SUDs), Delaware has used options available through its Medicaid program to create the PROMISE program. PROMISE offers an array of home and community-based services (HCBS) that are person-centered, recovery-oriented, and aimed at supporting the beneficiary in the community. PROMISE is not a one size fits all program and is individualized for each beneficiary's needs and goals. PROMISE beneficiaries have the key voice, with support as needed, in directing planning and service delivery, and indicating who they want to be involved. Recovery-oriented services are delivered pursuant to a written person-centered plan of care, called a Recovery Plan that is developed through a process led by the beneficiary. PROMISE services can be offered in community-based settings (e.g., beneficiaries' own homes), as well as residential, employment and day settings to help beneficiaries live in the most integrated setting possible. All residential services must have home-like characteristics and may not be institutional in nature. For beneficiaries receiving other Medicaid services, PROMISE provides strong links between systems to ensure a comprehensive and coordinated approach to services.

The key aspects of the PROMISE program are:

- Provide behavioral health (BH) supports in community-based settings (e.g., beneficiaries' own homes or in home-like residential settings).
- Assist beneficiaries with BH needs who have a desire to work in a competitive work environment to obtain employment.
- Provide individually tailored services for beneficiaries with BH needs.
- Offer an array of community services, such as Assertive Community Treatment (ACT), Intensive Case Management (ICM), individual supported employment, non-medical transportation, care management, peer supports, personal care, residential supports, and other services to help beneficiaries live independently and in the most integrated setting possible.
- Stretch limited State dollars by partnering with the federal government, increasing individual independence, and strengthening the State's workforce.
- Provide a strong foundation for Delaware's ongoing efforts to ensure that all beneficiaries with disabilities live in the least restrictive environment possible.
- Improve clinical and recovery outcomes for beneficiaries with BH needs.

The goal of this request for proposal is to further develop DSAMH's community based behavioral health service system in order to better serve individuals in the community through PROMISE.

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Target Population

The selected provider must operate a program that provides access to any adult individual seeking behavioral health services who is enrolled in the PROMISE program and has the INTENSIVE CASE MANAGEMENT service awarded under this contract approved on his or her Recovery Plan, when the provider is named on the Recovery Plan. The nature, intensity and length of the services provided are predicated on the needs of the individual and will be outlined on the Recovery Plan. The goal is to provide very accessible services, based on needs rather than on insurance status or the initial diagnosis of the individual. The program will be monitored as to how well it accommodates all individuals in the PROMISE program.

Providers are expected to assist the individual in accessing the services required if the provider is the named provider on the Recovery Plan.

Services will be provided to meet the diversity of individuals with mental health and addictive disorders within the community served. This will be evidenced by the health and satisfaction of the PROMISE individuals served.

PROMISE Care Managers will determine eligibility for the program and work with beneficiaries to identify the need for this service. Providers will be placed on a provider list and beneficiaries will be offered a choice from among available providers accepting new clients for this service.

Eligibility criteria used by PROMISE Care Managers includes: Adults (ages 18 and older) meeting the targeting and functional needs criteria for SPMI and SUD will be eligible under the PROMISE program if a PROMISE service is needed to maintain the individual in the community. Demonstration enrollees applying for services must be screened by DSAMH using a standardized clinical and functional assessment developed for Delaware and based on national standards. The Delaware-specific American Society for Addiction Medicine (ASAM) tool integrates the assessment and evaluation of both mental health and SUD conditions into a single document with an algorithm that can be used to determine functional eligibility and is designed to ensure appropriate treatment of individuals based on their medical and functional needs.

To be eligible under the PROMISE HCBS program, individuals must meet one of the targeting criteria and the corresponding functional criteria under the Delaware-specific tool. The following are acceptable combinations for individuals eligible under the demonstration:

- Target criteria A and functional criteria A or C.
- Target criteria B and functional criteria B or C.

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Targeting Criteria

Target Criteria A: An individual must have formally received one of the included Diagnostic and Statistical Manual of Mental Disorders (DSM) diagnoses that constitute the targeted portion of the State’s definition of SPMI, or a diagnosis of post-traumatic stress disorder (PTSD) by a qualified clinician. Diagnoses include the following:

DSAMH Current SPMI Diagnosis Codes (updated 7/1/2012)			
DSM IV Code	DSM 5 Code	Disorder	DSM IV Category
295.10	295.90	Schizophrenia, Disorganized Type <i>(In DSM 5 Disorganized subtype no longer used)</i>	Psychotic Disorders ¹
295.20	295.90	Schizophrenia, Catatonic Type <i>(In DSM 5 Catatonic subtype no longer used)</i>	Psychotic Disorders
295.30	295.90	Schizophrenia, Paranoid Type <i>(In DSM 5 Paranoid subtype no longer used)</i>	Psychotic Disorders
295.40	295.40	Schizophreniform Disorder	Psychotic Disorders
295.60	295.90	Schizophrenia, Residual Type <i>(In DSM 5 Residual subtype no longer used)</i>	Psychotic Disorders
295.70	295.70	Schizoaffective Disorder	Psychotic Disorders
295.90	295.90	Schizophrenia, Undifferentiated Type <i>(In DSM 5 Undifferentiated subtype no longer used)</i>	Psychotic Disorders
296.30	296.30	Major Depressive Disorder, Recurrent, Unspecified	Mood Disorders ²
296.32	296.32	Major Depressive Disorder, Recurrent, Moderate	Mood Disorders
296.33	296.33	Major Depressive Disorder, Recurrent, Severe Without Psychotic Features <i>(In DSM 5, “Without Psychotic Features” is not a further specifier)</i>	Mood Disorders
296.34	296.34	Major Depressive Disorder, Recurrent, Severe With Psychotic Features <i>(In DSM 5, “With psychotic features” is its own specifier, and, when present, is used instead of Mild, Moderate, or Severe, not in addition to Severe)</i> ³	Mood Disorders
296.40	296.40	Bipolar I Disorder, Most Recent Episode Hypomanic ⁴	Mood Disorders
296.42	296.42	Bipolar I Disorder, Most Recent Episode Manic, Moderate	Mood Disorders

¹ In DSM 5, the associated diagnostic category is labeled, “Schizophrenia Spectrum and Other Psychotic Disorders”.

² In DSM 5, mood disorders are broken out into “Depressive Disorders” and “Bipolar and Related Disorders”.

³ The DSM 5 code for Major Depressive Disorder, Recurrent, with Psychotic Features is 296.34.

⁴ In DSM 5 code 296.40 is also used for “Bipolar I Disorder, Current or Most Recent Episode Manic, Unspecified”.

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DSAMH Current SPMI Diagnosis Codes (updated 7/1/2012)			
DSM IV Code	DSM 5 Code	Disorder	DSM IV Category
296.43	296.43	Bipolar I Disorder, Most Recent Episode Manic, Severe Without Psychotic Features (<i>In DSM 5, "Without Psychotic Features" is not a further specifier</i>)	Mood Disorders
296.44	296.44	Bipolar I Disorder, Most Recent Episode Manic, Severe With Psychotic Features (<i>In DSM 5, "With psychotic features" is its own specifier, and, when present, is used instead of Mild, Moderate, or Severe, not in addition to Severe</i>) ⁵	Mood Disorders
296.50	296.50	Bipolar I Disorder, Most Recent Episode Depressed, Unspecified	Mood Disorders
296.52	296.52	Bipolar I Disorder, Most Recent Episode Depressed, Moderate	Mood Disorders
296.53	296.53	Bipolar I Disorder, Most Recent Episode Depressed, Severe w/o Psychotic Features (<i>In DSM 5, "Without Psychotic Features" is not a further specified</i>)	Mood Disorders
296.54	296.54	Bipolar I Disorder, Most Recent Episode Depressed, Severe w/ Psychotic Features (<i>In DSM 5, "With psychotic features" is its own specifier, and, when present, is used instead of Mild, Moderate, or Severe, not in addition to Severe</i>) ⁶	Mood Disorders
296.60		Bipolar I Disorder, Most Recent Episode Mixed, Unspecified (<i>This Bipolar 1 sub-type was removed from DSM 5</i>)	Mood Disorders
296.62		Bipolar I Disorder, Most Recent Episode Mixed, Moderate (<i>This Bipolar 1 sub-type was removed from DSM 5</i>)	Mood Disorders
296.63		Bipolar I Disorder, Most Recent Episode Mixed, Severe Without Psychotic Features (<i>This Bipolar 1 sub-type was removed from DSM 5</i>)	Mood Disorders
296.64		Bipolar I Disorder, Most Recent Episode Mixed, Severe With Psychotic Features (<i>This Bipolar 1 sub-type was removed from DSM 5</i>)	Mood Disorders
296.70	296.70	Bipolar Disorder, Most Recent Episode Unspecified	Mood Disorders
296.89	296.89	Bipolar II Disorder	Mood Disorders

⁵ The DSM 5 code for "Bipolar I Disorder, Current or Most Recent Episode Manic, with Psychotic Features" is 296.44.

⁶ The DSM 5 code for "Bipolar I Disorder, Current or Most Recent Episode Depressed, with Psychotic Features" is 296.54.

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DSAMH Current SPMI Diagnosis Codes (updated 7/1/2012)			
DSM IV Code	DSM 5 Code	Disorder	DSM IV Category
297.1	297.1	Delusional Disorder	Psychotic Disorders
301.0	301.0	Paranoid Personality Disorder	Personality Disorders
301.20	301.20	Schizoid Personality Disorder	Personality Disorders
301.22	301.22	Schizotypal Personality Disorder	Personality Disorders
301.83	301.83	Borderline Personality Disorder	Personality Disorders
309.81	309.81	Posttraumatic Stress Disorder (PTSD)	Anxiety Disorders ⁷

Target Criteria B: Individuals may also meet other targeted DSM diagnoses. The DSM diagnosis must be among those that are included in the following larger DSM categories (excluding pervasive developmental disorders):

Mood Disorders:

In DSM 5 “Depressive Disorders” and “Bipolar and Related Disorders” are separated out as diagnostic groupings.

Anxiety Disorders:

DSM 5 includes a separate category, “Obsessive-Compulsive and Related Disorders”.

DSM 5 includes a separate category, “Trauma- and Stressor-Related Disorders”.

Schizophrenia and Other Psychotic Disorders:

In DSM 5 this category is labeled, “Schizophrenia Spectrum and Other Psychotic Disorders”.

Dissociative Disorders

Personality Disorders

Substance-Related Disorders:

In DSM 5 this category is labeled, “Substance-Related and Addictive Disorders”.

Functioning Criteria

Each person who is screened and thought to be eligible for PROMISE must receive the State required diagnostic and functional assessment using the Delaware-specific ASAM tool.

Functional Criteria A: If the individual meets Targeting Criteria A, the individual must be assessed with a rating of moderate on at least one of the six Delaware-specific ASAM dimensions. The six dimensions include the following :

1. Acute intoxication and/or withdrawal potential — substance use.
2. Biomedical conditions/complications.

⁷In DSM 5, PTSD is moved to another diagnostic category, called “Trauma- and Stressor-Related Disorders”.

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3. Emotional/behavioral/cognitive conditions or complications (with five sub-dimensions, including suicidality, self-control/impulsivity, dangerousness, self-care, and psychiatric/emotional health).
4. Readiness to change (with two sub-dimensions, including understanding of illness and recovery, and desire to change).
5. Relapse, continued use, continued problem potential.
6. Recovery environment (with two sub-dimensions, including recovery environment and interpersonal/social functioning).

Functional Criteria B: If the individual does not meet Targeting Criteria A, but does meet Targeting Criteria B, the individual must be assessed with a rating of severe on at least one of the above six Delaware-specific ASAM dimensions.

Functional Criteria C: An adult who has previously met the above targeting and functional criteria and needs subsequent medical necessary services for stabilization and maintenance. The individual continues to need at least one HCBS service for stabilization and maintenance (i.e., at least one PROMISE service).

The detailed Scope of Work is provided in **Appendix B** and made part of this Request for Proposals.

III. Required Information

The following information shall be provided in each proposal in the order listed below. Failure to respond to any request for information within this proposal may result in rejection of the proposal at the sole discretion of the State.

A. Minimum Requirements

1. Provide Delaware license(s) and/or certification(s) necessary to perform services as identified in the scope of work.

Prior to the execution of an award document, the successful Vendor shall either furnish the Agency with proof of State of Delaware Business Licensure or initiate the process of application where required.

2. Vendor shall provide responses to the Request for Proposal (RFP) scope of work in accordance with Appendix B.
3. Complete all appropriate attachments and forms as identified within the RFP.
4. Proof of insurance and amount of insurance shall be furnished to the Agency prior to the start of the contract period and shall be no less than as identified in the bid solicitation, Section D, Item 7, subsection g (insurance).
5. Provide response to Employing Delawareans Report (Attachment 9)
6. Bidder shall list all contracts awarded to it or its predecessor firm(s) by the State of Delaware; during the last three years, by State Department, Division, Contact Person (with address/phone number), period of performance and amount. In addition, Bidder shall list any contract awarded to it or its predecessor firm(s) by the State of Delaware during the past ten (10) years if such contract was terminated by the State for cause, and shall include an explanation of the circumstances of such termination.

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The Evaluation/Selection Review Committee will consider these Additional references and may contact each of these sources. Information regarding bidder performance gathered from these sources may be included in the Committee's deliberations and factored in the final scoring of the bid. Failure to list any contract as required by this paragraph may be grounds for immediate rejection of the bid."

There will be a ninety (90) day period during which the agency may extend the contract period for renewal if needed.

7. Organizations Ineligible to Bid

Any individual, business, organization, corporation, consortium, partnership, joint venture, or any other entity including subcontractors currently debarred or suspended is ineligible to bid. Any entity ineligible to conduct business in the State of Delaware for any reason is ineligible to respond to the RFP.

8. Applicant Organization Eligibility

Applications for this RFP will be accepted from any non-profit, for profit or faith based organizations whose hiring and operational practices comply with all federal and State of Delaware laws and regulations. The organization will be required to provide evidence that both the applicant organization and the lead management staff proposed for the program have the knowledge and experience, as well as the depth of staffing, to provide the required services.

Organizations/agencies will be required to obtain licensure or certification specific to the program for which they are awarded.

Proposers who are selected to provide services must enroll as a Medicaid FFS Provider. The proposer must develop the capacity to provide services for any individual, insured or uninsured, requiring services in the awarded program who meets the criteria for admission identified below under the sections "Admission Guidelines".

Proposer

Any proposer organization that cannot demonstrate its ability to meet these eligibility criteria will not be considered for review.

IV. Professional Services RFP Administrative Information

A. RFP Issuance

9. Public Notice

Public notice has been provided in accordance with 29 *Del. C.* [§6981](#).

10. Obtaining Copies of the RFP

This RFP is available in electronic form through the State of Delaware Procurement website at www.bids.delaware.gov . Paper copies of this RFP will not be available.

11. Assistance to Vendors with a Disability

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Vendors with a disability may receive accommodation regarding the means of communicating this RFP or participating in the procurement process. For more information, contact the Designated Contact no later than ten days prior to the deadline for receipt of proposals.

12. RFP Designated Contact

All requests, questions, or other communications about this RFP shall be made in writing to the State of Delaware. Address all communications to the person listed below; communications made to other State of Delaware personnel or attempting to ask questions by phone or in person will not be allowed or recognized as valid and may disqualify the vendor. Vendors should rely only on written statements issued by the RFP designated contact.

Ceasar McClain
Contracts Manager
dsamhbusinessoperations@state.de.us

To ensure that written requests are received and answered in a timely manner, electronic mail (e-mail) correspondence is acceptable, but other forms of delivery, such as postal and courier services can also be used.

13. Consultants and Legal Counsel

The State of Delaware may retain consultants or legal counsel to assist in the review and evaluation of this RFP and the vendors' responses. Bidders shall not contact the State's consultant or legal counsel on any matter related to the RFP.

14. Contact with State Employees

Direct contact with State of Delaware employees other than the State of Delaware Designated Contact regarding this RFP is expressly prohibited without prior consent. Vendors directly contacting State of Delaware employees risk elimination of their proposal from further consideration. Exceptions exist only for organizations currently doing business in the State who require contact in the normal course of doing that business.

15. Exclusions

The Proposal Evaluation Team reserves the right to refuse to consider any proposal from a vendor who:

- a. Has been convicted for commission of a criminal offense as an incident to obtaining or attempting to obtain a public or private contract or subcontract, or in the performance of the contract or subcontract;
- b. Has been convicted under State or Federal statutes of embezzlement, theft, forgery, bribery, falsification or destruction of records, receiving stolen property, or other offense indicating a lack of business integrity or business honesty that currently and seriously affects responsibility as a State contractor;
- c. Has been convicted or has had a civil judgment entered for a violation under State or Federal antitrust statutes;
- d. Has violated contract provisions such as;
 - 1) Knowing failure without good cause to perform in accordance with the specifications or within the time limit provided in the contract; or
 - 2) Failure to perform or unsatisfactory performance in accordance with terms of one or more contracts;

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- e. Has violated professional ethical standards as may be set out in law or regulation; and
- f. Any other cause listed in regulations of the State of Delaware determined to be serious and compelling as to affect responsibility as a State contractor, including suspension or debarment by another governmental entity for a cause listed in the regulations.

B. RFP Submissions

1. Acknowledgement of Understanding of Terms

By submitting a bid, each vendor shall be deemed to acknowledge that it has carefully read all sections of this RFP, including all forms, schedules and exhibits hereto, and has fully informed itself as to all existing conditions and limitations.

2. Proposals

To be considered, all proposals must be submitted in writing and respond to the items outlined in this RFP. The State reserves the right to reject any non-responsive or non-conforming proposals. Each proposal must be submitted with 10 paper copies and 3 electronic copy on CD or DVD media disk. Please provide a separate electronic pricing file from the rest of the RFP proposal responses.

All properly sealed and marked proposals are to be sent to the State of Delaware and received no later than **11:00 AM (Local Time) on Tuesday, August 11, 2015**. The Proposals may be delivered by Express Delivery (e.g., FedEx, UPS, etc.), US Mail, or by hand to:

Kieran Mohammed
Kieran.mohammed@state.de.us
DELAWARE HEALTH AND SOCIAL SERVICES
PROCUREMENT BRANCH
MAIN ADMIN BLD, SULLIVAN STREET
2ND FLOOR –ROOM #257
1901 NORTH DUPONT HIGHWAY
HERMAN M. HOLLOWAY SR. HEALTH AND
SOCIAL SERVICES CAMPUS
NEW CASTLE, DELAWARE 19720
PHONE: (302) 255-9290

Vendors are directed to clearly print “BID ENCLOSED” and “RFP # HSS-15-041” on the outside of the bid submission package.

Any proposal received after **11:00 AM** on the Deadline for Receipt of Proposals date shall not be considered and shall be returned unopened. The proposing vendor bears all risk of delays in delivery due to carrier error or weather-related carrier service interruptions. The contents of any proposal shall not be disclosed as to be made available to competing entities during the negotiation process.

Upon receipt of vendor proposals, each vendor shall be presumed to be thoroughly familiar with all specifications and requirements of this RFP. The failure or omission to examine any form, instrument or document shall in no way relieve vendors from any obligation in respect to this RFP.

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3. Proposal Modifications

Any changes, amendments or modifications to a proposal must be made in writing, submitted in the same manner as the original response and conspicuously labeled as a change, amendment or modification to a previously submitted proposal. Changes, amendments or modifications to proposals shall not be accepted or considered after the hour and date specified as the deadline for submission of proposals.

4. Proposal Costs and Expenses

The State of Delaware will not pay any costs incurred by any Vendor associated with any aspect of responding to this solicitation, including proposal preparation, printing or delivery, attendance at vendor's conference, system demonstrations or negotiation process.

5. Proposal Expiration Date

Prices quoted in the proposal shall remain fixed and binding on the bidder at least through **June 30, 2016**. The State of Delaware reserves the right to ask for an extension of time if needed.

6. Late Proposals

Proposals received after the specified date and time will not be accepted or considered. To guard against premature opening, sealed proposals shall be submitted, plainly marked with the proposal title, vendor name, and time and date of the proposal opening. Evaluation of the proposals is expected to begin shortly after the proposal due date. To document compliance with the deadline, the proposal will be date and time stamped upon receipt.

7. Proposal Opening

The State of Delaware will receive proposals until the date and time shown in this RFP. Proposals will be opened only in the presence of the State of Delaware personnel. Any unopened proposals will be returned to the submitting Vendor.

There will be no public opening of proposals but a public log will be kept of the names of all vendor organizations that submitted proposals. The contents of any proposal shall not be maintained confidentially in accordance with [Executive Order # 31](#) and Title 29, Delaware Code, [Chapter 100](#).

8. Non-Conforming Proposals

Non-conforming proposals will not be considered. Non-conforming proposals are defined as those that do not meet the requirements of this RFP. The determination of whether an RFP requirement is substantive or a mere formality shall reside solely within the State of Delaware. Proposals that contain exceptions which - individually or in the aggregate- have the effect of altering, limiting, or interfering with the State of Delaware's chosen and advertised method of service delivery may be deemed Non-Conforming.

9. Concise Proposals

The State of Delaware discourages overly lengthy and costly proposals. It is the desire that proposals be prepared in a straightforward and concise manner. Unnecessarily elaborate brochures or other promotional materials beyond those sufficient to present a complete and effective proposal are not desired. The State of Delaware's interest is in the quality and responsiveness of the proposal.

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10. Realistic Proposals

It is the expectation of the State of Delaware that vendors can fully satisfy the obligations of the proposal in the manner and timeframe defined within the proposal. Proposals must be realistic and must represent the best estimate of time, materials and other costs including the impact of inflation and any economic or other factors that are reasonably predictable.

The State of Delaware shall bear no responsibility or increase obligation for a vendor's failure to accurately estimate the costs or resources required to meet the obligations defined in the proposal.

11. Confidentiality of Documents

Subject to applicable law or the order of a court of competent jurisdiction to the contrary, all documents submitted as part of the vendor's proposal will be treated as confidential during the evaluation process. As such, vendor proposals will not be available for review by anyone other than the State of Delaware/Proposal Evaluation Team or its designated agents. There shall be no disclosure of any vendor's information to a competing vendor prior to award of the contract unless such disclosure is required by law or by order of a court of competent jurisdiction.

The State of Delaware and its constituent agencies are required to comply with the State of Delaware Freedom of Information Act, [29 Del. C. § 10001, et seq. \("FOIA"\)](#). FOIA requires that the State of Delaware's records are public records (unless otherwise declared by FOIA or other law to be exempt from disclosure) and are subject to inspection and copying by any person upon a written request. Once a proposal is received by the State of Delaware and a contract has been executed, the content of selected and non-selected vendor proposals will likely become subject to FOIA's public disclosure obligations.

The State of Delaware wishes to create a business-friendly environment and procurement process. As such, the State respects the vendor community's desire to protect its intellectual property, trade secrets, and confidential business information (collectively referred to herein as "confidential business information"). Proposals must contain sufficient information to be evaluated. If a vendor feels that they cannot submit their proposal without including confidential business information, they must adhere to the following procedure or their proposal may be deemed unresponsive, may not be recommended for selection, and any applicable protection for the vendor's confidential business information may be lost.

In order to allow the State to assess its ability to protect a vendor's confidential business information, vendors will be permitted to designate appropriate portions of their proposal as confidential business information.

Vendor(s) may submit portions of a proposal considered to be confidential business information in a separate, sealed envelope labeled "Confidential Business Information" and include the specific RFP number. The envelope must contain a letter from the Vendor's legal counsel describing the documents in the envelope, representing in good faith that the information in each document is not "public record" as defined by 29 Del. C. § 10002, and briefly stating the reasons that each document meets the said definitions.

Upon receipt of a proposal accompanied by such a separate, sealed envelope, the State of Delaware will open the envelope to determine whether the procedure described above has been followed. A vendor's allegation as to its confidential business information shall not be binding on the State. The State shall independently determine the validity of any vendor

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designation as set forth in this section. Any vendor submitting a proposal or using the procedures discussed herein expressly accepts the State's absolute right and duty to independently assess the legal and factual validity of any information designated as confidential business information. Accordingly, Vendor(s) assume the risk that confidential business information included within a proposal may enter the public domain.

12. Multi-Vendor Solutions (Joint Ventures)

Multi-vendor solutions (joint ventures) will be allowed only if one of the venture partners is designated as the "**prime contractor**". The "**prime contractor**" must be the joint venture's contact point for the State of Delaware and be responsible for the joint venture's performance under the contract, including all project management, legal and financial responsibility for the implementation of all vendor systems. If a joint venture is proposed, a copy of the joint venture agreement clearly describing the responsibilities of the partners must be submitted with the proposal. Services specified in the proposal shall not be subcontracted without prior written approval by the State of Delaware, and approval of a request to subcontract shall not in any way relieve Vendor of responsibility for the professional and technical accuracy and adequacy of the work. Further, vendor shall be and remain liable for all damages to the State of Delaware caused by negligent performance or non-performance of work by its subcontractor or its sub-subcontractor.

Multi-vendor proposals must be a consolidated response with all cost included in the cost summary. Where necessary, RFP response pages are to be duplicated for each vendor.

a. Primary Vendor

The State of Delaware expects to negotiate and contract with only one "prime vendor". The State of Delaware will not accept any proposals that reflect an equal teaming arrangement or from vendors who are co-bidding on this RFP. The prime vendor will be responsible for the management of all subcontractors.

Any contract that may result from this RFP shall specify that the prime vendor is solely responsible for fulfillment of any contract with the State as a result of this procurement. The State will make contract payments only to the awarded vendor. Payments to any-subcontractors are the sole responsibility of the prime vendor (awarded vendor).

Nothing in this section shall prohibit the State of Delaware from the full exercise of its options under Section IV.B.16 regarding multiple source contracting.

b. Sub-contracting

The vendor selected shall be solely responsible for contractual performance and management of all subcontract relationships. This contract allows subcontracting assignments when the State provides written consent; however, vendors assume all responsibility for work quality, delivery, installation, maintenance, and any supporting services required by a subcontractor.

Any and all use of subcontractors must be clearly explained in the proposal, and major subcontractors must be identified by name. **The prime vendor shall be wholly responsible for the entire contract performance whether or not subcontractors are used.** All sub-contractors must be approved by State of Delaware.

c. Multiple Proposals

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A primary vendor may not participate in more than one proposal in any form. Sub-contracting vendors may participate in multiple joint venture proposals.

13. Discrepancies and Omissions

Vendor is fully responsible for the completeness and accuracy of their proposal, and for examining this RFP and all addenda. Failure to do so will be at the sole risk of vendor. Should vendor find discrepancies, omissions, unclear or ambiguous intent or meaning, or should any questions arise concerning this RFP, vendor shall notify the State of Delaware's Designated Contact, in writing, of such findings at least ten (10) days before the proposal opening. This will allow issuance of any necessary addenda. It will also help prevent the opening of a defective proposal and exposure of vendor's proposal upon which award could not be made. All unresolved issues should be addressed in the proposal.

Protests based on any omission or error, discrepancies, omissions, unclear or ambiguous intent or meaning arising out of the content of the solicitation, will be deemed waived unless they are brought to the attention of the Designated Contact, in writing, at least ten (10) calendar days prior to the time set for opening of the proposals.

a. RFP Question and Answer Process

The State of Delaware will allow written requests for clarification of the RFP. All questions shall be received no later than **Wednesday, July 8, 2015** to dsamhbusinessoperations@state.de.us. All questions will be consolidated into a single set of responses and posted on the State's website at www.bids.delaware.gov by the date of **Wednesday, July 15, 2015**. Vendor names will be removed from questions in the responses released. Questions should be submitted in the following format. Deviations from this format will not be accepted.

Section number

Paragraph number

Page number

Text of passage being questioned

Questions not submitted electronically shall be accompanied by a CD and questions shall be formatted in Microsoft Word.

14. State's Right to Reject Proposals

The State of Delaware reserves the right to accept or reject any or all proposals or any part of any proposal, to waive defects, technicalities or any specifications (whether they be in the State of Delaware's specifications or vendor's response), to sit and act as sole judge of the merit and qualifications of each product offered, or to solicit new proposals on the same project or on a modified project which may include portions of the originally proposed project as the State of Delaware may deem necessary in the best interest of the State of Delaware.

15. State's Right to Cancel Solicitation

The State of Delaware reserves the right to cancel this solicitation at any time during the procurement process, for any reason or for no reason. The State of Delaware makes no

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commitments expressed or implied, that this process will result in a business transaction with any vendor.

This RFP does not constitute an offer by the State of Delaware. Vendor's participation in this process may result in the State of Delaware selecting your organization to engage in further discussions and negotiations toward execution of a contract. The commencement of such negotiations does not, however, signify a commitment by the State of Delaware to execute a contract nor to continue negotiations. The State of Delaware may terminate negotiations at any time and for any reason, or for no reason.

16. State's Right to Award Multiple Source Contracting

Pursuant to 29 Del. C. [§ 6986](#), the State of Delaware may award a contract for a particular professional service to two or more vendors if the agency head makes a determination that such an award is in the best interest of the State of Delaware. No Vendor shall acquire an exclusive right to provide the State of Delaware with the professional services detailed in this RFP.

17. Notification of Withdrawal of Proposal

Vendor may modify or withdraw its proposal by written request, provided that both proposal and request is received by the State of Delaware prior to the proposal due date. Proposals may be re-submitted in accordance with the proposal due date in order to be considered further.

Proposals become the property of the State of Delaware at the proposal submission deadline. All proposals received are considered firm offers at that time.

18. Revisions to the RFP

If it becomes necessary to revise any part of the RFP, an addendum will be posted on the State of Delaware's website at www.bids.delaware.gov. The State of Delaware is not bound by any statement related to this RFP made by any State of Delaware employee, contractor or its agents.

19. Exceptions to the RFP

Any exceptions to the RFP, or the State of Delaware's terms and conditions, must be recorded on Attachment 3. Acceptance of exceptions is within the sole discretion of the evaluation committee. Proposals that contain exceptions which - individually or in the aggregate- have the effect of altering, limiting, or interfering with the State of Delaware's chosen and advertised method of service delivery may be deemed Non-Conforming.

20. Award of Contract

The final award of a contract is subject to approval by the State of Delaware. The State of Delaware has the sole right to select the successful vendor(s) for award, to reject any proposal as unsatisfactory or non-responsive, to award a contract to other than the lowest priced proposal, to award multiple contracts, or not to award a contract, as a result of this RFP.

Notice in writing to a vendor of the acceptance of its proposal by the State of Delaware AND the subsequent full execution of a written contract will constitute a contract, and no vendor will acquire any legal or equitable rights or privileges until the occurrence of BOTH such events.

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a. RFP Award Notifications

After reviews of the evaluation committee report and its recommendation, and once the contract terms and conditions have been finalized, the State of Delaware will award the contract.

The contract shall be awarded to the vendor whose proposal is most advantageous, taking into consideration the evaluation factors set forth in the RFP.

It should be explicitly noted that the State of Delaware is not obligated to award the contract to the vendor who submits the lowest bid or the vendor who receives the highest total point score, rather the contract will be awarded to the vendor whose proposal is the most advantageous to the State of Delaware. The award is subject to the appropriate State of Delaware approvals.

After a final selection is made, the winning vendor will be invited to negotiate a contract with the State of Delaware; remaining vendors will be notified in writing of their selection status following awarded vendor contract execution.

21. Cooperatives

Vendors, who have been awarded similar contracts through a competitive bidding process with a cooperative, are welcome to submit the cooperative pricing for this solicitation.

C. RFP Evaluation Process

An evaluation team composed of representatives of the State of Delaware will evaluate proposals on a variety of quantitative criteria. Neither the lowest price nor highest scoring proposal will necessarily be selected for negotiations.

The State of Delaware reserves full discretion to determine the competence and responsibility, professionally and/or financially, of vendors. Vendors are to provide in a timely manner any and all information that the State of Delaware may deem necessary to make a decision.

1. Proposal Evaluation Team

The Proposal Evaluation Team shall be comprised of representatives of the State of Delaware. The Team shall determine which vendors meet the minimum requirements pursuant to selection criteria of the RFP and procedures established in 29 *Del. C.* §§ [6981](#) and [6982](#). The Team may negotiate with one or more vendors during the same period and may, at its discretion, terminate negotiations with any or all vendors. The Team shall make a recommendation regarding the award to the Division Director, who shall have final authority, subject to the provisions of this RFP and 29 *Del. C.* § [6982](#), to award a contract to the successful vendor in the best interests of the State of Delaware.

2. Proposal Selection Criteria

The Proposal Evaluation Team shall assign up to the maximum number of points for each Evaluation Item to each of the proposing vendor's proposals. All assignments of points shall be at the sole discretion of the Proposal Evaluation Team.

The proposals shall contain the essential information on which the award decision shall be made. The information required to be submitted in response to this RFP has been determined

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by the State of Delaware to be essential for use by the Team in the bid evaluation and award process. Therefore, all instructions contained in this RFP shall be met in order to qualify as a responsive and responsible contractor and participate in the Proposal Evaluation Team's consideration for award. Proposals which do not meet or comply with the instructions of this RFP may be considered non-conforming and deemed non-responsive and subject to disqualification at the sole discretion of the Team.

The Team reserves the right to:

- Select for contract or for negotiations a proposal other than that with lowest costs.
- Reject any and all proposals or portions of proposals received in response to this RFP or to make no award or issue a new RFP.
- Waive or modify any information, irregularity, or inconsistency in proposals received.
- Request modification to proposals from any or all vendors during the contract review and negotiation.
- Negotiate any aspect of the proposal with any vendor and negotiate with more than one vendor at the same time.
- Select more than one vendor pursuant to 29 *Del. C.* [§6986](#). Such selection will be based on the following criteria:
 - Needs of the Division
 - Funding availability

Criteria Weight

All proposals shall be evaluated using the same criteria and scoring process. The following criteria shall be used by the Evaluation Team to evaluate proposals:

Criteria	Weight
Qualification and Experience	35
Proposed Program Design	30
Capacity to meet requirements	30
Understanding and Acceptance of Fee for Service Reimbursement	5
Total	100%

Vendors are encouraged to review the evaluation criteria and to provide a response that addresses each of the scored items. Evaluators will not be able to make assumptions about a vendor's capabilities so the responding vendor should be detailed in their proposal responses.

3. Proposal Clarification

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The Evaluation Team may contact any vendor in order to clarify uncertainties or eliminate confusion concerning the contents of a proposal. Proposals may not be modified as a result of any such clarification request.

4. References

The Evaluation Team may contact any customer of the vendor, whether or not included in the vendor's reference list, and use such information in the evaluation process. Additionally, the State of Delaware may choose to visit existing installations of comparable systems, which may or may not include vendor personnel. If the vendor is involved in such site visits, the State of Delaware will pay travel costs only for State of Delaware personnel for these visits.

5. Oral Presentations

After initial scoring and a determination that vendor(s) are qualified to perform the required services, selected vendors may be invited to make oral presentations to the Evaluation Team. All vendor(s) selected will be given an opportunity to present to the Evaluation Team.

The vendor representative(s) attending the oral presentation shall be technically qualified to respond to questions related to the proposed system and its components.

All of the vendor's costs associated with participation in oral discussions and system demonstrations conducted for the State of Delaware are the vendor's responsibility.

D. Contract Terms and Conditions

1. Contract Use by Other Agencies

REF: Title 29, Chapter 6904(e) Delaware Code. If no state contract exists for a certain good or service, covered agencies may procure that certain good or service under another agency's contract so long as the arrangement is agreeable to all parties. Agencies, other than covered agencies, may also procure such goods or services under another agency's contract when the arrangement is agreeable to all parties.

2. Cooperative Use of Award

As a publicly competed contract awarded in compliance with 29 DE Code Chapter 69, this contract is available for use by other states and/or governmental entities through a participating addendum. Interested parties should contact the State Contract Procurement Officer identified in the contract for instruction. Final approval for permitting participation in this contract resides with the Director of Government Support Services and in no way places any obligation upon the awarded vendor(s).

3. General Information

- a.** The term of the contract between the successful bidder and the State shall be for one (1) year with four (4) optional extensions for a period of one (1) year for each extension.
- b.** The selected vendor will be required to enter into a written agreement with the State of Delaware. The State of Delaware reserves the right to incorporate standard State contractual provisions into any contract negotiated as a result of a proposal submitted in response to this RFP. Any proposed modifications to the terms and conditions of the standard contract are subject to review and approval by the State of Delaware. Vendors will be required to sign the contract for all services, and may be required to sign additional agreements.
- c.** The selected vendor or vendors will be expected to enter negotiations with the State of Delaware, which will result in a formal contract between parties. This RFP and the

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selected vendor's response to this RFP will be incorporated as part of any formal contract.

- d. The State of Delaware's standard contract may be supplemented with the vendor's software license, support/maintenance, source code escrow agreements, and any other applicable agreements. The terms and conditions of these agreements will be negotiated with the finalist during actual contract negotiations.
- e. The successful vendor shall promptly execute a contract incorporating the terms of this RFP within twenty (20) days after award of the contract. No vendor is to begin any service prior to receipt of a State of Delaware purchase order signed by two authorized representatives of the agency requesting service, properly processed through the State of Delaware Accounting Office and the Department of Finance. The purchase order shall serve as the authorization to proceed in accordance with the bid specifications and the special instructions, once it is received by the successful vendor.
- f. If the vendor to whom the award is made fails to enter into the agreement as herein provided, the award will be annulled, and an award may be made to another vendor. Such vendor shall fulfill every stipulation embraced herein as if they were the party to whom the first award was made.

4. Collusion or Fraud

Any evidence of agreement or collusion among vendor(s) and prospective vendor(s) acting to illegally restrain freedom from competition by agreement to offer a fixed price, or otherwise, will render the offers of such vendor(s) void and subject any party to such agreement or collusion to referral for investigation by any and all appropriate law enforcement agencies.

By responding, the vendor represents and warrants that its proposal is not made in connection with any competing vendor submitting a separate response to this RFP or in connection with any vendor withholding its proposal and is in all respects fair and without collusion or fraud; that the vendor did not participate in the RFP development process and had no knowledge of the specific contents of the RFP prior to its issuance; and that no employee or official of the State of Delaware participated directly or indirectly in the vendor's proposal preparation.

Advance knowledge of information which gives any particular vendor advantages over any other interested vendor(s), in advance of the opening of proposals, whether in response to advertising or an employee or representative thereof, will potentially void that particular proposal and subject any individual participating in such conduct to further investigation by any and all appropriate law enforcement agencies.

5. Lobbying and Gratuities

Lobbying or providing gratuities shall be strictly prohibited. Vendors found to be lobbying, providing gratuities to, or in any way attempting to influence a State of Delaware employee or agent of the State of Delaware concerning this RFP or the award of a contract resulting from this RFP shall have their proposal immediately rejected and shall be barred from further participation in this RFP.

The selected vendor will warrant that no person or selling agency has been employed or retained to solicit or secure a contract resulting from this RFP upon agreement or understanding for a commission, or a percentage, brokerage or contingent fee. For breach or violation of this warranty, the State of Delaware shall have the right to annul and/or cancel any contract resulting from this RFP without liability or at its discretion deduct from the

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contract price or otherwise recover the full amount of such commission, percentage, brokerage or contingent fee.

All contact with State of Delaware employees, contractors or agents of the State of Delaware concerning this RFP shall be conducted in strict accordance with the manner, forum and conditions set forth in this RFP.

6. Solicitation of State Employees

Until contract award, vendors shall not, directly or indirectly, solicit any employee of the State of Delaware to leave the State of Delaware's employ in order to accept employment with the vendor, its affiliates, actual or prospective contractors, or any person acting in concert with vendor, without prior written approval of the State of Delaware's contracting officer. Solicitation of State of Delaware employees by a vendor may result in rejection of the vendor's proposal.

This paragraph does not prevent the employment by a vendor of a State of Delaware employee who has initiated contact with the vendor. However, State of Delaware employees may be legally prohibited from accepting employment with the contractor or subcontractor under certain circumstances. Vendors may not knowingly employ a person who cannot legally accept employment under state or federal law. If a vendor discovers that they have done so, they must terminate that employment immediately.

7. General Contract Terms

a. Independent Contractors

The parties to the contract shall be independent contractors to one another, and nothing herein shall be deemed to cause this agreement to create an agency, partnership, joint venture or employment relationship between parties. Each party shall be responsible for compliance with all applicable workers compensation, unemployment, disability insurance, social security withholding and all other similar matters. Neither party shall be liable for any debts, accounts, obligations or other liability whatsoever of the other party or any other obligation of the other party to pay on the behalf of its employees or to withhold from any compensation paid to such employees any social benefits, workers compensation insurance premiums or any income or other similar taxes.

It may be at the State of Delaware's discretion as to the location of work for the contractual support personnel during the project period.

b. Temporary Personnel are Not State Employees Unless and Until They are Hired

Vendor agrees that any individual or group of temporary staff person(s) provided to the State of Delaware pursuant to this Solicitation shall remain the employee(s) of Vendor for all purposes including any required compliance with the Affordable Care Act by the Vendor. Vendor agrees that it shall not allege, argue, or take any position that individual temporary staff person(s) provided to the State pursuant to this Solicitation must be provided any benefits, including any healthcare benefits by the State of Delaware and Vendor agrees to assume the total and complete responsibility for the provision of any healthcare benefits required by the Affordable Care Act to aforesaid individual temporary staff person(s). In the event that the Internal Revenue Service, or any other third party governmental entity determines that the State of Delaware is a dual employer or the sole employer of any individual temporary staff person(s) provided to the State of Delaware pursuant to this Solicitation, Vendor agrees to hold harmless, indemnify, and defend the

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State to the maximum extent of any liability to the State arising out of such determinations.

Notwithstanding the content of the preceding paragraph, should the State of Delaware subsequently directly hire any individual temporary staff employee(s) provided pursuant to this Solicitation, the aforementioned obligations to hold harmless, indemnify, and defend the State of Delaware shall cease and terminate for the period following the date of hire. Nothing herein shall be deemed to terminate the Vendor's obligation to hold harmless, indemnify, and defend the State of Delaware for any liability that arises out of compliance with the ACA prior to the date of hire by the State of Delaware. Vendor will waive any separation fee provided an employee works for both the vendor and hiring agency, continuously, for a three (3) month period and is provided thirty (30) days written notice of intent to hire from the agency. Notice can be issued at second month if it is the State's intention to hire.

c. Licenses and Permits

In performance of the contract, the vendor will be required to comply with all applicable federal, state and local laws, ordinances, codes, and regulations. The cost of permits and other relevant costs required in the performance of the contract shall be borne by the successful vendor. The vendor shall be properly licensed and authorized to transact business in the State of Delaware as provided in 30 *Del. C.* § [2502](#).

Prior to receiving an award, the successful vendor shall either furnish the State of Delaware with proof of State of Delaware Business Licensure or initiate the process of application where required. An application may be requested in writing to: Division of Revenue, Carvel State Building, P.O. Box 8750, 820 N. French Street, Wilmington, DE 19899 or by telephone to one of the following numbers: (302) 577-8200—Public Service, (302) 577-8205—Licensing Department. If the successful vendor alleges it may legally operate in Delaware without such licensure, it will provide a letter from its legal counsel detailing the legal bases why such licensure is not required. Final determinations about licensure obligations shall remain the sole discretion of the State of Delaware.

Information regarding the award of the contract will be given to the Division of Revenue. Failure to comply with the State of Delaware licensing requirements may subject vendor to applicable fines and/or interest penalties.

d. Notice

Any notice to the State of Delaware required under the contract shall be sent by registered mail to:

DIVISION OF SUBSTANCE ABUSE & MENTAL HEALTH
Springer Building Room 306
1901 North DuPont Hwy
New Castle, DE 19720
Attention: Contracts Unit

e. Indemnification

1. General Indemnification

By submitting a proposal, the proposing vendor agrees that in the event it is awarded a contract, it will indemnify and otherwise hold harmless the State of Delaware, its

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agents and employees from any and all liability, suits, actions, or claims, together with all costs, expenses for attorney's fees, arising out of the vendor's, its agents and employees' performance work or services in connection with the contract, regardless of whether such suits, actions, claims or liabilities are based upon acts or failures to act attributable, whole or part, to the State, its employees or agents.

2. Proprietary Rights Indemnification

Vendor shall warrant that all elements of its solution, including all equipment, software, documentation, services and deliverables, do not and will not infringe upon or violate any patent, copyright, trade secret or other proprietary rights of any third party. In the event of any claim, suit or action by any third party against the State of Delaware, the State of Delaware shall promptly notify the vendor in writing and vendor shall defend such claim, suit or action at vendor's expense, and vendor shall indemnify the State of Delaware against any loss, cost, damage, expense or liability arising out of such claim, suit or action (including, without limitation, litigation costs, lost employee time, and counsel fees) whether or not such claim, suit or action is successful.

If any equipment, software, services (including methods) products or other intellectual property used or furnished by the vendor (collectively "Products") is or in vendor's reasonable judgment is likely to be, held to constitute an infringing product, vendor shall at its expense and option either:

- a. Procure the right for the State of Delaware to continue using the Product(s);
- b. Replace the product with a non-infringing equivalent that satisfies all the requirements of the contract; or
- c. Modify the Product(s) to make it or them non-infringing, provided that the modification does not materially alter the functionality or efficacy of the product or cause the Product(s) or any part of the work to fail to conform to the requirements of the Contract, or only alters the Product(s) to a degree that the State of Delaware agrees to and accepts in writing.

f. Insurance

- 1. Vendor recognizes that it is operating as an independent contractor and that it is liable for any and all losses, penalties, damages, expenses, attorney's fees, judgments, and/or settlements incurred by reason of injury to or death of any and all persons, or injury to any and all property, of any nature, arising out of the vendor's negligent performance under this contract, and particularly without limiting the foregoing, caused by, resulting from, or arising out of any act of omission on the part of the vendor in their negligent performance under this contract.
- 2. The vendor shall maintain such insurance as will protect against claims under Worker's Compensation Act and from any other claims for damages for personal injury, including death, which may arise from operations under this contract. The vendor is an independent contractor and is not an employee of the State of Delaware.
- 3. During the term of this contract, the vendor shall, at its own expense, also carry insurance minimum limits as follows:

a.	Commercial General Liability	\$1,000,000 per occurrence / \$3,000,000 aggregate
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 And at least one of the following, as outlined below:

b.	Medical or Professional Liability	\$1,000,000 per occurrence / \$3,000,000 aggregate
c.	Misc. Errors and Omissions	\$1,000,000 per occurrence / \$3,000,000 aggregate
d.	Product Liability	\$1,000,000 per occurrence / \$3,000,000 aggregate

The successful vendor must carry (a) and at least one of (b), (c), or (d) above, depending on the type of Service or Product being delivered.

If the contractual service requires the transportation of departmental clients or staff, the vendor shall, in addition to the above coverage's, secure at its own expense the following coverage;

a.	Automotive Liability (Bodily Injury)	\$100,000/\$300,000
b.	Automotive Property Damage (to others)	\$ 25,000

4. The vendor shall provide a Certificate of Insurance (COI) as proof that the vendor has the required insurance. The COI shall be provided prior to agency contact prior to any work being completed by the awarded vendor(s).
5. The State of Delaware shall not be named as an additional insured.
6. Should any of the above described policies be cancelled before expiration date thereof, notice will be delivered in accordance with the policy provisions.

g. Performance Requirements

The selected Vendor will warrant that it possesses, or has arranged through subcontractors, all capital and other equipment, labor, materials, and licenses necessary to carry out and complete the work hereunder in compliance with any and all Federal and State laws, and County and local ordinances, regulations and codes.

h. Vendor Emergency Response Point of Contact

The awarded vendor(s) shall provide the name(s), telephone, or cell phone number(s) of those individuals who can be contacted twenty four (24) hours a day, seven (7) days a week where there is a critical need for commodities or services when the Governor of the State of Delaware declares a state of emergency under the Delaware Emergency Operations Plan or in the event of a local emergency or disaster where a state governmental entity requires the services of the vendor. Failure to provide this information could render the proposal as non-responsive.

In the event of a serious emergency, pandemic or disaster outside the control of the State, the State may negotiate, as may be authorized by law, emergency performance from the Contractor to address the immediate needs of the State, even if not contemplated under the original Contract or procurement. Payments are subject to appropriation and other payment terms.

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i. Warranty

The Vendor warrants that the professional services detailed in this RFP will be provided at or above the applicable and appropriate professional standard of care in the State of Delaware.

j. Costs and Payment Schedules

All contract costs must be as detailed specifically in the Vendor's cost proposal. No charges other than as specified in the proposal shall be allowed without written consent of the State of Delaware. The proposal costs shall include full compensation for all taxes that the selected vendor is required to pay.

The State of Delaware will require a payment schedule based on defined and measurable milestones. Payments for services will not be made in advance of work performed. The State of Delaware may require holdback of contract monies until acceptable performance is demonstrated (as much as 25%).

k. Optional Performance Incentives

The State of Delaware may include in the final contract penalty provisions for non-performance, such as liquidated damages. Vendors are encouraged to include performance incentive structures that are aimed at achieving optimal performance by the Vendor. Such proposed Performance Incentive structures may be accepted or rejected in the sole discretion of the State of Delaware.

l. Termination of Contract

The contract resulting from this RFP may be terminated as follows by **DIVISION OF SUBSTANCE ABUSE & MENTAL HEALTH**.

1. **Termination for Cause:** If, for any reasons, or through any cause, the Vendor fails to fulfill in timely and proper manner its obligations under this Contract, or if the Vendor violates any of the covenants, agreements, or stipulations of this Contract, the State shall thereupon have the right to terminate this contract by giving written notice to the Vendor of such termination and specifying the effective date thereof, at least twenty (20) days before the effective date of such termination. In that event, all finished or unfinished documents, data, studies, surveys, drawings, maps, models, photographs, and reports or other material prepared by the Vendor under this Contract shall, at the option of the State, become its property, and the Vendor shall be entitled to receive just and equitable compensation for any satisfactory work completed on such documents and other materials which is usable to the State.

On receipt of the contract cancellation notice from the State, the Vendor shall have no less than five (5) days to provide a written response and may identify a method(s) to resolve the violation(s). A vendor response shall not effect or prevent the contract cancellation unless the State provides a written acceptance of the vendor response. If the State does accept the Vendor's method and/or action plan to correct the identified deficiencies, the State will define the time by which the Vendor must fulfill its corrective obligations. Final retraction of the State's termination for cause will only occur after the Vendor successfully rectifies the original violation(s). At its discretion the State may reject in writing the Vendor's proposed action plan and proceed with the original contract cancellation timeline.

2. **Termination Without Cause:** The State may terminate this Contract at any time for any reason or no reason by giving written notice of such termination and specifying the effective date thereof, at least twenty (20) days before the effective date of such

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termination. In that event, all finished or unfinished documents, data, studies, surveys, drawings, models, photographs, reports, supplies, and other materials shall, at the option of the State, become its property and the Vendor shall be entitled to receive compensation for any satisfactory work completed on such documents and other materials, and which is usable to the State.

3. **Termination for Non-Appropriations:** In the event the General Assembly fails to appropriate the specific funds necessary to enter into or continue the contractual agreement, in whole or part, the agreement shall be terminated as to any obligation of the State requiring the expenditure of money for which no specific appropriation is available at the end of the last fiscal year for which no appropriation is available or upon the exhaustion of funds.

m. Non-discrimination

In performing the services subject to this RFP the vendor, as set forth in Title 19 Delaware Code Chapter 7 section [711](#), will agree that it will not discriminate against any employee or applicant with respect to compensation, terms, conditions or privileges of employment because of such individual's race, marital status, genetic information, color, age, religion, sex, sexual orientation, gender identity, or national origin. The successful vendor shall comply with all federal and state laws, regulations and policies pertaining to the prevention of discriminatory employment practice. Failure to perform under this provision constitutes a material breach of contract.

n. Covenant against Contingent Fees

The successful vendor will warrant that no person or selling agency has been employed or retained to solicit or secure this contract upon an agreement of understanding for a commission or percentage, brokerage or contingent fee excepting bona-fide employees, bona-fide established commercial or selling agencies maintained by the Vendor for the purpose of securing business. For breach or violation of this warranty the State of Delaware shall have the right to annul the contract without liability or at its discretion to deduct from the contract price or otherwise recover the full amount of such commission, percentage, brokerage or contingent fee.

o. Vendor Activity

No activity is to be executed in an off shore facility, either by a subcontracted firm or a foreign office or division of the vendor. The vendor must attest to the fact that no activity will take place outside of the United States in its transmittal letter. Failure to adhere to this requirement is cause for elimination from future consideration.

p. Vendor Responsibility

The State will enter into a contract with the successful Vendor(s). The successful Vendor(s) shall be responsible for all products and services as required by this RFP whether or not the Vendor or its subcontractor provided final fulfillment of the order. Subcontractors, if any, shall be clearly identified in the Vendor's proposal by completing Attachment 6, and are subject the approval and acceptance of **DIVISION OF SUBSTANCE ABUSE & MENTAL HEALTH**.

q. Personnel, Equipment and Services

1. The Vendor represents that it has, or will secure at its own expense, all personnel required to perform the services required under this contract.
2. All of the equipment and services required hereunder shall be provided by or performed by the Vendor or under its direct supervision, and all personnel, including

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subcontractors, engaged in the work shall be fully qualified and shall be authorized under State and local law to perform such services.

3. None of the equipment and/or services covered by this contract shall be subcontracted without the prior written approval of the State. Only those subcontractors identified in Attachment 6 are considered approved upon award. Changes to those subcontractor(s) listed in Attachment 6 must be approved in writing by the State.

r. Fair Background Check Practices

Pursuant to 29 Del. C. [§6909B](#) and effective November 4, 2014 the State does not consider the criminal record, criminal history, credit history or credit score of an applicant for state employment during the initial application process unless otherwise required by state and/or federal law. Vendors doing business with the State are encouraged to adopt fair background check practices. Vendors can refer to 19 Del. C. [§711\(g\)](#) for applicable established provisions.

s. Vendor Background Check Requirements

Vendor(s) selected for an award that access state property or come in contact with vulnerable populations, including children and youth, shall be required to complete background checks on employees serving the State's on premises contracts. Unless otherwise directed, at a minimum, this shall include a check of the following registry:

- Delaware Sex Offender Central Registry at:
<https://desexoffender.dsp.delaware.gov/SexOffenderPublic/>

Individuals that are listed in the registry shall be prevented from direct contact in the service of an awarded state contract, but may provide support or off-site premises service for contract vendors. Should an individual be identified and the Vendor(s) believes their employee's service does not represent a conflict with this requirement, may apply for a waiver to the primary agency listed in the solicitation. The Agency's decision to allow or deny access to any individual identified on a registry database is final and at the Agency's sole discretion.

By Agency request, the Vendor(s) shall provide a list of all employees serving an awarded contract, and certify adherence to the background check requirement. Individual(s) found in the central registry in violation of the terms stated, shall be immediately prevented from a return to state property in service of a contract award. A violation of this condition represents a violation of the contract terms and conditions, and may subject the Vendor to penalty, including contract cancellation for cause.

Individual contracts may require additional background checks and/or security clearance(s), depending on the nature of the services to be provided or locations accessed, but any other requirements shall be stated in the contract scope of work or be a matter of common law. The Vendor(s) shall be responsible for the background check requirements of any authorized Subcontractor providing service to the Agency's contract.

t. Work Product

All materials and products developed under the executed contract by the vendor are the sole and exclusive property of the State. The vendor will seek written permission to use any product created under the contract.

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u. Contract Documents

The RFP, the purchase order, the executed contract and any supplemental documents between the State of Delaware and the successful vendor shall constitute the contract between the State of Delaware and the vendor. In the event there is any discrepancy between any of these contract documents, the following order of documents governs so that the former prevails over the latter: contract, State of Delaware's RFP, Vendor's response to the RFP and purchase order. No other documents shall be considered. These documents will constitute the entire agreement between the State of Delaware and the vendor.

v. Applicable Law

The laws of the State of Delaware shall apply, except where Federal Law has precedence. The successful vendor consents to jurisdiction and venue in the State of Delaware.

In submitting a proposal, Vendors certify that they comply with all federal, state and local laws applicable to its activities and obligations including:

1. the laws of the State of Delaware;
2. the applicable portion of the Federal Civil Rights Act of 1964;
3. the Equal Employment Opportunity Act and the regulations issued there under by the federal government;
4. a condition that the proposal submitted was independently arrived at, without collusion, under penalty of perjury; and
5. that programs, services, and activities provided to the general public under resulting contract conform with the Americans with Disabilities Act of 1990, and the regulations issued there under by the federal government.

If any vendor fails to comply with (1) through (5) of this paragraph, the State of Delaware reserves the right to disregard the proposal, terminate the contract, or consider the vendor in default.

The selected vendor shall keep itself fully informed of and shall observe and comply with all applicable existing Federal and State laws, and County and local ordinances, regulations and codes, and those laws, ordinances, regulations, and codes adopted during its performance of the work.

w. Severability

If any term or provision of this Agreement is found by a court of competent jurisdiction to be invalid, illegal or otherwise unenforceable, the same shall not affect the other terms or provisions hereof or the whole of this Agreement, but such term or provision shall be deemed modified to the extent necessary in the court's opinion to render such term or provision enforceable, and the rights and obligations of the parties shall be construed and enforced accordingly, preserving to the fullest permissible extent the intent and agreements of the parties herein set forth.

x. Scope of Agreement

If the scope of any provision of the contract is determined to be too broad in any respect whatsoever to permit enforcement to its full extent, then such provision shall be enforced to the maximum extent permitted by law, and the parties hereto consent and agree that

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such scope may be judicially modified accordingly and that the whole of such provisions of the contract shall not thereby fail, but the scope of such provisions shall be curtailed only to the extent necessary to conform to the law.

y. Affirmation

The Vendor must affirm that within the past five (5) years the firm or any officer, controlling stockholder, partner, principal, or other person substantially involved in the contracting activities of the business is not currently suspended or debarred and is not a successor, subsidiary, or affiliate of a suspended or debarred business.

z. Audit Access to Records

The Vendor shall maintain books, records, documents, and other evidence pertaining to this Contract to the extent and in such detail as shall adequately reflect performance hereunder. The Vendor agrees to preserve and make available to the State, upon request, such records for a period of five (5) years from the date services were rendered by the Vendor. Records involving matters in litigation shall be retained for one (1) year following the termination of such litigation. The Vendor agrees to make such records available for inspection, audit, or reproduction to any official State representative in the performance of their duties under the Contract. Upon notice given to the Vendor, representatives of the State or other duly authorized State or Federal agency may inspect, monitor, and/or evaluate the cost and billing records or other material relative to this Contract. The cost of any Contract audit disallowances resulting from the examination of the Vendor's financial records will be borne by the Vendor. Reimbursement to the State for disallowances shall be drawn from the Vendor's own resources and not charged to Contract cost or cost pools indirectly charging Contract costs.

aa. Other General Conditions

- 1. Current Version** – “Packaged” application and system software shall be the most current version generally available as of the date of the physical installation of the software.
- 2. Current Manufacture** – Equipment specified and/or furnished under this specification shall be standard products of manufacturers regularly engaged in the production of such equipment and shall be the manufacturer’s latest design. All material and equipment offered shall be new and unused.
- 3. Volumes and Quantities** – Activity volume estimates and other quantities have been reviewed for accuracy; however, they may be subject to change prior or subsequent to award of the contract.
- 4. Prior Use** – The State of Delaware reserves the right to use equipment and material furnished under this proposal prior to final acceptance. Such use shall not constitute acceptance of the work or any part thereof by the State of Delaware.
- 5. Status Reporting** – The selected vendor will be required to lead and/or participate in status meetings and submit status reports covering such items as progress of work being performed, milestones attained, resources expended, problems encountered and corrective action taken, until final system acceptance.
- 6. Regulations** – All equipment, software and services must meet all applicable local, State and Federal regulations in effect on the date of the contract.
- 7. Changes** – No alterations in any terms, conditions, delivery, price, quality, or specifications of items ordered will be effective without the written consent of the State of Delaware.

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8. Purchase Orders – Agencies that are part of the First State Financial (FSF) system are required to identify the contract number on all Purchase Orders (P.O.) and shall complete the same when entering P.O. information in the state’s financial reporting system.

9. Additional Terms and Conditions – The State of Delaware reserves the right to add terms and conditions during the contract negotiations.

E. RFP Miscellaneous Information

1. No Press Releases or Public Disclosure

The State of Delaware reserves the right to pre-approve any news or broadcast advertising releases concerning this solicitation, the resulting contract, the work performed, or any reference to the State of Delaware with regard to any project or contract performance. Any such news or advertising releases pertaining to this solicitation or resulting contract shall require the prior express written permission of the State of Delaware.

The State will not prohibit or otherwise prevent the awarded vendor(s) from direct marketing to the State of Delaware agencies, departments, municipalities, and/or any other political subdivisions, however, the Vendor shall not use the State’s seal or imply preference for the solution or goods provided.

2. Definitions of Requirements

To prevent any confusion about identifying requirements in this RFP, the following definition is offered: The words *shall*, *will* and/or *must* are used to designate a mandatory requirement. Vendors must respond to all mandatory requirements presented in the RFP. Failure to respond to a mandatory requirement may cause the disqualification of your proposal.

3. Production Environment Requirements

The State of Delaware requires that all hardware, system software products, and application software products included in proposals be currently in use in a production environment by a least three other customers, have been in use for at least six months, and have been generally available from the manufacturers for a period of six months. Unreleased or beta test hardware, system software, or application software will not be acceptable.

F. Attachments

The following attachments and appendixes shall be considered part of the solicitation:

- Attachment 1 – No Proposal Reply Form
- Attachment 2 – Non-Collusion Statement
- Attachment 3 – Exceptions
- Attachment 4 – Confidentiality and Proprietary Information
- Attachment 5 – Business References
- Attachment 6 – Subcontractor Information Form
- Attachment 7 – Monthly Usage Report
- Attachment 8 – Subcontracting (2nd Tier Spend) Report
- Attachment 9 – Employing Delawareans Report
- Attachment 10 – Office of Supplier Diversity Application
- Appendix A – Minimum Response Requirements

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- Appendix B – Scope of Work / Technical Requirements
- Appendix C – Bidders Signature Form
- Appendix D – Certification Sheet
- Appendix E – Statement of Compliance Form
- Appendix F – Contract Boilerplate

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IMPORTANT – PLEASE NOTE

- **Attachments 2, 3, 4, 5, 9 Appendices A-E must be included in your proposal**
- Attachment 6 must be included in your proposal if subcontractors will be involved
- Attachments 7 and 8 represent required reporting on the part of awarded vendors. Those bidders receiving an award will be provided with active spreadsheets for reporting.

REQUIRED REPORTING

One of the primary goals in administering this contract is to keep accurate records regarding its actual value/usage. This information is essential in order to update the contents of the contract and to establish proper bonding levels if they are required. The integrity of future contracts revolves around our ability to convey accurate and realistic information to all interested parties.

A complete and accurate Usage Report (Attachment 7) shall be furnished in an **Excel format and submitted electronically**, no later than the 15th (or next business day after the 15th day) of each month, detailing the purchasing of all items on this contract. The reports shall be submitted and sent as an attachment to dsambusinessoperations@state.de.us. Submitted reports shall contain accurate descriptions of the products, goods or services procured, purchasing agency information, including the six-digit department and organization code, quantities procured and prices paid. Any exception to this mandatory requirement or failure to submit complete reports, or in the format required, may result corrective action, up to and including the possible cancellation of the award. Failure to provide the report with the minimum required information may also negate any contract extension clauses. Additionally, Vendors who are determined to be in default of this mandatory report requirement may have such conduct considered against them, in assessment of responsibility, in the evaluation of future proposals.

Reporting is required by Executive Order.

In accordance with Executive Order 44, the State of Delaware is committed to supporting its diverse business industry and population. The successful Vendor will be required to accurately report on the participation by Diversity Suppliers which includes: minority (MBE), woman (WBE), veteran owned business (VOBE), or service disabled veteran owned business (SDVOBE) under this awarded contract. The reported data elements shall include but not be limited to; name of state contract/project, the name of the Diversity Supplier, Diversity Supplier contact information (phone, email), type of product or service provided by the Diversity Supplier and any minority, Men, veteran, or service disabled veteran certifications for the subcontractor (State OSD certification, Minority Supplier Development Council, Men's Business Enterprise Council, VetBiz.gov). The format used for Subcontracting 2nd Tier report is shown as in Attachment 8.

Accurate 2nd tier reports shall be submitted to the contracting Agency's Office of Supplier Diversity at vendorusage@state.de.us on the 15th (or next business day) of the month following each quarterly period. For consistency quarters shall be considered to end the last day of March, June, September and December of each calendar year. Contract spend during the covered periods shall result in a report even if the contract has expired by the report due date.

Additional program required reporting is identified in **Appendix B**.

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Attachment 1

NO PROPOSAL REPLY FORM

Contract No. HSS-15-041

Contract Title: INTENSIVE CASE
MANAGEMENT SERVICES

To assist us in obtaining good competition on our Request for Proposals, we ask that each firm that has received a proposal, but does not wish to bid, state their reason(s) below and return in a clearly marked envelope displaying the contract number. This information will not preclude receipt of future invitations unless you request removal from the Vendor's List by so indicating below, or do not return this form or bona fide proposal.

Unfortunately, we must offer a "No Proposal" at this time because:

- _____ 1. We do not wish to participate in the proposal process.

- _____ 2. We do not wish to bid under the terms and conditions of the Request for Proposal document. Our objections are:

- _____ 3. We do not feel we can be competitive.

- _____ 4. We cannot submit a Proposal because of the marketing or franchising policies of the manufacturing company.

- _____ 5. We do not wish to sell to the State. Our objections are:

- _____ 6. We do not sell the items/services on which Proposals are requested.

- _____ 7. Other: _____

_____ FIRM NAME

_____ SIGNATURE

_____ We wish to remain on the Vendor's List **for these goods or services.**

_____ We wish to be deleted from the Vendor's List **for these goods or services.**

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Attachment 2

CONTRACT NO.: HSS-15-041
CONTRACT TITLE: INTENSIVE CASE MANAGEMENT SERVICES
DEADLINE TO RESPOND: August 11, 2015 at 11:00 AM (Local Time)

NON-COLLUSION STATEMENT

This is to certify that the undersigned Vendor has neither directly nor indirectly, entered into any agreement, participated in any collusion or otherwise taken any action in restraint of free competitive bidding in connection with this proposal, **and further certifies that it is not a sub-contractor to another Vendor who also submitted a proposal as a primary Vendor in response to this solicitation** submitted this date to the State of Delaware, DIVISION OF SUBSTANCE ABUSE & MENTAL HEALTH

It is agreed by the undersigned Vendor that the signed delivery of this bid represents, subject to any express exceptions set forth at Attachment 3, the Vendor's acceptance of the terms and conditions of this solicitation including all specifications and special provisions.

NOTE: Signature of the authorized representative **MUST** be of an individual who legally may enter his/her organization into a formal contract with the State of Delaware, DIVISION OF SUBSTANCE ABUSE & MENTAL HEALTH.

COMPANY NAME _____ (Check one)

<input type="checkbox"/>	Corporation
<input type="checkbox"/>	Partnership
<input type="checkbox"/>	Individual

NAME OF AUTHORIZED REPRESENTATIVE _____
 (Please type or print)

SIGNATURE _____ TITLE _____

COMPANY ADDRESS _____

PHONE NUMBER _____ FAX NUMBER _____

EMAIL ADDRESS _____

FEDERAL E.I. NUMBER _____ STATE OF DELAWARE LICENSE _____

COMPANY CLASSIFICATIONS: CERT. NO.: _____	Certification type(s)	Circle all that apply	
	Minority Business Enterprise (MBE)	Yes	No
Woman Business Enterprise (WBE)	Yes	No	
Disadvantaged Business Enterprise (DBE)	Yes	No	
Veteran Owned Business Enterprise (VOBE)	Yes	No	
Service Disabled Veteran Owned Business Enterprise (SDVOBE)	Yes	No	

[The above table is for informational and statistical use only.]

PURCHASE ORDERS SHOULD BE SENT TO:
 (COMPANY NAME) _____

ADDRESS _____

CONTACT _____

PHONE NUMBER _____ FAX NUMBER _____

EMAIL ADDRESS _____

AFFIRMATION: Within the past five years, has your firm, any affiliate, any predecessor company or entity, owner, Director, officer, partner or proprietor been the subject of a Federal, State, Local government suspension or debarment?

YES _____ NO _____ if yes, please explain _____

THIS PAGE SHALL HAVE ORIGINAL SIGNATURE, BE NOTARIZED AND BE RETURNED WITH YOUR PROPOSAL

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SWORN TO AND SUBSCRIBED BEFORE ME this _____ day of _____, 20 _____

Notary Public _____ My commission expires _____

City of _____ County of _____ State of _____

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Attachment 5

Contract No. HSS-15-041
Contract Title: INTENSIVE CASE MANAGEMENT SERVICES

BUSINESS REFERENCES

List a minimum of three business references, including the following information:

- Business Name and Mailing address
- Contact Name and phone number
- Number of years doing business with
- Type of work performed

Please do not list any State Employee as a business reference. If you have held a State contract within the last 5 years, please provide a separate list of the contract(s).

1.	Contact Name & Title:	
	Business Name:	
	Address:	
	Email:	
	Phone # / Fax #:	
	Current Vendor (YES or NO):	
	Years Associated & Type of Work Performed:	

2.	Contact Name & Title:	
	Business Name:	
	Address:	
	Email:	
	Phone # / Fax #:	
	Current Vendor (YES or NO):	
	Years Associated & Type of Work Performed:	

3.	Contact Name & Title:	
	Business Name:	
	Address:	
	Email:	
	Phone # / Fax #:	
	Current Vendor (YES or NO):	
	Years Associated & Type of Work Performed:	

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Attachment 6

SUBCONTRACTOR INFORMATION FORM

PART I – STATEMENT BY PROPOSING VENDOR		
1. CONTRACT NO. HSS-15-041	2. Proposing Vendor Name:	3. Mailing Address
4. SUBCONTRACTOR		
a. NAME	4c. Company OSD Classification: Certification Number: _____	
b. Mailing Address:	4d. Men Business Enterprise <input type="checkbox"/> Yes <input type="checkbox"/> No 4e. Minority Business Enterprise <input type="checkbox"/> Yes <input type="checkbox"/> No 4f. Disadvantaged Business Enterprise <input type="checkbox"/> Yes <input type="checkbox"/> No 4g. Veteran Owned Business Enterprise <input type="checkbox"/> Yes <input type="checkbox"/> No 4h. Service Disabled Veteran Owned Business Enterprise <input type="checkbox"/> Yes <input type="checkbox"/> No	
5. DESCRIPTION OF WORK BY SUBCONTRACTOR		
6a. NAME OF PERSON SIGNING	7. BY (<i>Signature</i>)	8. DATE SIGNED
6b. TITLE OF PERSON SIGNING		
PART II – ACKNOWLEDGEMENT BY SUBCONTRACTOR		

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9a. NAME OF PERSON SIGNING	10. BY (<i>Signature</i>)	11. DATE SIGNED
9b. TITLE OF PERSON SIGNING		

* Use a separate form for each subcontractor

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Attachment 8

SAMPLE REPORT - FOR ILLUSTRATION PURPOSES ONLY

State of Delaware																
Subcontracting (2nd tier) Quarterly Report																
Prime Name:							Report Start Date:									
Contract Name/Number							Report End Date:									
Contact Name:							Today's Date:									
Contact Phone:							*Minimum Required		Requested detail							
Vend or Name*	Vend or TaxID*	Contra ct Name/ Numb er*	Vend or Conta ct Name *	Vend or Conta ct Phone *	Repo rt Start Date *	Repo rt End Date *	Amount Paid to Subcontrac tor*	Work Performe d by Subcontr actor UNSPSC	M/WB E Certify ing Agenc y	Veteran /Service Disabled Veteran Certifyin g Agency	2nd tier Suppl ier Name	2nd tier Suppl ier Addr ess	2nd tier Suppl ier Phone Numb er	2nd tier Suppl ier email	Descrip tion of Work Perform ed	2n d tie r Su ppl ier Ta x Id

Note: A copy of the Subcontracting Quarterly Report will be sent by electronic mail to the Awarded Vendor.

Completed reports shall be saved in an Excel format, and submitted to the following email address: vendorusage@state.de.us

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Attachment 9

Contract No. HSS-15-041
Contract Title: INTENSIVE CASE MANAGEMENT SERVICES

EMPLOYING DELAWAREANS REPORT

As required by House Bill # 410 (Bond Bill) of the 146th General Assembly and under Section 30, No bid for any public works or professional services contract shall be responsive unless the prospective bidder discloses its reasonable, good-faith determination of:

1. Number of employees reasonable anticipated to be employed on the project: _____
2. Number and percentage of such employees who are bona fide legal residents of Delaware: _____
Percentage of such employees who are bona fide legal residents of Delaware: _____
3. Total number of employees of the bidder: _____
4. Total percentage of employees who are bona fide resident of Delaware: _____

If subcontractors are to be used:

1. Number of employees who are residents of Delaware: _____
2. Percentage of employees who are residents of Delaware: _____

“Bona fide legal resident of this State” shall mean any resident who has established residence of at least 90 days in the State.

Attachment 10

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State of Delaware

**Office of Supplier Diversity
Certification Application**

The most recent application can be downloaded from the following site:

<http://gss.omb.delaware.gov/osd/certify.shtml>

Submission of a completed Office of Supplier Diversity (OSD) application is optional and does not influence the outcome of any award decision.

The minimum criteria for certification require the entity must be at least 51% owned and actively managed by a person or persons who are eligible: minorities, Men, veterans, and/or service disabled veterans. Any one or all of these categories may apply to a 51% owner.



Complete application and mail, email or fax to:

Office of Supplier Diversity (OSD)
100 Enterprise Place, Suite 4
Dover, DE 19904-8202
Telephone: (302) 857-4554 Fax: (302) 677-7086
Email: osd@state.de.us
Web site: <http://gss.omb.delaware.gov/osd/index.shtml>

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**APPENDIX A
MINIMUM MANDATORY SUBMISSION REQUIREMENTS**

Vendors shall provide proposal packages in the following formats:

1. Ten (10) paper copies of the vendor proposal paperwork. **One (1) paper copy must be an original copy, marked “ORIGINAL” on the cover, and contain original signatures.**
2. Three (3) electronic copies of the vendor proposal saved to CD media disk. Copy of electronic price file shall be a separate file from all other files on the electronic copy. (If Agency has requested multiple electronic copies, each electronic copy must be on a separate computer disk or media).

Each vendor solicitation response should contain at a minimum the following information:

1. Transmittal Letter as specified on page 1 of the Request for Proposal including an Applicant's experience, if any, providing similar services.
2. The remaining vendor proposal package shall identify how the vendor proposes meeting the contract requirements and shall include pricing. Vendors are encouraged to review the Evaluation criteria identified to see how the proposals will be scored and verify that the response has sufficient documentation to support each criteria listed.
3. Pricing as identified in the solicitation
4. One (1) complete, signed and notarized copy of the non-collusion agreement (See Attachment 2). Bid marked “ORIGINAL”, **MUST HAVE ORIGINAL SIGNATURES AND NOTARY MARK.** All other copies may have reproduced or copied signatures – Form must be included.
5. One (1) completed RFP Exception form (See Attachment 3) – please check box if no information – Form must be included.
6. One (1) completed Confidentiality Form (See Attachment 4) – please check if no information is deemed confidential – Form must be included.
7. One (1) completed Business Reference form (See Attachment 5) – please provide references other than State of Delaware contacts – Form must be included.
8. One (1) complete and signed copy of the Subcontractor Information Form (See Attachment 6) for each subcontractor – only provide if applicable.
9. One (1) complete Employing Delawareans Report (See Attachment 9)
10. One (1) complete OSD application (See link on Attachment 10) – only provide if applicable
11. Applicant must describe how it will perform the services as described in **Appendix B.**

The items listed above provide the basis for evaluating each vendor’s proposal. **Failure to provide all appropriate information may deem the submitting vendor as “non-responsive” and exclude the vendor from further consideration.** If an item listed above is not applicable to your company or proposal, please make note in your submission package.

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BUSINESS PROPOSAL REQUIREMENTS

The proposed annual operating budget is to capture the requirements of the successful vendor in meeting the service requirements of the program. The sample line item budget to be submitted as part of this RFP is to reflect the proposed operational costs of providing these services and will not be the basis of reimbursement in the awarded contract. The electronic version will also be published on the website as part of the question and answers addendum.

Vendor is required to submit technology costs that the State will be directly or indirectly responsible for as part of this contract. The vendor will break down technology costs into three categories for implementation and the same three categories for out-year costs:

1. Hardware
2. Software
3. Technical staffing

For vendor-hosted websites, hosting costs can be allocated to the above categories at the discretion of the vendor

The Business Proposals and all budget information must be presented separate from the Technical Proposal.

Applicant will demonstrate corporate capability:

Financial stability as determined by review of financial information provided by the Vendor; perceived ability to start up and manage the program in the time required using the staff, structure and phase in required in the RFP. Financial stability should be demonstrated through production of balance sheets and income statements or other generally accepted business record for the last 3 years that includes the following: the Vendor's Earnings before Interest & Taxes, Total Assets, Net Sales, Market Value of Equity, Total Liabilities, Current Assets, Current Liabilities, and Retained Earnings.

In addition to financial information, discuss any corporate reorganization or restructuring that has occurred within the last three years and discuss how the restructuring will impact the Vendor's ability to provide services proposed. The vendor must disclose the existence of any related entities (sharing corporate structure or principal officers) doing business in the field of correctional health care. The DSAMH reserves the right to terminate the contract, based upon merger or acquisition of the Vendor, during the course of the contract. The vendor must include a description of any current or anticipated business or financial obligations, which will coincide with the term of this contract.

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Funding and Program Capacity

DSAMH will enter into a Fee for Service contract with the successful proposer(s) to provide the range of services stipulated in this RFP and will provide payment only for uninsured individuals. It is expected that the services obtained as a result of this RFP will increase throughout the course of the project. Services will be provided and billed in accordance with the Delaware PROMISE Service Certification and Reimbursement Manual. A copy will be distributed at the pre-bid meeting and will be posted on the DSAMH website. DSAMH will reimburse for uninsured and underinsured clients. The successful bidder will be qualified to enroll in the Medicaid program to receive payment for Medicaid enrolled clients as well.

Procedure/taxonomy codes to be used for ACT services:

Proposer must indicate acceptance of the reimbursement rates identified below.

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**Delaware Intensive Case Management (ICM) and Assertive Community Treatment (ACT) Billing
 Guidance and Rate Development**

ICM Billing Guidance

ICM 15-minute units may only be billed when the ICM practitioner has performed a medically necessary face-to-face service with the beneficiary or a family member for that time. Small ICM teams serve, on average, 100 or fewer beneficiaries. Large ICM teams serve, on average, 101–200 beneficiaries.

- ICM practitioners may only bill for a 15-minute unit if at least eight (8) minutes of service is provided.
- Group ICM contacts are not reimbursable.
- Practitioners may not bill for services included in the 15-minute units and also bill for that service outside of the 15-minute rate for consumers enrolled in ICM.
- All services require prior authorizations.

ICM Rate Summary (New Teams — First Year Rate) — 15 Minute Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	15 minute	\$35.42	\$35.10	H0036 HO
Bachelors Therapist	15 minute	\$28.54	\$28.22	H0036 HN
Peer/High School	15 minute	\$28.54	\$28.22	H0036 HM
Doctor/Psychiatrist	15 minute	\$73.81	\$73.63	H0036 AM
Advanced Practice Registered Nurse (APRN)	15 minute	\$38.60	\$38.42	H0036 HP
Nurse	15 minute	\$22.42	\$22.23	H0036 TD

ICM Rate Summary (Established Teams) — 15 Minute Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	15 minute	\$30.25	\$29.93	H0036 HO
Bachelors Therapist	15 minute	\$24.47	\$24.15	H0036 HN
Peer/High School	15 minute	\$24.47	\$24.15	H0036 HM
Doctor/Psychiatrist	15 minute	\$60.49	\$60.31	H0036 AM
APRN	15 minute	\$31.72	\$31.54	H0036 HP
Nurse	15 minute	\$18.51	\$18.31	H0036 TD

Licensed Direct Care staff must provide services within the scope of practice for their license under State law.

The following activities may not be billed or considered the activity for which the ICM 15-minute unit is billed and will be recouped if found in an audit:

- Contacts that are not medically necessary.
- Time spent doing, attending, or participating in recreational activities.
- Services provided to teach academic subjects or as a substitute for educational personnel such as, but not limited to, a teacher, teacher's aide, or an academic tutor.

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- Habilitative services for the beneficiary (adult) to acquire, retain, and improve the self-help, socialization, and adaptive skills necessary to reside successfully in community settings.
- Child Care services or services provided as a substitute for the parent or other individuals responsible for providing care and supervision.
- Respite care.
- Transportation for the beneficiary or family. Services provided in the car are considered Transportation and time may not be billed for ICM. Additional medical transportation for non-PROMISE service needs not considered part of ICM Program Services may be covered by the transportation broker through the State Plan. Medical transportation to ICM providers may not be billed to the transportation broker.
- Services provided to beneficiaries under age 18.
- Covered services that have not been rendered.
- Services provided before the department or its designee (including the prepaid inpatient health plan) has approved authorization.
- Services rendered that are not in accordance with an approved authorization.
- Services not identified on the beneficiary's (adult's) authorized ICM participant-directed Recovery Plan or PROMISE Recovery Plan.
- Services provided without prior authorization by the department or its designee.
- Services not in compliance with the contract or the ICM provider certification service manual.
- Services provided to children, spouse, parents, or siblings of the eligible beneficiary under treatment or others in the eligible beneficiary's life to address problems not directly related to the eligible beneficiary's issues and not listed on the eligible beneficiary's ICM participant-directed Recovery Plan or PROMISE Recovery Plan..
- Services provided that are not within the provider's scope of practice.
- Any art, movement, dance, or drama therapies.
- Anything not included in the approved ICM service description.
- Changes made to ICM that do not follow the requirements outlined in the provider contract and provider certification service manual.
- Any intervention or contact not documented or consistent with the approved treatment/recovery plan goals, objectives, and approved services will not be reimbursed.
- Employment of the beneficiary. Under the PROMISE HCBS program, ICM includes non-job specific vocational training, employment assessments, and ongoing support to maintain employment. ACT may also pay for the Medical services that enable the beneficiary to function in the workplace, including ACT services such as a psychiatrist's or psychologist's treatment, rehabilitation planning, therapy, and counseling that enable the beneficiary to function in the workplace. Note: if Supported Employment is separately listed on the beneficiary's Recovery Plan as a covered PROMISE service, qualified bachelor's level practitioners enrolled as Employment Specialists under PROMISE may bill for one bachelor's level per diem rate per month of Supported Employment after the Vocational Rehabilitation Job Placement services (typically 90-days after placement) are exhausted.

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ACT Billing Guidance

ACT per diems may only be billed on days when the ACT team has performed a face-to-face service with the beneficiary or a family member. Only one per diem per category of practitioner type on each team may be billed per beneficiary per day. All other contacts, meetings, travel time, etc., are considered indirect costs and are accounted for in the build-up of the per diem rate. Small ACT teams serve, on average, 70 or fewer beneficiaries. Large ACT teams serve, on average, 71–100 beneficiaries.

- For an ACT team per diem to be generated, a 15-minute or longer face-to-face contact that meets all requirements outlined below must occur. A 15-minute contact is defined as lasting at least eight (8) minutes. Group contacts alone are not permitted as a face-to-face contact for generating an ACT per diem rate.
- ACT practitioners using a 15-minute unit rate, may only bill for a 15-minute unit if at least eight (8) minutes of service is provided.
- Group ACT contacts are not reimbursable.
- Practitioners may not bill for services included in the ACT per diem or 15-minute units and also bill for that service outside of the per diem/15-minute rate for enrolled beneficiaries.
- All services require prior authorizations.
- The Psychiatric prescriber shall be physically located at the home clinic of the ACT team in order to provide office-based services and services in the community when indicated.
- With the prior approval of the Division of Substance Abuse and Mental Health (DSAMH), Psychiatric prescribers may be accessed via videoconferencing/tele-psychiatry consistent with State tele-medicine requirements for a period of up to six (6) months. At DSAMH's discretion, DSAMH may extend this authorization for an additional six (6) months.⁸

Non-Fidelity ACT Rate Level

A team that does not have an ACT provisional, basic, moderately-high, or high level fidelity rating (see definitions below) can only bill at the non-fidelity ACT rate.

Provisional Fidelity Level

A new ACT team can be certified at a provisional fidelity level for six (6) months if it has submitted the required documentation to the DSAMH Quality Assurance Unit. At that time, the ACT team must undergo a mock fidelity review by DSAMH and achieve an average Tools for Measurement of Assertive Community Treatment (TMACT)

⁸ Consultations, office visits, individual psychotherapy, and pharmacological management services under ACT prescriber- as outlined above for the time granted by the waiver only may be reimbursed when provided via Health Insurance Portability & Accountability Act compliant telecommunication technology. The consulting or expert physician must bill the ACT procedure code (HCPC codes) and will be reimbursed at the same rate as a face-to-face service for ACT physician. Providers must follow all applicable federal and State security and procedure guidelines for telemedicine. Face-to-face ACT includes a therapist in a different room/location from the client/family, but in the same building, with real-time visual and audio transmission from the therapy room and two-way audio transmission between client and/or family member and therapist. The practice must be in accord with documented evidence-based practices of ACT as approved by DSAMH. If not in the same building, then telemedicine requirements and reimbursement would apply. Telemedicine services must comply with Delaware's telemedicine requirements including, but not limited to:

- Obtaining member's written consent;
- Licensure and enrollment requirements;
- Written contingency planning;
- Implementation of confidentiality protocols; and
- Billing practices and requirements.

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fidelity score of 2.0 or greater. In order to achieve a provisional fidelity level, the team must also achieve minimum fidelity rating scores on certain aspects of TMACT fidelity:

- A minimum average rating of 3.0 across the following items from the operations and structure (OS) subscale must be achieved:
 - OS1 — Low ratio of beneficiaries to staff.
 - OS5 — Program size.
 - OS6 — Priority service population.
 - OS10 — Retention rate.
- A minimum average rating of 3.0 on the entire core team (CT) subscale must be received.
- A minimum rating of 3.0 on core practices (CP) subscale CP1 — community-based services item must be received.

A team meeting provisional fidelity will be able to be reimbursed at the basic fidelity level for up to one (1) year from the date of its initial provisional fidelity level certification. During the year following the provisional fidelity level certification, the team must comply with DSAMH requirements to carry out a full fidelity assessment and achieve a fidelity rating of at least basic level fidelity. After 12 months from the provisional fidelity level certification date, if the team has failed to meet at least basic level fidelity, it will revert to the non-fidelity ACT billing rate. At any time during the 12-month period of provisional fidelity level certification, DSAMH can request additional information to assess any questions that may arise regarding any TMACT fidelity metric. At the time of request, all subsequent billing will be pended subject to verification of the identified TMACT fidelity metric. If the additional review reveals that the fidelity score for any identified metric falls below a 1.0, the team will have 90 days to demonstrate capacity at a level above 1.0 for each identified metric. If such capacity is not demonstrated to the satisfaction of DSAMH, billing will revert to the non-fidelity ACT level for all pended and future services until at least basic fidelity level is achieved on those identified metrics.

Once the year of provisional fidelity is completed, DSAMH may place any ACT team not reaching basic fidelity on a corrective action plan, not to exceed 90 days. During that time, the team may bill ACT rates. If the team is not at basic fidelity at that time, the team must bill non-fidelity ACT rates until basic fidelity is achieved.

Basic Fidelity Level

ACT teams scoring an overall TMACT fidelity score of at least 3.0 may bill for up to four (4) per diems per month per beneficiary when all other requirements for a visit are met (i.e., a face-to-face service with the beneficiary or family member). *Medically necessary care consistent with the fidelity model should be delivered even if beyond the minimum number of units permitted to be billed under this reimbursement strategy.* The team must also achieve the following minimum fidelity rating scores on certain aspects of TMACT fidelity:

- A minimum average rate of 3.0 across the following items from the OS subscale must be achieved:
 - OS1 — Low ratio of beneficiaries to staff.
 - OS5 — Program size.
 - OS6 — Priority service population.

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- OS10 — Retention rate.
- A minimum average rating of 3.0 on the CT subscale must be received.
- A minimum rating of 3.0 on CP subscale CP1 — community-based services item must be received.
- At any time during the 12-month period of basic fidelity level certification, DSAMH can request additional information to assess any questions that may arise regarding any TMACT fidelity metric. At the time of request, all subsequent billing will be pended subject to verification of the identified TMACT fidelity metric. If the additional review reveals that the fidelity score for any identified metric falls below the standards for OS, CT, and CP1 listed above, the team will have 90 days to demonstrate capacity at a level above the required minimums for each identified metric. If such capacity is not demonstrated to the satisfaction of DSAMH, billing will revert to the non-fidelity ACT level for all pended and future services until at least basic fidelity level is achieved on those identified metrics.

Practitioners on the ACT teams are subject to the following billing limits per category per month per beneficiary, not to exceed a total of four (4) per diems (as defined above) per beneficiary in total from any combination of practitioners (Note: the billing must be based on actual services provided to the beneficiary and *medically necessary care consistent with the fidelity model should be delivered even if beyond the minimum number of units permitted to be billed under this reimbursement strategy.*):

- Category 1: Physicians and APRNs may not bill more than one (1) per diem for a beneficiary per month in total.
- Category 2: Any combination of Psychologist, master’s level, Team Leader, LCSW, LPC, LMFT, LAC, behavioral health other, RN, and LPN may not bill more than one (1) per diem for a beneficiary in a monthly total. Ideally, this visit will not be in a clinic setting.
- Category 3: All other practitioners on the ACT teams may bill up to two (2) per diems for a beneficiary in a monthly total. Ideally, these visits will not be in a clinic setting.

Note: Only one practitioner across all categories may bill on the same day (e.g., only one per diem can be billed on a given day). IESS provided by an ACT team requires prior authorization and is billed only when Supported Employment goals and activities are specifically outlined on the beneficiary’s Recovery Plan. The team may bill up to one extra bachelor’s level unit (i.e., 5th per diem) for the team Vocational Specialist per month when vocational activities were conducted with the team consistent with the TMACT fidelity model. Documentation must be maintained regarding the vocational activities performed and the goals/activities completed for each individual in the beneficiary’s medical record.

Moderately High Fidelity Level

ACT teams scoring an overall TMACT fidelity score of at least 3.5 when all other requirements are met (i.e., a face-to-face service with the beneficiary or family member) are considered moderately high fidelity. In addition to the average score, teams must meet the following specific TMACT requirements:

- A minimum average rate of 3.5 across the following items from the OS subscale must be achieved:
 - OS5 — Program size.
 - OS6 — Priority service population (which must be at least 4).

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- OS9 — Transition to less Intensive services.
- OS10 — Retention rate.
- A minimum average rating of 4 on the CT subscale must be received.
- A minimum rating of 4 on CP subscale CP1 — community-based services item must be received.
- A minimum average rating of 3 on the person-based planning (PP) subscale must be received.
- At any time during the 12-month period of moderately high fidelity level certification, DSAMH can request additional information to assess any questions that may arise regarding any TMACT fidelity metric. At the time of request, all subsequent billing will be pended subject to verification of the identified TMACT fidelity metric. If the additional review reveals that the fidelity score for any identified metric falls below the standards for OS, CT, CP1, and PP listed above, the team will have 90 days to demonstrate capacity at a level above the required minimums for each identified metric. If a team meets moderately high fidelity, DSAMH may consider permitting additional per diems via prior authorization as necessary to meet moderately high fidelity standards. However, if such capacity is not demonstrated to the satisfaction of DSAMH, billing will revert to the basic level for all pended and future services until at least moderately high fidelity level is achieved on those identified metrics.

High Fidelity Level

ACT teams scoring a TMACT fidelity score of at least 4.2 when all other requirements are met (i.e., a face-to-face service with the beneficiary or family member) is considered high fidelity. In addition, teams must meet the following specific TMACT requirements (similar to Level 2 teams):

- A minimum average rate of 4 across the following items from the OS subscale must be achieved:
 - OS5 — Program size.
 - OS6 — Priority service population (this item must score a 5).
 - OS9 — Transition to less Intensive services.
 - OS10 — Retention rate.
- A minimum average rating of 4 on the CT subscale must be received.
- A minimum rating of 4 on CP1 – community-based services item must be received.
- A minimum average rating of 3.7 on the following subscales:
 - PP subscale.
 - Specialist team subscale.
 - Evidence-based Practice (EBP) subscale.
- At any time during the 12-month period of high fidelity level certification, DSAMH can request additional information to assess any questions that may arise regarding any TMACT fidelity metric. At the time of request, all subsequent billing will be pended subject to verification of the identified TMACT fidelity metric. If the additional review reveals that the fidelity score for any identified metric falls below the standards for OS, CT, CP1, PP, specialist, and EBPs listed above, the team will have 90 days to demonstrate capacity at a level above the required minimums for each identified metric. If a team meets high fidelity, DSAMH may consider permitting

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additional per diems via prior authorization as necessary to meet high fidelity standards. However, if such capacity is not demonstrated to the satisfaction of DSAMH, billing will revert to the Basic level for all pended and future services until at least moderately high or high fidelity level is achieved on those identified metrics.

ACT Rate Summary (New Teams — First Year Rate with Provisional Cert) — Per Diem Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	Per Diem	\$ 208.21	\$195.91	H0040 HO
Bachelors Therapist	Per Diem	\$ 177.04	\$165.80	H0040 HN
Peer/High School	Per Diem	\$ 170.88	\$159.83	H0040 HM
Doctor/Psychiatrist	Per Diem	\$ 685.11	\$658.31	H0040 AM
APRN	Per Diem	\$ 518.71	\$496.96	H0040 HP
Nurse	Per Diem	\$ 256.54	\$242.74	H0040 TD

ACT Rate Summary (Established Teams) — Per Diem Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	Per Diem	\$197.09	\$187.15	H0040 HO
Bachelors Therapist	Per Diem	\$167.59	\$158.39	H0040 HN
Peer/High School	Per Diem	\$161.76	\$152.69	H0040 HM
Doctor/Psychiatrist	Per Diem	\$648.54	\$628.90	H0040 AM
APRN	Per Diem	\$491.03	\$474.76	H0040 HP
Nurse	Per Diem	\$242.85	\$231.89	H0040 TD

ACT Rate Summary (New Teams — First Year) — 15 Minute Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	15 minute	\$54.25	\$52.59	H0039 HO
Bachelors Therapist	15 minute	\$43.97	\$42.37	H0039 HN
Peer/High School	15 minute	\$43.97	\$42.37	H0039 HM
Doctor/Psychiatrist	15 minute	\$140.42	\$139.24	H0039 AM
APRN	15 minute	\$75.72	\$74.54	H0039 HP
Nurse	15 minute	\$42.69	\$41.51	H0039 TD

ACT Rate Summary (Established Teams) — 15 Minute Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	15 minute	\$29.49	\$28.53	H0039 HO
Bachelors Therapist	15 minute	\$24.29	\$23.35	H0039 HN
Peer/High School	15 minute	\$23.46	\$22.52	H0039 HM
Doctor/Psychiatrist	15 minute	\$114.00	\$113.03	H0039 AM
APRN	15 minute	\$61.60	\$60.74	H0039 HP
Nurse	15 minute	\$35.01	\$34.04	H0039 TD

Non-Fidelity ACT Rate Summary (New Teams — First Year) — Per Diem Rate

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Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	Per Diem	\$ 197.80	\$186.11	H0037 HO
Bachelors Therapist	Per Diem	\$ 168.19	\$157.51	H0037 HN
Peer/High School	Per Diem	\$ 162.33	\$151.84	H0037 HM
Doctor/Psychiatrist	Per Diem	\$ 650.85	\$625.39	H0037 AM
Nurse Practitioner	Per Diem	\$ 492.78	\$472.11	H0037 HP
Nurse	Per Diem	\$ 243.72	\$230.60	H0037 TD

Non-Fidelity ACT Rate Summary (Established Teams) — Per Diem Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	Per Diem	\$187.24	\$177.80	H0037 HO
Bachelors Therapist	Per Diem	\$159.21	\$150.47	H0037 HN
Peer/High School	Per Diem	\$153.67	\$145.05	H0037 HM
Doctor/Psychiatrist	Per Diem	\$616.11	\$597.45	H0037 AM
APRN	Per Diem	\$466.48	\$451.02	H0037 HP
Nurse	Per Diem	\$230.71	\$220.30	H0037 TD

Licensed Direct Care staff must provide services within the scope of practice for their license under State law.

The following activities may not be billed or considered the activity for which the ACT 15 minute/per diem is billed and recouped if found in an audit:

- Contacts that are not medically necessary.
- Time spent doing, attending, or participating in recreational activities.
- Services provided to teach academic subjects or as a substitute for educational personnel such as, but not limited to, a teacher, teacher's aide, or an academic tutor.
- Habilitative services for the beneficiary (adult) to acquire, retain, and improve the self-help, socialization, and adaptive skills necessary to reside successfully in community settings.
- Child Care services or services provided as a substitute for the parent or other individuals responsible for providing care and supervision.
- Respite care.
- Transportation for the beneficiary or family. Services provided in the car are considered Transportation and time may not be billed for ACT. Additional medical transportation for non-PROMISE service needs not considered part of ACT Program Services may be covered by the transportation broker through the State Plan. Medical transportation to ACT providers may not be billed to the transportation broker.
- Services provided to beneficiaries under age 18.
- Covered services that have not been rendered.
- Services provided before the department or its designee (including the prepaid inpatient health plan) has approved authorization.

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- Services rendered that are not in accordance with an approved authorization.
- Services not identified on the beneficiary's authorized ACT participant-directed Recovery Plan or PROMISE Recovery Plan.
- Services provided without prior authorization by the department or its designee.
- Services not in compliance with the contract or the ACT service manual and not in compliance with fidelity standards.
- Services provided to children, spouse, parents, or siblings of the eligible beneficiary under treatment or others in the eligible beneficiary's life to address problems not directly related to the eligible beneficiary's issues and not listed on the eligible beneficiary's ACT participant-directed Recovery Plan or PROMISE Recovery Plan..
- Services provided that are not within the provider's scope of practice.
- Any art, movement, dance, or drama therapies.
- Anything not included in the approved ACT service description.
- Changes made to ACT that do not follow the requirements outlined in the provider contract, service manual, or ACT fidelity standards.
- Any intervention or contact not documented or consistent with the approved treatment/recovery plan goals, objectives, and approved services will not be reimbursed.
- Employment of the beneficiary. Under the PROMISE HCBS program, ACT includes non-job specific vocational training, employment assessments, and ongoing support to maintain employment. ACT may also pay for the medical services that enable the beneficiary to function in the workplace, including ACT services such as a psychiatrist's or psychologist's treatment, rehabilitation planning, therapy, and counseling that enable the beneficiary to function in the workplace. Note: if Supported Employment is separately listed on the individuals Recovery Plan as a covered PROMISE service, qualified bachelor's level practitioners enrolled as Employment Specialists under PROMISE may bill for one (1) bachelor's level per diem rate per month of Supported Employment after the Vocational Rehabilitation Job Placement services (typically 90-days after placement) are exhausted.

**APPENDIX B
SCOPE OF WORK AND TECHNICAL REQUIREMENTS**

Proposed Methodology and Work Plan

This section shall describe in detail the approach that will be taken to carry out the activities described in the Scope of Services section of this RFP. Specific completion dates for the various tasks must be shown. The work plan shall outline specific objectives, activities and strategies, and resources.

Scope of Services:

The contractor is required to manage a program model that consists of a (up to) 200 person ICM team. The staffing composition for these teams must be based DSAMH Certification Standards (staff to client ratios of 1:20). The services of these teams are described below and in DSAMH certification standards. The contractor must adopt an assessment process, approved by DSAMH, which evaluates the needs of the individual to remain in this level of care or be referred for services that are of greater or lesser intensity of services than the ICM levels of care. ASAM patient placement criteria are to be a key element in decisions about an individual's remaining in ICM or another level of care.

A. Goals

The primary and mandatory Intensive Care Management (ICM) program elements include:

1. Primary Goals:

- a) To lessen or eliminate critical health and safety issues, that each individual client might experience, toward preventing or mitigating these signs, symptoms, and/or social issues that could lead to crisis situations and the need for re-hospitalization.
- b) To assist the individual in achieving their maximum recovery potential from the effects of institutionalization, their mental condition and co-occurring substance use conditions
- c) To improve the overall medical and physical health of the individual
- d) To meet basic human needs and enhance quality of life.
- e) To improve the client's opportunity to be successful in social and employment roles and activities.
- f) To increase community tenure in a setting and home of that client's choice.
- g) To partner with families and/or significant other in supporting the individual's recovery if these people are available. Otherwise to try and find families and significant others to engage.

2. Fundamental principles:

- a) The ICM team is the primary provider of services and, as such, functions as the fixed point of responsibility for outcomes for people that they serve.
- b) As the client becomes more independent, the ICM team will work to link the consumer to community supports, with the ultimate goal of discharging the client to the community provider.
- c) ICM services are provided primarily in the community.
- d) The services are person centered and individualized to each client.

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- e) Each member of the team, including the person receiving services, is accountable to work together to ensure that they do whatever needs to be done to assist the consumer in meeting their individual goals and service and treatment needs.
- f) Services are delivered in a continuous, rather than time limited framework, for as long as the individual meets the DSAMH defined criteria for inclusion in these programs.
- g) Services are trauma informed and will avoid coercion or paternalistic approaches to individuals in care.
- h) Empower and inspire clients through a shared decision making process to assist them in the achievement of health and wellness goals.

3. Program Capacity, Certification and Deliverables

The contractor will implement an ICM team in a region determined by DSAMH, providing treatment and support services to individuals diagnosed with serious and persistent mental illness who may also have a co-occurring addictive disorder. Each team will provide ongoing outreach, monitoring, behavioral health treatment, medication management, case management and service coordination to up to 200 individuals.

DSAMH ICM certification standards

- a) The teams will provide comprehensive, individualized services in an integrated, continuous fashion through a collaborative relationship with persons with SPMI. The team's delivery of treatment, rehabilitation, and support services is proactive and based on a comprehensive history and ongoing assessment of:
 - i. Psychiatric history, status, and diagnosis
 - ii. Psychiatric evaluation
 - iii. Client's strengths, internal assets and goals (based on the client's hopes, dreams and aspirations) this information will be carefully evaluated.
 - iv. Housing choices for a community living situation
 - v. Vocational, educational, volunteer and social interests and capacities
 - vi. Self care abilities
 - vii. Family and social relationships
 - viii. Family education and support needs
 - ix. Physical health issues
 - x. Alcohol and drug use
 - xi. Medication education and efficacy
 - xii. Legal situation
 - xiii. Personal and environmental resources
- b) The team(s) will provide trauma informed, recovery oriented services in a person-centered manner, with the goal of treatment being improvement in a safe living environment, the opportunity to connect with other social partners, skills imparted to help individuals with SMI to learn how to manage their illnesses or symptoms so that the person can eventually move out of the formal DSAMH system of care. DSAMH expects to see performance outcomes that demonstrate the above goals and also that reflect a concurrent reduction in hospitalization and incarcerations.

B. Deliverables

- 1. The contractor will develop, implement and operate an Intensive Care Management Team serving adults with serious and persistent mental illness. The overall goals here are: 1) provision of safety, 2)

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connections with others to build a natural support system, and 3) cultivate and maximize the use of community resources and supports to attain and maintain optimal health.

2. The ICM Teams will provide treatment and support to individuals diagnosed with serious and persistent mental illness and who also may have a co-occurring addictive disorder. The teams will provide ongoing outreach, monitoring, behavioral health treatment, medication management, care management, linkages with housing, crisis management, primary health and coordination of all health related services.
3. The contractor will develop a formalized cooperative relationship with a local FQHC or a number of primary care physician(s) that will provide ongoing primary care health prevention and treatment services to team members who lack a medical home. The costs for these primary care services are **not** to be included in the funding for this program. The goal is for the selected contractor to leverage the existing community based primary care services for individuals within the program. DSAMH will allow a limited use of client assistance funds to help meet primary care service costs that are not funded by another source (e.g. Health Resources and Services Administration – HRSA).
4. The Contractor will develop a cooperative relationship with the Supervised Apartment Program Staff provider to insure sufficient, appropriate and ongoing communication of information. The Contractor is expected to:
 - Recognize and respect the shared responsibility for SAP residents
 - Provide to the SAP staff provider a face sheet, medication sheet and crisis plan for each resident
 - Coordinate treatment planning meetings to establish a Collaborative Treatment Plan between the Contractor and the SAP staff provider, which will be submitted to the EEU for redetermination at least annually or at the request of the EEU.
5. DSAMH expects a process to address modifiable risk factors such as obesity and physical inactivity which contribute to an increase in health problems in individuals with mental illness. The process will include, but is not limited to health education, monitoring of vital signs, BMI, “My plate” – the new USDA Food Pyramid, and other tools to assist individuals to make better food, drink and activity choices.
6. The contractor will accept for service any individual assigned to its ICM team by the DSAMH Eligibility and Enrollment Unit (EEU).

C. Programmatic Requirements

The following guidelines will apply to the provision of services for an ICM program:

1. Services will maintain best practice guidelines of the ICM model as defined by the DSAMH certification standards and the USDOJ settlement agreement.
2. Contractor shall have sufficient clinical and administrative infrastructure to insure that it is capable of meeting certification standards.
3. The contractor, when developing a new team, must be prepared to meet provisional certification at the beginning of the contract or within 90 days of beginning of the contract period.
4. Within the first year of providing ICM services, the contractor must be prepared to meet full certification based on minimum standards promulgated by DSAMH by the end of the contract year.
5. At least 40% of all face to face contacts with consumers will take place in the community in settings other than the agency’s offices and/or day programs and include periodic psychiatric appointments with

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the team's psychiatrist. The majority of services will be provided in the home and community where the consumer lives rather than in an office, unless requested by the consumer and substantiated in the clinical record. Individuals may attend day programs; however the clinical rationale and the consumer's choice must be of utmost importance when justifying this attendance. Participation in a "day program" does not meet these standards and cannot be used as leverage to access housing or other services provided by the contractor. (For example: housing agreements or access to other services cannot be contingent upon whether or not a consumer participates in a particular day program. Likewise, housing and other services may not be withdrawn based on a consumer's decision to stop participation in a day program or any other services.). Day programs have no evidence base and are being phased out nationally. Unless the provider can show that these programs are more than sit, smoke and wish programs they are going to be phased out. Clients mostly need to attend Peer Run Drop in Centers instead of Day Programs.

6. Services will be provided twenty-four (24) hours a day, seven (7) days a week.
7. The teams will assume responsibility for providing supports required to assist the individuals in maintaining community placement in safe, affordable, stable housing. DSAMH will not allow services to be subcontracted for individuals assigned to the Contractor without DSAMH prior approval.
8. Program provided and or supported housing must meet the following criteria from the USDOJ Settlement Agreement:
 - a) Housing units are scattered-site or scattered in a single building with no more than 20% of the total building population having mental health or substance use (co-occurring conditions) as best as can be determined.
 - b) A wide array of flexible, individualized services and supports is available to ensure successful tenancy and support participants' recovery and engagement in community life.
 - c) Services are delinked from housing. **Participants are not required to use services or supports to receive or keep their housing.**
 - d) Those participants who are competent have the final say in choosing their housing unit, any roommates (if they choose not to live alone) and which services and supports (if any) they want to use.
 - e) Participants have the same rights and responsibilities as all other tenants. They should be given any accommodations necessary to help ensure successful tenancy.
9. Contractor shall utilize a "housing first" approach and will demonstrate the ability to assist individuals in finding and maintaining safe affordable housing of the consumer's choice and that is not accompanied with other barriers to employment such as a clear criminal background check, state identification card, or any mandate that mandatory services are expected.
10. Contractors will abide by the housing standards as set forth in Appendix A and related attachments to this contract.
11. Caseloads will be maintained at a 1:20 staff to consumer ratio per ICM team.
12. A team approach will be utilized in which team members are familiar with the needs of each consumer served by the team and are capable of providing the appropriate treatment interventions to them when called upon to do so.
13. Multiple team members will interact with each consumer in any given day/week/month. For new consumers to the team and/or consumers who are in need of more support the team will provide up to one contact per day when needed. The team will provide at least 2.5 hours of contact per month for clients who are determined by the program prescriber to be stable.

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14. The teams will have weekly meetings at which time each consumer's needs are reviewed and treatment strategies are delineated. Clients and natural supports should be included in weekly meetings as determined necessary by the team and the client and at a minimum of one time per month.
15. The teams will have responsibility for acute crisis services, by providing 24 hour coverage; with staff being available either by phone or in person, as appropriate, to help diffuse crisis situations and maintain community status. The contactor is not permitted to use automated phone trees as its answering service.
16. When psychiatric hospitalization is unavoidable (including voluntary and involuntary admissions to an inpatient psychiatric service or inpatient services for a somatic complaint), the teams will be involved in both the admission and discharge process (in a minimum of 95% of incidents), ensuring that continuity of care occurs through providing information upon admission and assisting in arranging for services to begin immediately upon discharge. For acute hospitalizations, the team of the individual hospitalized must meet with the client at least one (1) time per week throughout their inpatient stay. The team prescriber shall establish communication with the inpatient treating prescriber within 24 hours of admission, coordinating inpatient treatment. The Team Leader of prescriber shall communicate and coordinate treatment needs and begin discharge planning with the client and the inpatient team at least one (1) time per week. For inpatient stays exceeding thirty (30) days, the Contractor shall present to the inpatient treatment team meetings at least weekly beginning on the fifth week of hospitalization until the individual is discharged. Each Contractor has the ability to assign one agency staff member to service as a liaison between the Contractor agency and DPC to fulfill the discharge planning duties, assuring that documentation reflects the presence of the team in the discharge planning duties, assuring that documentation reflects the presence of the team in the discharge planning process for those hospitalizations that exceed thirty (30) days. All activities of coordination between the Community-based team and the inpatient team shall be documented using the Community and Hospital Coordinated Care (CHCC) form, where a copy is provided to the inpatient facility for their records.
17. The services will be provided on a time-unlimited basis; with high retention of consumers who still meet eligibility for services.
18. An appropriate level of services will be provided to each consumer; with frequency and duration of each contact being provided at a level specific to consumer need. For ICM clients, the individual should be seen at a minimum of 2.5 hours per month including at least one 45 minute counseling session by a licensed professional to maintain status in the program. More frequent contact is expected for new clients and clients who are experiencing an increased need for support. As consumers become more independent, contact should become less frequent consistent with the consumer's increasing level of independence.
19. Consumers on ICM teams should have the goal of stepping down to clinic level services as part of their recovery plans with less frequent services as part of the recovery plan and beginning any time after the first four weeks of service. Service contact less than 2.5 hours per month must be documented by the team as part of the transition plan to the community and become a part of the Recovery Plan and Discharge/transition plan.
20. The teams will provide support (i.e. education, advocacy) to the consumer's support network, inclusive of family, friends, employers, and landlords, advocating on the consumer's behalf, and assisting these supporters in better working with the consumers themselves. Consumer supports will be invited to scheduled team meetings to discuss progress and ongoing support for the consumer.
21. Individualized addiction treatment will be provided to those consumers for whom this is appropriate; co-occurring treatment groups will also be provided offsite of the ICM administrative offices, though they do not take the place of individualized treatment. Addiction/Mental Health treatment will also include Motivational Enhancement Therapy (MET), and other best practices.

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22. The ICM program utilizes a treatment model that is non-confrontational, follows best practice trauma informed and recovery oriented principles, considers interactions of mental illness and substance abuse, and has gradual expectations for abstinence from substance use.
23. Contractor will develop and implement a Quality Assurance/Performance Improvement (QA/PI) Program designed to ensure services are consistently delivered to consumers in accordance with the Scope of Services and program certification standards. The program will also assure that services are consumer driven and recovery oriented and trauma informed. Results of QA/PI activities will be written and submitted to DSAMH on a monthly basis on all benchmarks.
24. Contractor will comply with all record reporting systems required and provided by DSAMH/DHSS.
25. The Teams will provide the following supports and services to consumers:
 - a) Needs assessment, including a trauma assessment, and individualized care plan development. These will include items relevant for any specialized interventions, such as linkages with the forensic system for consumers involved in the judicial system. In particular, the assessment will include: Items related to court orders, identified within 30 days of admission and updated every 90 days or as new court orders are received
 - b) Crisis assessment and intervention
 - c) Medication administration, monitoring, education and documentation of issues with that individual including their complaints on medication side effects.
 - d) Skills training in activities related to self-care and daily life management including utilization of public transportation, maintenance of living environment, money management, meal preparation, locating and maintaining a home, skills in landlord/tenant negotiations and renter's rights and responsibilities
 - e) Social skills training and rehabilitation necessary for functioning in a work, educational, volunteer, leisure or other community environment.
 - f) Supported Employment services will be provided to any individual who wants to work and who is in need of supports.
 - g) Peer support (see appendix B-1).
 - h) Addiction treatment and education including counseling, relapse prevention, harm reduction, anger and stress management. It is expected that addiction treatment and education will occur within the program. The decision to refer an individual out for these services must be documented and supported in the clinical record.
 - i) Referral and linkage or direct assistance to ensure that individuals obtain the basic necessities of daily life including medical, social, financial supports
 - j) Training to promote positive money management skills that support the individual managing their own funds.
 - k) Education, support, and consultation to individuals' families and other major supports
 - l) Monitoring and follow up to help determine if psychiatric, substance abuse, mental health support and health related services are being delivered as set forth in the care plan, adequacy of services in the plan and changes, needs or status of consumer
26. The team will assist the consumer in applying for benefits. This includes Medicaid Social Security benefits, Prescription Assistance Programs and any other entitlements for which they qualify
27. For those clients with forensic involvement, the team will provide advocacy, education, and linkage with the criminal justice system to ensure the consumer's needs are met with regard to their judicial involvement, and that they fully understand their Court Orders. The team will also maintain continued contact with individuals who become incarcerated for shorter periods of time to help insure greater continuity of service both within the facility and upon release from a correctional facility.

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28. For those clients with a representative payee, the team will work with the client and the representative payee to insure that the client's financial needs are met, coordinated and monitored. In addition, the team will work with the client as well as the payee to reach the goal of financial independence; however that is defined for the client based on his/her needs and financial skills.
29. Service provision for ICM will be based on comprehensive history and ongoing assessment of:
- a) Psychiatric history, status, and previous diagnosis.
 - b) Client strengths and goals.
 - c) ASAM (using the Delaware specific instrument) Assessment
 - d) Psychiatric evaluation
 - e) Housing and living situation
 - f) Vocational, educational, and social interests and capacities
 - g) Self-care abilities
 - h) Family and social relationships including a standardized trauma assessment
 - i) Family education and support needs
 - j) Physical health and wellness goals
 - k) Alcohol and drug use
 - l) Legal situation
 - m) Personal and environmental resources
 - n) Problem Gambling

All assessments will be completed within 30 days of admission. The ASAM assessment, client strengths and goals, psychiatric evaluation and recovery plan will be updated every 6 months; with an additional ASAM score being completed prior to discharge. Recovery plans should also be re-evaluated any time a client experiences a significant life-event (e.g. hospitalization, death of a close friend or family member, significant changes in medications, etc.).

D. Discharges:

An individual may be discharged when he or she declines or refuses services and requests discharge. The team must document best efforts to develop a mutually acceptable person-directed recovery plan with the individual, attempts to utilize appropriate engagement techniques and attempts to engage the individual in services by the team's peer specialist.

The ICM Team shall notify DSAMH a minimum of fourteen (14) days prior to the tentative discharge date of any individual being considered for discharge by ICM team.

The ICM team shall consult and cooperate with DSAMH in the development and implementation of a mutually agreed upon individual retention plan when retention is deemed by DSAMH as preferable to discharge.

The ICM Team shall consult and cooperate with DSAMH in the development and implementation of a mutually agreed upon discharge plan, including referral/transfer to appropriate post-discharge services.

At no time may any client be moved or discharged from services without the approval of the DSAMH. Refusal to serve a client without this vetting process may result in financial consequences of up to \$500 a day for refusal to treat by a provider agency.

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F. Training Requirements

1. The contracted provider is responsible for complying with all DSAMH mandatory training requirements as specified in the contractual scope of work.
2. Specifically and as defined in contract language and certification standards, programs are expected to support their leadership participation and staff participation in DSAMH opportunities (or comparable opportunities with faculty who have a recognized expertise) for training on the following topics:
 - a) ASAM
 - b) Ethics
 - c) ICM Team Service Provision
 - d) Supervision
 - e) Case Management
 - f) Trauma informed-care
 - g) Co-occurring skill building
 - h) Motivational Interviewing , and
 - i) Integration of medical care, including HIV, Hep C, & STDs, with program services for the individual
3. Additionally, programs are expected to provide assistance with Self Administration of Medication (AWSAM) training both prior to their working with consumers and annually thereafter. Programs may work together and/or contract with Delaware nurses who have been authorized by the DBN to provide that training. Within 6 months, all programs shall develop internal program capacity to provide in-service training on AWSAM.
4. Certificates of completion of the recommended training topics as well as in-service participation are to be maintained in personnel files.
5. DSAMH will coordinate mandatory trainings for the ICM providers. DSAMH is noting that these state funded trainings are mandatory for the staff in your agencies that we identify. Unless that staff person can show current successful completion of this same course they will be expected to attend. A pattern or history of non-attendance at DSAMH mandated training will be seen as a violation of your contract with DSAMH going forward. These DSAMH sponsored trainings will be rare but are not optional.

G. Staffing Requirements

The staffing requirements must meet the requirements for ICM under DSAMH Certification Standards.

The average numbers of full-time employees (FTEs) for each level of staff reflected in the ACT and ICM rates are below in Table 1. Note that separate staffing levels were used for large and small team rates. Small ACT teams serve on average 50 clients. Large ACT teams serve on average 100 clients. Small ACT teams may serve no more than 70 clients. Large ACT teams may serve no more than 105 clients. Small ICM teams serve on average 100 or fewer clients. Large ICM teams may serve no more than 200 clients.

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Table 1: Staffing Summary⁹

Staff	Small Team	Large Team
Team Lead	1 FTE	1 FTE
Masters Therapist	2 FTEs	2 FTEs
Bachelors Therapist	1.3 FTEs	2 FTEs
Peer/High School	1 FTE	1 FTE
Doctor/Psychiatrist or APRN	0.5 FTE	1 FTE
Nurse	1.5 FTEs	3 FTEs (one FTE must be a bachelor's)

NOTE: Providers may choose to have 3 Registered Nurse FTE's and 2 Bachelors FTE's with one of the RN's having a Bachelor's Degree or 2 Registered Nurse FTE's and 3 Bachelors FTEs (one could also be a Registered Nurse)

FOR FAMILY PRACTICE NURSE PRACTITIONERS

FOR PSYCHIATRIC NURSE PRACTITIONERS

Psychiatric Nurse Practitioners who are psychiatric prescribers in ACT teams or outpatient mental health clinics or clinics that treat co-occurring disorders must be supervised by a Board Certified Psychiatrist who is licensed in Delaware.

A Psychiatric Nurse Practitioner who is working on an ACT team or an Outpatient program must have a minimum of 2 hours per week of supervision by the Board Certified Psychiatrist.

All Psychiatric Nurse Practitioners working in all DSAMH treatment settings must have ready access to consultation with a Board Certified Psychiatrist who is licensed in Delaware. This access to consultation must be available 24 hours/day, 7 days per week to accommodate the possible emergencies

Contractor is required to submit a list of program staff assigned to these positions that includes a unique identifier (employee number or similar) that will be utilized for service detail submission and invoicing.

Peer staff is not to be subsumed as paraprofessionals on the ICM team. Peer staff performs tasks as outlined in attached the scope of service (Appendix B-1). Peer staff shall be used as paraprofessional Team Members and may not provide medication education, assistance with medication or transportation. Peers shall work with clients to help engage them in services and support them in understanding what a recovery path might mean for them.

Peers assist with medication adherence education only when the team determines that the Peer will have the most success in helping the individual served understand the pros and cons of medication interventions. Peers will not be trained in AWSAM or assigned to assistance with self-administration of medication.

⁹A Program Assistant is also included in the approved staffing but is not listed in the clinical staffing summary.

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When it is determined that Peers are the best choice of staff on the ICM team to assist with medication adherence, the team must document the intervention in the person centered recovery plan and obtain permission from DSAMH prior to putting this practice in place.

Peer services do not include services that are outside of their scope of practice or that are coercive.

1. Due to the complex nature of the services required by this program, DSAMH encourages the hiring of staff that has previous experience providing such services; or knowledge of the ICM model and the intricacies of the provision of the service. DSAMH especially encourages the hiring of staff who are capable of meeting the specialized needs of its consumers.
2. Contractor will train all personnel in the principles and service delivery techniques associated with the recovery philosophy and belief that individuals can and do recover from the effects of the mental illness and/or co-occurring addictive disorder, and that individuals can take ownership for their own recovery plan. Training must emphasize and promote services that are trauma informed throughout the organization.
3. Within 30 days of employment, contractor will provide the following staff orientation and training:
 - a) Crisis assessment and interventions
 - b) Managing aggressive behaviors
 - c) Crisis counseling
 - d) Addictive disorders including co-morbid compulsive gambling
 - e) Co-occurring disorders
 - f) Trauma informed care
 - g) Motivational Enhancement Therapy
 - h) Psychotropic medication, side and adverse effects and drug interactions
 - i) Housing first
 - j) Supports and interventions for persons with co-occurring mental illness and developmental disabilities and/or addictions
 - k) Factors leading to early death
 - l) SAMHSA Consensus Statement on recovery

Annually, the contractor will provide staff training in the following areas:

- a) Working with persons with co-occurring mental illness and developmental disabilities and/or addictions and their families
- b) Crisis prevention and early intervention planning
- c) Team building and team effectiveness
- d) Stress management
- e) Trauma informed care
- f) Harm reduction techniques

H. Record Keeping Requirements

The teams will be responsible for maintaining a medical record on each client and safeguarding the medical record and its contents against loss, tampering, and unauthorized use. The medical record documents information about a consumer's mental illness; rehabilitation; assessment results; recovery plans; and treatment, rehabilitation, and support services received. The records must be comprehensive, up to date, and

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provide evidence of the provision of high quality, comprehensive, person centered treatment, according to the individualized recovery plan goals.

The teams will develop a plan which shall include a process and procedure where clients who are able may document their experiences in their own medical record.

I. Outcome Reporting

Outcomes will be measured through an annual submission of the Consumer Reporting Form (CRF) and a monthly report of key indicators presented in Appendix B-2. Payment for services will be withheld until the required reports are submitted. CRF submission information and instructions are available at <http://www.dhss.delaware.gov/dhss/dsamh/cpfrms.html>

Quality Improvement

All proposals shall include a suggested method for identifying, evaluating and correcting deficiencies in the quality, quantity, effectiveness and failures of services provided under any resulting contract arising out of this RFP. Responsive proposals shall include a specific section entitled “Quality Improvement” which shall include the proposed method by which the provider will identify the overall adequacy of services being provided to PROMISE beneficiaries.

The requirement contained in this paragraph is an essential and material term of any proposal and the failure to include a “Quality Improvement” section shall be grounds to deem such proposals non-responsive. Proposers selected for contract negotiations should be aware that DHSS is required by the Federal government to comply with Medicaid HCBS requirements for person-centered planning, beneficiary satisfaction, and quality of care. DHSS reserves the right to accept or reject, in whole or in part, or negotiate any portion of the proposal’s “Quality Improvement” section during the negotiation phase of this matter. DHSS also reserves the right to attach financial incentives for compliance and financial penalties for non-compliance with the terms and requirements of the “Quality Improvement” section of any contract arising out of this RFP.

Implementation Plan

Applicants must submit an Implementation Plan in chart format with timelines for completion of each activity. The plan must cover start up through program implementation activities, including hiring of key staff.

Geographic Areas to Be Served

Proposers must clearly and specifically describe the geographic area(s) where they will offer the services for which they have applied.

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The proposer must also specify: (a) the number of clients who will be served at one time (program static capacity); and, (b) the number of clients that are expected to be served during one year (program dynamic capacity).

Language Accessibility

The provider must demonstrate that they have access to the requisite language resources for individuals assigned to their program who do not speak English.

Additional Reporting and Record Keeping Requirements

The contractor shall provide monthly statistical reports, as defined by DSAMH, to monitor program activities, client demographics, program performance and outcomes.

The contractor shall ensure the maintenance of complete and accurate records for each PROMISE beneficiary served. Complete the records shall include but are not limited to ACT service agencies findings, and other documentation sufficient to disclose the quantity, quality, appropriateness, and timeliness of services provided under this Contract. The content of the records shall be consistent with the utilization control requirements in 42 CFR Part 456.

The contractor shall ensure that records are maintained in a detailed and comprehensive manner that conforms to good professional health care practice, permits effective professional review and audit processes, and facilitates an adequate system for follow-up. Records must be legible, signed, and dated. Records must be documented accurately and in a timely manner, readily assessable, and permit prompt and systematic retrieval of information.

The contractor shall ensure and maintain the confidentiality of all records. The contractor shall communicate with the PROMISE care manager as necessary for the referral and monitoring of the PROMISE enrollee's health, welfare and verification of service delivery and quality. The contractor shall ensure the prompt transfer of records to other providers in order to effectively coordinate beneficiary services.

Records shall be produced by the contractor and shall be available without charge to duly authorized representatives of the State and CMS to evaluate, through inspections or other means, the quality, appropriateness and timeliness of services provided. The contractor shall provide the State or its authorized representative with access to member's records, whether electronic or paper, within 30 days of the request for medical records. The contractor shall be responsible for any reproduction costs for medical records requested by the State or a Federal agency.

The contractor shall upon the written request of the member, furnish a copy of the beneficiaries's records within 10 calendar days of the receipt of the written request. Each member is entitled to one free copy of his/her records. The fee for additional copies shall not exceed the actual cost of time and material used to compile, copy, and furnish such records.

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The contractor shall comply with a member's request that his/her records be amended or corrected as specified in 45 CFR Part 164.

The Contractor shall ensure that medical records are preserved and maintained for a minimum of five years from expiration of this Contract.

Data Submission

Effective 7/1/2012 all providers submitting electronic data will be required to use the state's Secure File Transfer Protocol (SFTP) site. Providers who are not able to install the SFTP software must submit a request to use other reporting methods. Other reporting methods include encrypted message or hand carried. The request must clearly explain the provider's inability to use the SFTP site. Contact the DSAMH Management Information Systems (MIS) unit for information on creating an account and any other questions or concerns about data reporting requirements.

Data submission elements will be specified in the scope of work for each contract.

To accomplish this several authorization forms need to be completed and returned to the DSAMH MIS unit. In addition, SFTP client software is required to be installed on your computer for the file transfer. This software is available free on the Internet.

The following links contain instructions necessary for setting up the software and authorization forms.

1. Secure File Transfer Memorandum of Agreement
<http://dhss.delaware.gov/dhss/dms/irm/files/sftpmoa01292010.pdf>
2. Secure File Transfer User Procedures
http://dhss.delaware.gov/dhss/dms/irm/files/sftpuserprocedures_20120611.pdf
3. DHSS SFTP Quick Start Guide
<http://dhss.delaware.gov/dhss/dms/irm/files/sftpquickstartguide06112012.pdf>
4. Biggs Data Center User Authorization Form (UAF)
<http://www.dhss.delaware.gov/dms/files/authoriz.pdf>
5. Instructions for completing Biggs Data Center UAF
<http://www.dhss.delaware.gov/dms/files/uafinstructions011007.pdf>
6. Biggs Data Center Non-Disclosure Form
<http://www.dhss.delaware.gov/dhss/dms/files/irmnon-d02072013.pdf>
7. DTI State Information Transport Network (SITN) Acceptable Use Policy
<http://dti.delaware.gov/pdfs/pp/AcceptableUsePolicy.pdf>

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Providers requiring access to the SFTP site must identify an organizational point of contact and list all employees who will require site access. The Provider will maintain the accuracy of the list providing updates to DSAMH as changes occur.

Additional Required Reporting

Proposer must indicate its ability to comply with reporting requirements. These include, but are not limited to:

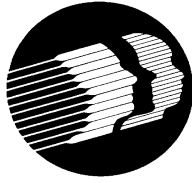
- Statistical data as requested
- Invoice with person level data in prescribed format.
- Annual independent audit as outlined in the awarded contract

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APPENDIX C:

BIDDERS SIGNATURE FORM

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Department of Health & Social Services
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**DELAWARE HEALTH AND SOCIAL SERVICES
REQUEST FOR PROPOSAL**

BIDDERS SIGNATURE FORM

NAME OF BIDDER: _____
SIGNATURE OF AUTHORIZED PERSON: _____
TYPE IN NAME OF AUTHORIZED PERSON: _____
TITLE OF AUTHORIZED PERSON: _____
STREET NAME AND NUMBER: _____
CITY, STATE, & ZIP CODE: _____
CONTACT PERSON: _____
TELEPHONE NUMBER: _____
FAX NUMBER: _____
DATE: _____
BIDDER'S FEDERAL EMPLOYERS IDENTIFICATION NUMBER: _____

THE FOLLOWING MUST BE COMPLETED BY THE VENDOR:

AS CONSIDERATION FOR THE AWARD AND EXECUTION BY THE DEPARTMENT OF HEALTH AND SOCIAL SERVICES OF THIS CONTRACT, THE (COMPANY NAME) _____
HEREBY GRANTS, CONVEYS, SELLS, ASSIGNS, AND TRANSFERS TO THE STATE OF DELAWARE ALL OF ITS RIGHTS, TITLE AND INTEREST IN AND TO ALL KNOWN OR UNKNOWN CAUSES OF ACTION IT PRESENTLY HAS OR MAY NOW HEREAFTER ACQUIRE UNDER THE ANTITRUST LAWS OF THE UNITED STATES AND THE STATE OF DELAWARE, RELATING THE PARTICULAR GOODS OR SERVICES PURCHASED OR ACQUIRED BY THE DELAWARE HEALTH AND SOCIAL SERVICES DEPARTMENT, PURSUANT TO THIS CONTRACT.

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APPENDIX D:
CERTIFICATION SHEET

STATE OF DELAWARE
Department of Health & Social Services
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**DELAWARE HEALTH AND SOCIAL SERVICES
REQUEST FOR PROPOSAL**

CERTIFICATION SHEET

As the official representative for the proposer, I certify on behalf of the agency that:

- a. They are a regular dealer in the services being procured.
- b. They have the ability to fulfill all requirements specified for development within this RFP.
- c. They have independently determined their prices.
- d. They are accurately representing their type of business and affiliations.
- e. They will secure a Delaware Business License.
- f. They have acknowledged that no contingency fees have been paid to obtain award of this contract.
- g. The Prices in this offer have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other contractor or with any competitor;
- h. Unless otherwise required by Law, the prices which have been quoted in this offer have not been knowingly disclosed by the contractor and prior to the award in the case of a negotiated procurement, directly or indirectly to any other contractor or to any competitor; and
- i. No attempt has been made or will be made by the contractor in part to other persons or firm to submit or not to submit an offer for the purpose of restricting competition.
- j. They have not employed or retained any company or person (other than a full-time bona fide employee working solely for the contractor) to solicit or secure this contract, and they have not paid or agreed to pay any company or person (other than a full-time bona fide employee working solely for the contractor) any fee, commission percentage or brokerage fee contingent upon or resulting from the award of this contract.
- k. They (check one) operate ___an individual; ___a Partnership ___a non-profit (501 C-3) organization; ___a not-for-profit organization; or ___for profit corporation, incorporated under the laws of the State of _____.
- l. The referenced offerer has neither directly or indirectly entered into any agreement, participated in any collusion or otherwise taken any action in restraint of free competitive bidding in connection with this bid submitted this date to Delaware Health and Social Services.
- m. The referenced bidder agrees that the signed delivery of this bid represents the bidder's acceptance of the terms and conditions of this invitation to bid including all Specifications and special provisions.

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n. They (check one): _____ are; _____ are not owned or controlled by a parent company. If owned or controlled by a parent company, enter name and address of parent company:

Violations and Penalties:

Each contract entered into by an agency for professional services shall contain a prohibition against contingency fees as follows:

1. The firm offering professional services swears that it has not employed or retained any company or person working primarily for the firm offering professional services, to solicit or secure this agreement by improperly influencing the agency or any of its employees in the professional service procurement process.
2. The firm offering the professional services has not paid or agreed to pay any person, company, corporation, individual or firm other than a bona fide employee working primarily for the firm offering professional services, any fee, commission, percentage, gift, or any other consideration contingent upon or resulting from the award or making of this agreement; and
3. For the violation of this provision, the agency shall have the right to terminate the agreement without liability and at its discretion, to deduct from the contract price, or otherwise recover the full amount of such fee, commission, percentage, gift or consideration.

The following conditions are understood and agreed to:

- a. No charges, other than those specified in the cost proposal, are to be levied upon the State as a result of a contract.
- b. The State will have exclusive ownership of all products of this contract unless mutually agreed to in writing at the time a binding contract is executed.

Date

Signature & Title of Official Representative

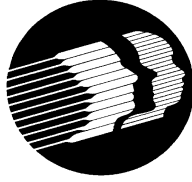
Type Name of Official Representative

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APPENDIX E

STATEMENTS OF COMPLIANCE FORM

STATE OF DELAWARE
Department of Health & Social Services
Division of Substance Abuse & Mental Health



**DELAWARE HEALTH AND SOCIAL SERVICES
REQUEST FOR PROPOSAL**

STATEMENTS OF COMPLIANCE FORM

As the official representative for the contractor, I certify on behalf of the agency that _____ (Company Name) will comply with all Federal and Delaware laws and regulations pertaining to equal employment opportunity and affirmative action. In addition, compliance will be assured in regard to Federal and Delaware laws and regulations relating to confidentiality and individual and family privacy in the collection and reporting of data.

Authorized Signature: _____

Title: _____

Date: _____

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APPENDIX F

Contract Boilerplate

STATE OF DELAWARE
Department of Health & Social Services
Division of Substance Abuse & Mental Health



**DELAWARE HEALTH
AND SOCIAL SERVICES**

PROFESSIONAL SERVICES AGREEMENT

This Agreement (hereafter the "Agreement") is entered into as of _____, 20__ (Effective Date) and will end on _____, 20__, by and between the State of Delaware, Department of Health and Social Services, Division of Substance Abuse & Mental Health, (hereafter "DSAMH" or "Delaware"), and _____ **CONTRACTOR NAME**, a _____ corporation, with offices at _____ (hereafter the "Contractor" and collectively the "Parties").

WHEREAS, Delaware desires to obtain certain services to _____; and _____.

WHEREAS, CONTRACTOR desires to provide such services to Delaware on the terms set forth below;

WHEREAS, Delaware and CONTRACTOR represent and warrant that each party has full right, power and authority to enter into and perform under this Agreement;

FOR AND IN CONSIDERATION OF the premises and mutual agreements herein, Delaware and CONTRACTOR agree as follows:

1. Services.

- 1.1. CONTRACTOR shall perform for Delaware the services specified in the Appendices to this Agreement, attached hereto and made a part hereof.
- 1.2. Any conflict or inconsistency between the provisions of the following documents shall be resolved by giving precedence to such documents in the following order: (1) this Agreement (including any amendments or modifications thereto); (2) Delaware's request for proposals; (3) Divisional Requirements; (4) Scope of work (services Description); (5) Contract Budget; and (6) CONTRACTOR's response to the request for proposals. The aforementioned documents are specifically incorporated into this Agreement and made a part hereof.
- 1.3. Delaware may, at any time, by written order, make changes in the scope of this Agreement and in the services or work to be performed. No services for which additional compensation may be charged by CONTRACTOR shall be furnished, without the written authorization of Delaware. When Delaware desires any addition or deletion to the deliverables or a change in the Services to be provided under this Agreement, it shall notify CONTRACTOR, who shall then submit to Delaware a "Change Order" for approval authorizing said change. The Change Order shall state whether the change shall cause an alteration in the price or the time required by CONTRACTOR for any aspect of its performance under this Agreement. Pricing of changes shall be consistent with those established within this Agreement.

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1.4. CONTRACTOR will not be required to make changes to its scope of work that result in CONTRACTOR's costs exceeding the current unencumbered budgeted appropriations for the services. Any claim of either party for an adjustment under Section 1 of this Agreement shall be asserted in the manner specified in the writing that authorizes the adjustment.

2. Payment for Services and Expenses.

- 2.1. The term of this Agreement shall be from _____, 20__ through _____, 20____. This Agreement may be renewed by mutual written consent of the Parties for ____ additional ____ year periods.
- 2.2. Delaware will pay CONTRACTOR for the performance of services described in Appendix ____, Statement of Work. The fee will be paid in accordance with the payment schedule attached hereto as part of Appendix ____.
- 2.3. Delaware's obligation to pay CONTRACTOR for the performance of services described in Appendix ____, Statement of Work will not exceed the fixed fee amount of \$_____. It is expressly understood that the work defined in the Appendices to this Agreement must be completed by CONTRACTOR and it shall be CONTRACTOR's responsibility to ensure that hours and tasks are properly budgeted so that all services are completed for the agreed upon fixed fee. Delaware's total liability for all charges for services that may become due under this Agreement is limited to the total maximum expenditure(s) authorized in Delaware's purchase order(s) to CONTRACTOR.
- 2.4. CONTRACTOR shall submit monthly invoices to Delaware in sufficient detail to support the services provided during the previous month. Delaware agrees to pay those invoices within thirty (30) days of receipt. In the event Delaware disputes a portion of an invoice, Delaware agrees to pay the undisputed portion of the invoice within thirty (30) days of receipt and to provide CONTRACTOR a detailed statement of Delaware's position on the disputed portion of the invoice within thirty (30) days of receipt. Delaware's failure to pay any amount of an invoice that is not the subject of a good-faith dispute within thirty (30) days of receipt shall entitle CONTRACTOR to charge interest on the overdue portion at the lower of 1.0% per month. All payments should be sent to CONTRACTOR, ADDRESS.
- 2.5. Unless provided otherwise in an Appendix, all expenses incurred in the performance of the services are to be paid by CONTRACTOR. If an Appendix specifically provides for expense reimbursement, CONTRACTOR shall be reimbursed only for reasonable expenses incurred by CONTRACTOR in the performance of the services, including, but not necessarily limited to, travel and lodging expenses, communications charges, and computer time and supplies.
- 2.6. Delaware is a sovereign entity, and shall not be liable for the payment of federal, state and local sales, use and excise taxes, including any interest and penalties from any related deficiency, which may become due and payable as a consequence of this Agreement.
- 2.7. Delaware shall subtract from any payment made to CONTRACTOR all damages, costs and expenses caused by CONTRACTOR's negligence, resulting from or arising out of errors or omissions in CONTRACTOR's work products, which have not been previously paid to CONTRACTOR.

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2.8. Invoices shall be submitted to: dsamhbusinessoperations@state.de.us

3. Responsibilities of CONTRACTOR.

3.1. CONTRACTOR shall be responsible for the professional quality, technical accuracy, timely completion, and coordination of all services furnished by CONTRACTOR, its subcontractors and its and their principals, officers, employees and agents under this Agreement. In performing the specified services, CONTRACTOR shall follow practices consistent with generally accepted professional and technical standards. CONTRACTOR shall be responsible for ensuring that all services, products and deliverables furnished pursuant to this Agreement comply with the standards promulgated by the Department of Technology and Information ("DTI") published at <http://dti.delaware.gov/>, and as modified from time to time by DTI during the term of this Agreement. If any service, product or deliverable furnished pursuant to this Agreement does not conform to DTI standards, CONTRACTOR shall, at its expense and option either (1) replace it with a conforming equivalent or (2) modify it to conform to DTI standards. CONTRACTOR shall be and remain liable in accordance with the terms of this Agreement and applicable law for all damages to Delaware caused by CONTRACTOR's failure to ensure compliance with DTI standards.

3.2. It shall be the duty of the CONTRACTOR to assure that all products of its effort are technically sound and in conformance with all pertinent Federal, State and Local statutes, codes, ordinances, resolutions and other regulations. CONTRACTOR will not produce a work product that violates or infringes on any copyright or patent rights. CONTRACTOR shall, without additional compensation, correct or revise any errors or omissions in its work products.

3.3. Permitted or required approval by Delaware of any products or services furnished by CONTRACTOR shall not in any way relieve CONTRACTOR of responsibility for the professional and technical accuracy and adequacy of its work. Delaware's review, approval, acceptance, or payment for any of CONTRACTOR's services herein shall not be construed to operate as a waiver of any rights under this Agreement or of any cause of action arising out of the performance of this Agreement, and CONTRACTOR shall be and remain liable in accordance with the terms of this Agreement and applicable law for all damages to Delaware caused by CONTRACTOR's performance or failure to perform under this Agreement.

3.4. CONTRACTOR shall appoint a Project Manager who will manage the performance of services. All of the services specified by this Agreement shall be performed by the Project Manager, or by CONTRACTOR's associates and employees under the personal supervision of the Project Manager. The positions anticipated include:

Project	Team	Title	% of Project Involvement
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3.5. Designation of persons for each position is subject to review and approval by Delaware. Should the staff need to be diverted off the project for what are now unforeseeable circumstances, CONTRACTOR will notify Delaware immediately and work out a transition plan that is acceptable to

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both parties, as well as agree to an acceptable replacement plan to fill or complete the work assigned to this project staff position. Replacement staff persons are subject to review and approval by Delaware. If CONTRACTOR fails to make a required replacement within 30 days, Delaware may terminate this Agreement for default. Upon receipt of written notice from Delaware that an employee of CONTRACTOR is unsuitable to Delaware for good cause, CONTRACTOR shall remove such employee from the performance of services and substitute in his/her place a suitable employee.

- 3.6. CONTRACTOR shall furnish to Delaware's designated representative copies of all correspondence to regulatory agencies for review prior to mailing such correspondence.
- 3.7. CONTRACTOR agrees that its officers and employees will cooperate with Delaware in the performance of services under this Agreement and will be available for consultation with Delaware at such reasonable times with advance notice as to not conflict with their other responsibilities.
- 3.8. CONTRACTOR has or will retain such employees as it may need to perform the services required by this Agreement. Such employees shall not be employed by Delaware or any other political subdivision of Delaware.
- 3.9. CONTRACTOR will not use Delaware's name, either express or implied, in any of its advertising or sales materials without Delaware's express written consent.
- 3.10. CONTRACTOR agrees to assist and provide full and complete cooperation in order to support Delaware in coming into substantial compliance with all terms of the Settlement Agreement in the matter *United States v. State of Delaware*, 11-591-LPS until the State is released from all obligations thereunder. Such assistance and cooperation shall include, but not be limited to, the following duties:
 - 3.10.1 Timely production of data and documents necessary to gauge the State's level of compliance with the Settlement Agreement,
 - 3.10.2 The provision of technical assistance with regard to any requirement of the Settlement Agreement that relates to the delivery of services pursuant to this Agreement,
 - 3.10.3 Timely communicate with and respond to Delaware's Settlement Coordinator, and
 - 3.10.4 Refrain from restructuring or limiting its resources in a manner which is inconsistent with the goals and requirements of the Settlement Agreement without the express written consent of Delaware.
- 3.11. All invoices, reports, documents provided in response to an audit, and any documentation provided to Delaware pursuant to any contractual obligation, including any chart or compilation of data, report, or other document produced by the CONTRACTOR shall contain the following certification:

“I hereby certify that the information reported herein is true, accurate and complete. I understand that these reports are made in support of claims for government funds.”

Any certification related to information and documents produced to Delaware shall be certified only by the CONTRACTORs project manager assigned to this Agreement.

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3.12. The rights and remedies of Delaware provided for in this Agreement are in addition to any other rights and remedies provided by law.

4. Time Schedule.

4.1. A project schedule is included in Appendix A.

4.2. Any delay of services or change in sequence of tasks must be approved in writing by Delaware.

4.3. In the event that CONTRACTOR fails to complete the project or any phase thereof within the time specified in the Agreement, or with such additional time as may be granted in writing by Delaware, or fails to prosecute the work, or any separable part thereof, with such diligence as will insure its completion within the time specified in this Agreement or any extensions thereof, Delaware shall suspend the payments scheduled as set forth in Appendix A.

5. State Responsibilities.

5.1. In connection with CONTRACTOR's provision of the Services, Delaware shall perform those tasks and fulfill those responsibilities specified in the appropriate Appendices.

5.2. Delaware agrees that its officers and employees will cooperate with CONTRACTOR in the performance of services under this Agreement and will be available for consultation with CONTRACTOR at such reasonable times with advance notice as to not conflict with their other responsibilities.

5.3. The services performed by CONTRACTOR under this Agreement shall be subject to review for compliance with the terms of this Agreement by Delaware's designated representatives. Delaware representatives may delegate any or all responsibilities under the Agreement to appropriate staff members, or third-party quality review organizations and shall so inform CONTRACTOR by written notice before the effective date of each such delegation.

5.4. The review comments of Delaware's designated representatives may be reported in writing as needed to CONTRACTOR. It is understood that Delaware's representatives' review comments do not relieve CONTRACTOR from the responsibility for the professional and technical accuracy of all work delivered under this Agreement.

5.5. Delaware shall, without charge, furnish to or make available for examination or use by CONTRACTOR as it may request, any non-privileged data which Delaware has available, including as examples only and not as a limitation:

a. Copies of reports, surveys, records, and other pertinent documents;

b. Copies of previously prepared reports, job specifications, surveys, records, ordinances, codes, regulations, other documents, and information related to the services specified by this Agreement.

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CONTRACTOR shall return any original data provided by Delaware.

- 5.6. Delaware shall assist CONTRACTOR in obtaining non-privileged data or documents from public officers or agencies and from private citizens and business firms whenever such material is necessary for the completion of the services specified by this Agreement.
- 5.7. CONTRACTOR will not be responsible for accuracy of information or data supplied by Delaware or other sources to the extent such information or data would be relied upon by a reasonably prudent contractor.
- 5.8. Delaware agrees not to use CONTRACTOR's name, either express or implied, in any of its advertising or sales materials. CONTRACTOR reserves the right to reuse the nonproprietary data and the analysis of industry-related information in its continuing analysis of the industries covered.

6. Work Product.

- 6.1. All materials, information, documents, and reports, whether finished, unfinished, or draft, developed, prepared, completed, or acquired by CONTRACTOR for Delaware relating to the services to be performed hereunder shall become the property of Delaware and shall be delivered to Delaware's designated representative upon completion or termination of this Agreement, whichever comes first. CONTRACTOR shall not be liable for damages, claims, and losses arising out of any reuse of any work products on any other project conducted by Delaware. Delaware shall have the right to reproduce all documentation supplied pursuant to this Agreement.
- 6.2. CONTRACTOR retains all title and interest to the data it furnished and/or generated pursuant to this Agreement. Retention of such title and interest does not conflict with Delaware's rights to the materials, information and documents developed in performing the project. Upon final payment, Delaware shall have a perpetual, nontransferable, non-exclusive paid-up right and license to use, copy, modify and prepare derivative works of all materials in which CONTRACTOR retains title, whether individually by CONTRACTOR or jointly with Delaware. Any and all source code developed in connection with the services provided will be provided to Delaware, and the aforementioned right and license shall apply to source code. The parties will cooperate with each other and execute such other documents as may be reasonably deemed necessary to achieve the objectives of this Section.
- 6.3. In no event shall CONTRACTOR be precluded from developing for itself, or for others, materials that are competitive with the Deliverables, irrespective of their similarity to the Deliverables. In addition, CONTRACTOR shall be free to use its general knowledge, skills and experience, and any ideas, concepts, know-how, and techniques within the scope of its consulting practice that are used in the course of providing the services.
- 6.4. Notwithstanding anything to the contrary contained herein or in any attachment hereto, any and all intellectual property or other proprietary data owned by CONTRACTOR prior to the effective date of this Agreement ("Preexisting Information") shall remain the exclusive property of CONTRACTOR even if such Preexisting Information is embedded or otherwise incorporated into materials or products

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first produced as a result of this Agreement or used to develop such materials or products. Delaware's rights under this section shall not apply to any Preexisting Information or any component thereof regardless of form or media.

7. Confidential Information.

To the extent permissible under 29 *Del. C.* § 10001, *et seq.*, the parties to this Agreement shall preserve in strict confidence any information, reports or documents obtained, assembled or prepared in connection with the performance of this Agreement. Delaware shall have the exclusive discretion to determine whether information requested pursuant to its Freedom of Information act is deemed "public records" as defined therein.

8. Warranty.

8.1. CONTRACTOR warrants that its services will be performed in a good and workmanlike manner. CONTRACTOR agrees to re-perform any work not in compliance with this warranty brought to its attention within a reasonable time after that work is performed.

8.2. Third-party products within the scope of this Agreement are warranted solely under the terms and conditions of the licenses or other agreements by which such products are governed. With respect to all third-party products and services purchased by CONTRACTOR for Delaware in connection with the provision of the Services, CONTRACTOR shall pass through or assign to Delaware the rights CONTRACTOR obtains from the manufacturers and/or vendors of such products and services (including warranty and indemnification rights), all to the extent that such rights are assignable.

9. Indemnification.

9.1. CONTRACTOR shall indemnify and hold harmless the State, its agents and employees, from any and all liability, suits, actions or claims, together with all reasonable costs and expenses (including attorneys' fees) directly arising out of:

- a. the negligence or other wrongful conduct of the CONTRACTOR, its agents or employees, or
- b. CONTRACTOR's breach of any material provision of this Agreement not cured after due notice and opportunity to cure, provided as to (A) or (B) that
 - i. CONTRACTOR shall have been notified promptly in writing by Delaware of any notice of such claim; and
 - ii. CONTRACTOR shall have the sole control of the defense of any action on such claim and all negotiations for its settlement or compromise.

9.2. If Delaware promptly notifies CONTRACTOR in writing of a third party claim against Delaware that any service or deliverable infringes a copyright or a trade secret of any third party, CONTRACTOR will defend such claim at its expense and will pay any costs or damages that may be finally awarded

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against Delaware. CONTRACTOR will not indemnify Delaware, however, if the claim of infringement is caused by:

- a. Delaware's misuse or modification of the Deliverable;
- b. Delaware's failure to use corrections or enhancements made available by CONTRACTOR;
- c. Delaware's use of the Deliverable in combination with any product or information not owned or developed by CONTRACTOR;
- d. Delaware's distribution, marketing or use for the benefit of third parties of the Deliverable or
- e. Information, direction, specification or materials provided by Client or any third party. If any Deliverable is, or in CONTRACTOR's opinion is likely to be, held to be infringing, CONTRACTOR shall at its expense and option either
 - i. Procure the right for Delaware to continue using it,
 - ii. Replace it with a non-infringing equivalent,
 - iii. Modify it to make it non-infringing.

The foregoing remedies constitute Delaware's sole and exclusive remedies and CONTRACTOR's entire liability with respect to infringement.

10. Employees.

10.1. CONTRACTOR has and shall retain the right to exercise full control over the employment, direction, compensation and discharge of all persons employed by CONTRACTOR in the performance of the services hereunder; provided, however, that it will, subject to scheduling and staffing considerations, attempt to honor Delaware's request for specific individuals.

10.2. Except as the other party expressly authorizes in writing in advance, neither party shall solicit, offer work to, employ, or contract with, whether as a partner, employee or independent contractor, directly or indirectly, any of the other party's Personnel during their participation in the services or during the twelve (12) months thereafter. For purposes of this Section, Personnel includes any individual or company a party employs as a partner, employee or independent contractor and with which a party comes into direct contact in the course of the services.

10.3. Possession of a Security Clearance, as issued by the Delaware Department of Public Safety, may be required of any employee of CONTRACTOR who will be assigned to this project.

11. Independent Contractor.

11.1. It is understood that in the performance of the services herein provided for, CONTRACTOR shall be, and is, an independent contractor, and is not an agent or employee of Delaware and shall furnish such services in its own manner and method except as required by this Agreement. CONTRACTOR shall

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be solely responsible for, and shall indemnify, defend and save Delaware harmless from all matters relating to the payment of its employees, including compliance with social security, withholding and all other wages, salaries, benefits, taxes, exactions, and regulations of any nature whatsoever.

- 11.2. CONTRACTOR acknowledges that CONTRACTOR and any subcontractors, agents or employees employed by CONTRACTOR shall not, under any circumstances, be considered employees of Delaware, and that they shall not be entitled to any of the benefits or rights afforded employees of Delaware, including, but not limited to, sick leave, vacation leave, holiday pay, Public Employees Retirement System benefits, or health, life, dental, long-term disability or workers' compensation insurance benefits. Delaware will not provide or pay for any liability or medical insurance, retirement contributions or any other benefits for or on behalf of Delaware or any of its officers, employees or other agents.
- 11.3. CONTRACTOR shall be responsible for providing appropriate liability insurance for its personnel.
- 11.4. As an independent contractor, CONTRACTOR has no authority to bind or commit Delaware. Nothing herein shall be deemed or construed to create a joint venture, partnership, fiduciary or agency relationship between the parties for any purpose.

12. Suspension.

- 12.1. Delaware may suspend performance by CONTRACTOR under this Agreement for such period of time as Delaware, at its sole discretion, may prescribe by providing written notice to CONTRACTOR at least 30 working days prior to the date on which Delaware wishes to suspend. Upon such suspension, Delaware shall pay CONTRACTOR its compensation, based on the percentage of the project completed and earned until the effective date of suspension, less all previous payments. CONTRACTOR shall not perform further work under this Agreement after the effective date of suspension. CONTRACTOR shall not perform further work under this Agreement after the effective date of suspension until receipt of written notice from Delaware to resume performance.
- 12.2. In the event Delaware suspends performance by CONTRACTOR for any cause other than the error or omission of the CONTRACTOR, for an aggregate period in excess of 30 days, CONTRACTOR shall be entitled to an equitable adjustment of the compensation payable to CONTRACTOR under this Agreement to reimburse CONTRACTOR for additional costs occasioned as a result of such suspension of performance by Delaware based on appropriated funds and approval by Delaware.

13. Termination.

- 13.1. This Agreement may be terminated for cause, in whole or in part by either party in the event of material failure of the other party to fulfill its obligations under this Agreement through no fault of the terminating party; but only after the other party is given:
- a. Not less than 30 calendar days written notice of intent to terminate; and
 - b. An opportunity for consultation with the terminating party prior to termination.

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13.2. This Agreement may be terminated in whole or in part by Delaware without cause, but only after CONTRACTOR is given:

- a. Not less than 30 calendar days written notice of intent to terminate; and
- b. An opportunity for consultation with Delaware prior to termination.

13.3. If termination for cause is effected by Delaware, Delaware will pay CONTRACTOR that portion of the compensation which has been earned as of the effective date of termination, but:

- a. No amount shall be allowed for anticipated profit on performed or unperformed services or other work, and
- b. Any payment due to CONTRACTOR at the time of termination may be adjusted to the extent of any additional costs occasioned to Delaware by reason of CONTRACTOR's default.
- c. Upon termination for cause, Delaware may take over the work and prosecute the same to completion by agreement with another party or otherwise. In the event CONTRACTOR shall cease conducting business, Delaware shall have the right to make an unsolicited offer of employment to any employees of CONTRACTOR assigned to the performance of the Agreement, notwithstanding the provisions of Section 10.2.

13.4. If after termination for cause it is determined that CONTRACTOR has not materially breached this Agreement, the termination shall be deemed to have been effected without cause by Delaware.

13.5. The rights and remedies of Delaware and CONTRACTOR provided in this section are in addition to any other rights and remedies provided by law or under this Agreement.

13.6. Gratuities.

- a. Delaware may, by written notice to CONTRACTOR, terminate this Agreement if it is found after notice and hearing by Delaware that gratuities (in the form of entertainment, gifts, or otherwise) were offered or given by CONTRACTOR or any agent or representative of CONTRACTOR to any officer or employee of Delaware with a view toward securing a contract or securing favorable treatment with respect to the awarding or amending or making of any determinations with respect to the performance of this Agreement.
- b. In the event this Agreement is terminated as provided in 13.6.a hereof, Delaware shall be entitled to pursue the same remedies against CONTRACTOR it could pursue in the event of a breach of this Agreement by CONTRACTOR.
- c. The rights and remedies of Delaware provided in Section 13.6 shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Agreement.

14. **Severability.**

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If any term or provision of this Agreement is found by a court of competent jurisdiction to be invalid, illegal or otherwise unenforceable, the same shall not affect the other terms or provisions hereof or the whole of this Agreement, but such term or provision shall be deemed modified to the extent necessary in the court's opinion to render such term or provision enforceable, and the rights and obligations of the parties shall be construed and enforced accordingly, preserving to the fullest permissible extent the intent and agreements of the parties herein set forth.

15. Assignment; Subcontracts.

- 15.1. Any attempt by CONTRACTOR to assign or otherwise transfer any interest in this Agreement without the prior written consent of Delaware shall be void. Such consent shall not be unreasonably withheld.
- 15.2. Services specified by this Agreement shall not be subcontracted by CONTRACTOR, without prior written approval of Delaware.
- 15.3. Approval by Delaware of CONTRACTOR's request to subcontract or acceptance of or payment for subcontracted work by Delaware shall not in any way relieve CONTRACTOR of responsibility for the professional and technical accuracy and adequacy of the work. All subcontractors shall adhere to all applicable provisions of this Agreement.
- 15.4. CONTRACTOR shall be and remain liable for all damages to Delaware caused by negligent performance or non-performance of work under this Agreement by CONTRACTOR, its subcontractor or its sub-subcontractor.
- 15.5. The compensation due shall not be affected by Delaware's approval of the CONTRACTOR's request to subcontract.

16. Force Majeure.

16.1 "Force Majeure Event" means the occurrence of:

- (a) An act of war (whether declared or not), hostilities, invasion, act of foreign enemies, terrorism or civil disorder;
- (b) ionizing radiations, or contamination by radioactivity from any nuclear fuel, or from any nuclear waste from the combustion of nuclear fuel, radioactive toxic explosive or other hazardous properties of any explosive nuclear assembly or nuclear component thereof;
- (c) a strike or strikes or other industrial action or blockade or embargo or any other form of civil disturbance (whether lawful or not), in each case affecting on a general basis the industry related to the affected services and which is not attributable to any unreasonable action or inaction on the part of CONTRACTOR or any of its Subcontractors or suppliers and the settlement of which is beyond the reasonable control of all such persons;
- (d) specific incidents of exceptional adverse weather conditions in excess of those required to be designed for in this Agreement which are materially worse than those encountered

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in the relevant places at the relevant time of year during the twenty (20) years prior to the Effective Date;

- (e) Tempest, earthquake or any other natural disaster of overwhelming proportions; or
- (g) other unforeseeable circumstances beyond the control of the Parties against which it would have been unreasonable for the affected party to take precautions and which the affected party cannot avoid even by using its best efforts,

which in each case directly causes either party to be unable to comply with all or a material part of its obligations under this Agreement.

16.2 Neither Party shall be in breach of its obligations under this Agreement (other than payment obligations) if and to the extent that it is prevented from carrying out those obligations by, or such losses or damages are caused by, a Force Majeure Event except to the extent that the relevant breach of its obligations would have occurred, or the relevant losses or damages would have arisen, even if the Force Majeure Event had not occurred.

16.3 As soon as reasonably practicable following the date of commencement of a Force Majeure Event, and within a reasonable time following the date of termination of a Force Majeure Event, any Party invoking it shall submit to the other Party reasonable proof of the nature of the Force Majeure Event and of its effect upon the performance of the Party's obligations under this Agreement.

16.4 CONTRACTOR shall, and shall procure that its Subcontractors shall, at all times take all reasonable steps within their respective powers and consistent with commercially reasonable efforts to:

16.4.1 Prevent Force Majeure Events affecting the performance of the obligations under this Agreement;

16.4.2 Mitigate the effect of any Force Majeure Event; and

16.4.3 Comply with its obligations under this Agreement.

The Parties shall consult together in relation to the above matters following the occurrence of a Force Majeure Event.

17. Non-Appropriation of Funds.

17.1. Validity and enforcement of this Agreement is subject to appropriations by the General Assembly of the specific funds necessary for contract performance. Should such funds not be so appropriated Delaware may immediately terminate this Agreement, and absent such action this Agreement shall be terminated as to any obligation of the State requiring the expenditure of money for which no specific appropriation is available, at the end of the last fiscal year for which no appropriation is available or upon the exhaustion of funds.

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17.2. Notwithstanding any other provisions of this Agreement, this Agreement shall terminate and Delaware's obligations under it shall be extinguished at the end of the fiscal year in which Delaware fails to appropriate monies for the ensuing fiscal year sufficient for the payment of all amounts which will then become due.

18. State of Delaware Business License.

CONTRACTOR and all subcontractors represent that they are properly licensed and authorized to transact business in the State of Delaware as provided in 30 *Del. C.* § 2502.

19. Complete Agreement.

19.1. This agreement and its Appendices shall constitute the entire agreement between Delaware and CONTRACTOR with respect to the subject matter of this Agreement and shall not be modified or changed without the express written consent of the parties. The provisions of this agreement supersede all prior oral and written quotations, communications, agreements and understandings of the parties with respect to the subject matter of this Agreement.

19.2. If the scope of any provision of this Agreement is too broad in any respect whatsoever to permit enforcement to its full extent, then such provision shall be enforced to the maximum extent permitted by law, and the parties hereto consent and agree that such scope may be judicially modified accordingly and that the whole of such provisions of the Agreement shall not thereby fail, but the scope of such provision shall be curtailed only to the extent necessary to conform to the law.

19.3. CONTRACTOR may not order any product requiring a purchase order prior to Delaware's issuance of such order. Each Appendix, except as its terms otherwise expressly provide, shall be a complete statement of its subject matter and shall supplement and modify the terms and conditions of this Agreement for the purposes of that engagement only. No other agreements, representations, warranties or other matters, whether oral or written, shall be deemed to bind the parties hereto with respect to the subject matter hereof.

20. Miscellaneous Provisions.

20.1. In performance of this Agreement, CONTRACTOR shall comply with all applicable federal, state and local laws, ordinances, codes and regulations. CONTRACTOR shall solely bear the costs of permits and other relevant costs required in the performance of this Agreement. Accordingly, CONTRACTOR hereby certifies that it has familiarized itself with all applicable federal, state, and local laws, regulations, ordinances and codes which relate to the provision of services under this Agreement.

20.2. Neither this Agreement nor any appendix may be modified or amended except by the mutual written agreement of the parties. No waiver of any provision of this Agreement shall be effective unless it is in writing and signed by the party against which it is sought to be enforced.

20.3. The delay or failure by either party to exercise or enforce any of its rights under this Agreement shall not constitute or be deemed a waiver of that party's right thereafter to enforce those rights, nor shall

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any single or partial exercise of any such right preclude any other or further exercise thereof or the exercise of any other right.

- 20.4. CONTRACTOR covenants that it presently has no interest and that it will not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services required to be performed under this Agreement. CONTRACTOR further covenants, to its knowledge and ability, that in the performance of said services no person having any such interest shall be employed.
- 20.5. CONTRACTOR acknowledges that Delaware has an obligation to ensure that public funds are not used to subsidize private discrimination. CONTRACTOR recognizes that if they refuse to hire or do business with an individual or company due to reasons of race, color, gender, ethnicity, disability, national origin, age, or any other protected status, Delaware may declare CONTRACTOR in breach of the Agreement, terminate the Agreement, and designate CONTRACTOR as non-responsible.
- 20.6. CONTRACTOR warrants that no person or selling agency has been employed or retained to solicit or secure this Agreement upon an agreement or understanding for a commission, or a percentage, brokerage or contingent fee. For breach or violation of this warranty, Delaware shall have the right to annul this contract without liability or at its discretion deduct from the contract price or otherwise recover the full amount of such commission, percentage, brokerage or contingent fee.
- 20.7. This Agreement was drafted with the joint participation of both parties and shall be construed neither against nor in favor of either, but rather in accordance with the fair meaning thereof.
- 20.8. CONTRACTOR shall maintain all public records, as defined by 29 *Del. C.* § 502 relating to this Agreement and its deliverables for the time and in the manner specified by the Delaware Division of Archives, pursuant to the Delaware Public Records Law, 29 *Del. C.* Ch. 5. During the term of this Agreement, authorized representatives of Delaware may inspect or audit CONTRACTOR's performance and records pertaining to this Agreement at the CONTRACTOR business office during normal business hours.

21. Insurance.

21.1. CONTRACTOR shall maintain the following insurance during the term of this Agreement:

- a. Worker's Compensation and Employer's Liability Insurance in accordance with applicable law, **and**
- b. Comprehensive General Liability - \$1,000,000.00 per person/\$3,000,000 per occurrence, **and**
- c. Medical/Professional Liability - \$1,000,000.00 per person/\$3,000,000 per occurrence; or
- d. Miscellaneous Errors and Omissions - \$1,000,000.00 per person/\$3,000,000 per occurrence, or
- e. Automotive Liability Insurance covering all automotive units used in the work with limits of not less than \$100,000 each person and \$300,000 each accident as to bodily injury and \$25,000 as to property damage to others.

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21.2. CONTRACTOR shall provide forty-five (45) days written notice of cancellation or material change of any policies.

21.3. Before any work is done pursuant to this Agreement, the Certificate of Insurance and/or copies of the insurance policies, referencing the contract number stated herein, shall be filed with the State. The certificate holder is as follows:

21.4. In no event shall the State of Delaware be named as an additional insured on any policy required under this agreement.

22. Assignment of Antitrust Claims.

As consideration for the award and execution of this contract by the State, CONTRACTOR hereby grants, conveys, sells, assigns, and transfers to Delaware all of its right, title and interest in and to all known or unknown causes of action it presently has or may now or hereafter acquire under the antitrust laws of the United States and the State of Delaware, relating to the particular goods or services purchased or acquired by the State pursuant to this contract.

23. Governing Law.

This Agreement shall be governed by and construed in accordance with the laws of the State of Delaware, except where Federal Law has precedence. CONTRACTOR consents to jurisdiction and venue in the State of Delaware, New Castle County.

24. Notices.

Any and all notices required by the provisions of this Agreement shall be in writing and shall be mailed, certified or registered mail, return receipt requested. All notices shall be sent to the following addresses:

DELAWARE:
Division of Substance Abuse & Mental Health
Contracts Unit
Springer Building Room 306
1901 North DuPont Hwy
New Castle, DE 19720

VENDOR:
(Vendor contact address) _____

STATE OF DELAWARE
Department of Health & Social Services
Division of Substance Abuse & Mental Health

IN WITNESS THEREOF, the Parties hereto have caused this Agreement to be duly executed as of the date and year first above written.

FOR THE CONTRACTOR

**STATE OF DELAWARE
DEPARTMENT OF HEALTH &
SOCIAL SERVICES**

NAME, TITLE

Rita M. Landgraf, Secretary

Date

Date

**DIVISION OF SUBSTANCE ABUSE &
MENTAL HEALTH**

Michael A. Barbieri, Ph.D.
Director

Date