

STATE OF DELAWARE
Department of Health & Social Services
Division of Substance Abuse & Mental Health
**REQUEST FOR PROPOSALS FOR PROFESSIONAL SERVICES
ADULT RESIDENTIAL SERVICES IN A LICENSED GROUP HOME**

**ISSUED BY DIVISION OF SUBSTANCE ABUSE & MENTAL HEALTH
HSS-15-042**

I. Overview

The State of Delaware Department of Health and Social Services Division of Substance Abuse & Mental Health seek professional services to provide ADULT RESIDENTIAL SERVICES (HEREAFTER, RESIDENTIAL ALTERNATIVES) IN A LICENSED GROUP HOME. 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: 08/21/2015
Pre-bid Meeting	Date: 09/8/2015at 10:00 AM (Local Time)
Deadline for Questions	Date: 09/14/2015
Response to Questions Posted by:	Date: 09/21/2015
Deadline for Receipt of Proposals	Date: 10/08/2015at 11:00 AM (Local Time)
Estimated Notification of Award	Date: 12/01/2015

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 9/8/15 at 10:00 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

The Delaware Department of Health and Social Services (DHSS), Division of Substance Abuse and Mental Health (DSAMH) is seeking proposals from qualified community based mental health service agencies to provide tier 3, 4 and 5 Community-based Residential Alternative services in a Group Home setting throughout the State for adults in the **Promoting Optimal Mental Health for Individuals through Supports and Empowerment (PROMISE)** program. Selected providers will provide services in a home-like setting to five (4) to ten (10) individuals enrolled in the PROMISE program with behavioral health needs who meet the criteria for acuity tier 3, 4 or 5 .

Community-based Residential Alternatives (excluding Assisted Living) in a Group Home offer a cost-effective, community-based alternative to Nursing Facility care for persons with behavioral health needs. Community-based Residential services in a Group Home are supportive and health-related Residential services provided to beneficiaries in settings licensed by the State.

The Respondent will agree to operate a Group Home licensed by the State of Delaware’s Division of Long Term Care Residents Protection and in compliance with program standards defined in DSAMH/DSS Provider Certification Manual for PROMISE as it relates to Residential Rehabilitation Facilities for Persons with Psychiatric Disabilities. DSAMH expects the Group Home to be licensed under current regulations and enrolled as a Medicaid provider within the first full year of operation.

All residents of the Group Home will be approved for a Group Home Residential level of care Tier 3, 4, and 5 under the PROMISE program by the individual’s PROMISE Care Manager and confirmed by the DSAMH Eligibility and Enrollment Unit (EEU). Furthermore, the Care Manager will refer individuals meeting these criteria to the Community-based Residential Alternatives services provider for services and the EEU will manage any wait list that may be developed based on volume of beneficiaries and provider capacity.

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.

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- 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.

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:

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- 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.

Statement of Need

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 Group Home services 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 provider 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.

Providers are expected to provide services to meet the diversity of individuals with mental health and substance use disorders within the community served by the PROMISE program. This will be evidenced by the health and satisfaction of the PROMISE individuals served by the provider.

TARGET POPULATION

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.

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Program eligibility criteria used by Care Managers includes: Adults (ages 18 and older) meeting the targeting and functional needs criteria for severe and persistent mental illness (SPMI) and/or substance use disorders (SUD) will be eligible under the PROMISE program if a PROMISE service is needed to maintain the individual in the community. DSAMH screens individuals applying for services using a standardized clinical and functional assessment—the Delaware-specific American Society for Addiction Medicine (ASAM) tool—which was developed for Delaware and is based on national standards. The Delaware-specific 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 for PROMISE, individuals must meet one of the targeting criteria and the corresponding functional criteria under the Delaware-specific ASAM tool. The following are acceptable combinations for eligible individuals:

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

PROMISE 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

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

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DSAMH Current SPMI Diagnosis Codes (updated 7/1/2012)			
DSM IV Code	DSM 5 Code	Disorder	DSM IV Category
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
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

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".

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

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DSAMH Current SPMI Diagnosis Codes (updated 7/1/2012)			
DSM IV Code	DSM 5 Code	Disorder	DSM IV Category
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
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:

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

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

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- *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”.*

PROMISE 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 following⁸:

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

Medical Necessity Criteria for Tier 3, 4, and 5 Residential Alternatives

⁸ 2nd edition ASAM by Dr. David Mee-Lee et al. at <http://www.asam.org/publications/patient-placement-criteria/ppc-2r>.

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—Medically Fragile Beneficiaries (Tiers 3 and 4)

Tier 3

Tier 3 is for medically fragile beneficiaries whose medical needs prohibit their residing more independently in the community. For this tier, the beneficiary's goal could be to remain in Group Home versus Nursing Home, as long as possible, or to move to Tier 2 if their medical need is not permanent. Services at this tier could be provided in a Supervised Apartment or Group Home. Beneficiaries on ACT teams may not be in Group Homes at this tier and should be transitioned off the ACT team immediately.

Beneficiaries in tier 3 are not eligible for PLUS LTC (i.e., not eligible for Nursing Facility level of care).

A beneficiary in tier 3 requires:

- Supervision with staff on site to ensure safety from harm as determined by an assessment.
- Intermittent skilled care of a Licensed Professional or Paraprofessional throughout the day for medical diagnosis or medical treatment.
- Management of one (1) or more behaviors of a disruptive or destructive nature that prevent or interfere with the beneficiary's inclusion in home and family life or community life, AND/OR
- Hands-on assistance or cueing with at least two (2) ADLs or periodic assistance throughout a day with at least three (3) ADLs, OR
- Complete assistance with at least four (4) IADLs.

Medical Necessity Criteria for Tier 3

ASAM Criteria

- High biomedical immediate need:
 1. Substance Abuse: can have some difference or past history (third and fourth choices).
 2. Biomedical: "current/unstable".
 3. Suicidality: any level, but doesn't need acute.
 3. Suicidality: control/impulsivity — moderate to high.
 3. Dangerousness: can have moderate–high risk.
 3. Self-care: any level, but will tend to not seek treatment without assistance, and require assistance in personal care, life skills (see PROMISE service descriptions), or other ASAM items checked.
 3. Psychological/Emotional Health: any level.
 4. Readiness to Change: any level.
 5. Relapse, etc.: any level.

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Independent Living Inquiry — Special Attention to Biomedical Need

- Hands-on assistance or cueing with at least two (2) ADLs or periodic assistance throughout a day with at least three (3) ADLs, or complete assistance with at least four (4) IADLs.

Community Living Questionnaire

- Person’s preference (Q2) — helps in goal setting, recovery planning, and assessment.

Tier 4

Tier 4 is for people who are dangerous. Beneficiaries in this tier are not eligible for PLUS LTC (i.e., not Nursing Facility eligible). For this tier, the beneficiary’s goal is to move to any Tier 1 or 2 or independent living, depending on dangerousness risk issues. This tier could be in a Supervised Apartment or Group Home. Beneficiaries on ACT teams may not be in Group Homes at this tier and should be transitioned off the ACT team immediately.

A tier 4 beneficiary requires:

- Extensive support and cannot be left alone for any period throughout the day, as determined by an assessment or clinical determination of need for continuous supervision, due to a significant risk for recent or ongoing occurrences of behavior in which the beneficiary is a threat to self or others.

Medical Necessity Criteria for Tier 4

ASAM Criteria

- Can have high immediate need profile:
 1. Substance Abuse: can have current potential (fifth choice).
 2. Biomedical: up to “current/unstable”.
 3. Suicidality: any level not needing acute.
 3. Suicidality: control/impulsivity — has moderate–high risk for problems.
 3. Dangerousness: highest risk that does not require inpatient.
 3. Self-care: any level, but will tend to not seek treatment without assistance, and require assistance in personal care, life skills (see PROMISE service descriptions), or other ASAM items checked.
 3. Psychological/Emotional Health: any level.
 4. Readiness to Change: any level.
 5. Relapse, etc.: any level (except for those in 3–5 day beds, which will probably have high need on 3 and on 5).

Independent Living Inquiry Special Attention to Biomedical Need

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- Hands-on assistance or cueing with at least two (2) ADLs or periodic assistance throughout a day with at least three (3) ADLs, or complete assistance with at least four (4) IADLs.

Community Living Questionnaire

- Person's preference (Q2) — helps in goal setting, recovery planning, and assessment.
- ASAM, along with collaterals/health record, are important for determining Tier 4.

Tier 5 — Beneficiary Meets a Nursing Facility Level of Care and is in PROMISE and PLUS LTC

Beneficiaries in tier 5 meet a nursing facility level of care and should be enrolled in both the PROMISE and PLUS LTC programs. Note: individuals in the PLUS LTC program may have higher income than individuals in the PROMISE program in order to meet Medicaid eligibility.

In addition to the medical necessity criteria outlined within each tier above, PROMISE care managers use further criteria for determining the beneficiary's medical necessity for Community-based Residential Alternatives.

In assessing the beneficiary's need for Community-based Residential Alternatives, the Care Manager uses careful clinical/functional assessment, in combination with consideration of preferences and the recovery environment, in order to identify the appropriate levels and types of care. At a minimum, the following factors need to be considered in combination:

- The beneficiary's preferences for housing: The beneficiary's preferences need to be considered when identifying the appropriate levels and types of Residential support. Sometimes, the beneficiary may prefer a housing option (e.g., apartment) at a level of care that clinical and housing experts believe would create a health and safety risk, (i.e., where the person's needed level of care is higher than the preferred housing option). If this occurs, the Care Manager and beneficiary should complete a risk assessment as outlined in the Care Manager manual and the recovery plan should identify the services, activities, and supports that can be mobilized in order to achieve the beneficiary's preference. Note: Group Home rates for beneficiaries at Tier 1 and Tier 2 will not be created and reimbursement is not expected to continue for facilities when it is not medically necessary for the beneficiary to be in that environment. In cases where the beneficiary prefers a higher level of care than others believe the beneficiary needs, the beneficiary should be encouraged to find other ways of meeting needs (e.g., for socialization) that are addressed by the higher level of care. The beneficiary Recovery Plan should provide an explicit, detailed plan for addressing those issues as well as the transition plan with deadlines and outcomes for the beneficiary to move to the appropriate housing option (e.g., from Group Home to apartment in a timely manner).
- The natural supports or environment in which the beneficiary is recovering: Residential Alternatives should not supplant natural supports. Some beneficiaries

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whose individual capacities alone might indicate a higher level of care should receive lower Residential Support tiers because natural supports are available to ensure the beneficiary's success in housing options at a lower level of care tier. For example, a beneficiary might have several IADLs that indicate a need for Tier 2, but she has family members and/or friends who are available on a regular basis to help her achieve those IADLs. This beneficiary might be placed in Tier 1 or even Tier 0. Landlords also are an important part of the recovery environment, and some landlords are more flexible than others in tolerating the challenges and limitations beneficiaries sometimes bring to the Residential setting.

- The beneficiary's abilities and limitations related to living in the community. The severity of any functional limitation related to an ADL or IADL should be incorporated. Two beneficiaries may both be identified as having a need for assistance with personal hygiene, but one beneficiary's inability might represent a significant health risk, while the other beneficiary's inability might merely represent an occasional risk to the quality of interactions with people who do not know the person very well. The severity of functional limitation may not just rely on the beneficiary's own self-report concerning her or his abilities and limitations in community living. It is important to bolster self-reports with the observations of collaterals (family members and other people in the beneficiary's natural support network, as well as providers who know the beneficiary well). Every beneficiary's self-report (not just the self-report of someone coping with a SPMI) is limited, and it is always the case that observations of other people who know us well help round out an assessment. Sometimes, direct observations of behaviors that are associated with successful community living will also be important in establishing an accurate assessment.

- Back-Up Plans: Residential supports should not be used as substitutes for an effective back-up plan. ACT and ICM teams should provide 24/7 on-call services. Beneficiaries on ACT teams are able to live more independently than they would otherwise be able to live, due to the regular assistance of the ACT teams in providing training and support for independent living. It is assumed that all beneficiaries with Tier 1 needs on an ACT/ICM team will not receive Community-based Residential Alternatives (i.e., effectively Tier 0). Beneficiary Recovery Plans must include provisions for ensuring the beneficiary's success in community living, in case the original or initial plan needs to be revised. For beneficiaries in Tier 2 receiving ACT, who are in Supervised Apartments, there may be staff at the residence who will provide Community-based Residential Alternatives during off hours. For example, if a beneficiary's plan in the area of Community-based Residential Alternatives is contingent, in part, on the availability of a family member or other person from the natural support system to assist with certain behaviors, and that person is not available for a period of time, a "back-up plan" needs to be in place to ensure there is not significant disruption in the beneficiary's living situation. Part of the "back-up plan" could include specific activities or interventions aimed at helping bolster the beneficiary's own abilities in the area of independent living. Family members, friends, residential neighbors, companions from faith communities and other

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voluntary organizations, and peers from mutual/self-help organizations represent examples of natural supports that might be identified and mobilized to ensure that any Residential support needs are met during off hours.

- All beneficiaries in Tiers 3–5 Community-based Residential Alternatives have SPMI.
- Tiers 3 and 4 include some beneficiaries who rate high on the ASAM Immediate Need profile.
- ASAM Dimension 3 (self-care, dangerousness, etc.) must be used in conjunction with health record review and interview with collaterals (e.g., providers) to assess specific level of risk (e.g., number of ADLs/IADLs) the beneficiary needs assistance with, and dangerousness (to assess need for Tier 4):
 - ASAM is important for determining need for Tier 4 (with dangerousness being the most important dimension for consideration).
 - In combination with the Community Living Questionnaire and data from collaterals/health record, ASAM is helpful in determining need for Tier 3, based on biomedical need.
- Community Living Questionnaire should not only help with placement, but should aid in individualized Community-based Residential Alternatives planning for all four (4) tiers and should help provide prognosis for length of stay (which can vary considerably within tiers):
 - When beneficiary is in need of Tier 3 Group Home due to physical health/medical risk issues.
 - Specific needs for Group Home Habilitative and Rehabilitative supports and for IADL/Chore services.
 - Based on preferences (e.g., Q4), goals to set in the Recovery Plan, how to assess and review progress with the beneficiary; also, provides basis for motivating when work on ADLs/IADLs is difficult. However, interviewing collaterals (family members, providers) and reviewing the health record for additional data will be needed in most cases in order to fully assess need for IADLs and ADLs.

The detailed

The 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.

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Prior to the execution of any contract, the successful Vendor shall either furnish the Agency with proof of State of Delaware Business Licensure or initiate the process of application where required. The failure to provide a valid business license or submission of proof that no license is required by Delaware law shall be cause for the State to withdraw any contract award.

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.

Bidder shall list all active litigations, regardless of jurisdiction, in which it, or its officers are named parties.

The Evaluation/Selection Review Committee will consider any information provided pursuant to these requirements 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."

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

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proposed for the program have the knowledge and experience, as well as the depth of staffing, to provide the required services.

Applicant organizations/agencies must have a minimum of one year of documented, successful experience operating substance abuse treatment programs.

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

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.

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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;
- 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 Monday, October 5, 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

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Division of Substance Abuse & Mental Health
Vendors are directed to clearly print “BID ENCLOSED” and “RFP # HSS-15-042” 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.

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, 2018**. 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 to the extent permitted by [Executive Order # 31](#) and Title 29, Delaware Code, [Chapter 100](#).

8. Non-Conforming Proposals

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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.

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 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 execution 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.

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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 a "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 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.

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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

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 **9/14/15** 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 **September 21, 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

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 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

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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.

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 timely manner any and all information that the State of Delaware may deem necessary to make a decision.

1. Proposal Evaluation Team

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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 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	15
Program Design	45
Start-up Implementation and Location	25

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Criteria	Weight
Staff Qualifications	10
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 make assumptions about a vendor’s capabilities. The Proposing Party should be as detailed as necessary in their proposal responses so as to address each of the evaluation criteria identified above.

3. Proposal Clarification

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

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. *See Title 29, Chapter [6904\(e\)](#) Delaware Code.*

2. Cooperative Use of Award

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As a publicly competed contract awarded in compliance with 29 *Del. C. Ch. 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 **three (3) years with two (2) 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 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.

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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 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.

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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 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.

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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. 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 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.

e. 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.

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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.

f. 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.

g. 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

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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.

h. 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.

i. 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%).

j. 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.

k. 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

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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 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.

l. 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.

m. 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.

n. 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.

o. Vendor Responsibility

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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**.

p. 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 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.

q. 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.

r. 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.

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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.

s. 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.

t. 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.

u. 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.

v. 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.

w. 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 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.

x. 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.

y. 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.

z. 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.

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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.
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:

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- 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
- 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-15-042

Contract Title: **TIER 3, 4 AND 5 ADULT
COMMUNITY-BASED RESIDENTIAL
ALTERNATIVES EXCLUDING
ASSISTED LIVING IN A LICENSED
GROUP HOME**

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-15-042
CONTRACT TITLE: TIER 3, 4 AND 5 ADULT COMMUNITY-BASED RESIDENTIAL ALTERNATIVES EXCLUDING ASSISTED LIVING, AND 5 IN A LICENSED GROUP HOME
DEADLINE TO RESPOND: 10/05/2015 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 _____

STATE OF DELAWARE
 LICENSE

FEDERAL E.I. NUMBER _____
 NUMBER _____

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 _____

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

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-15-042

Contract Title: TIER 3, 4, AND 5 ADULT COMMUNITY-BASED RESIDENTIAL ALTERNATIVES EXCLUDING ASSISTED LIVING IN A LICENSED GROUP HOME

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-15-042	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		
9a. NAME OF PERSON SIGNING	10. BY (<i>Signature</i>)	11. DATE SIGNED

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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 Nam e*	Vend or TaxI D*	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 Suppli er email	Descrip tion of Work Perfor med	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-15-042

Contract Title: **TIER 3, 4, AND 5 ADULT COMMUNITY-BASED RESIDENTIAL ALTERNATIVES EXCLUDING ASSISTED LIVING IN A LICENSED GROUP HOME 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.

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Attachment 10

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 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.

Program Capacity and Funding

Program capacity will be 4-10 PROMISE beneficiaries for each Group Home. Programs may not be co-located with another residential program.

DSAMH will provide funding on a Fee for Service basis for services for uninsured clients utilizing the following rate structure:

<p>T2033 TG:</p> <ul style="list-style-type: none"> • Residential care, NOS, waiver, per diem, Tier 3. • TG = Complex/high-tech level of care. <p>T2033 HK:</p> <ul style="list-style-type: none"> • Residential care, NOS, waiver, per diem, Tier 4. • HK = Specialized mental health program for high risk populations. 	<ul style="list-style-type: none"> • Tier 3: Up to 5 residents in a Group Home: \$328.53. • Tier 3: 6–8 residents in a Group Home: \$328.36. • Tier 3: 9–10 residents in a Group Home: \$262.69. • Tier 4: Up to 5 residents in a Group Home: \$399.28. • Tier 4: 6–8 residents in a Group Home: \$328.36. • Tier 4: 9–10 residents in a Group Home: \$262.69.
	<ul style="list-style-type: none"> • Room and Board: Up to 5 residents (non-Medicaid funded): \$39.00. • Room and Board: 6–10 residents (non-Medicaid funded): \$33.00.

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Clients without Medicaid or insurance are expected to contribute to the cost of their treatment according to a sliding scale of fees approved by DSAMH.⁹ All clients, including Medicaid beneficiaries, are expected to contribute to the cost of room and board according to DHHS guidelines.

Successful applicant will be required to enroll as a Fee for Service provider with Medicaid.

The term of the contract between the successful bidder and the State shall be for three (3) years with two (2) optional extensions for a period of one (1) year for each extension. Funding will be added to the contract at the beginning of the each state fiscal year, as long as sufficient funding is available and the contractor's performance is satisfactory, consistently meets performance targets, and continues to meet the service system design needs of the DSAMH.

⁹ Delaware Health and Social Services' policy requires contract agencies to establish a procedure to collect payment from clients for services received, utilizing a sliding scale of fees that has been previously approved by DSAMH. However, services are not to be denied to clients who lack adequate financial resources to contribute to the payment of the treatment services they require.

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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 successful applicant(s) must provide a Group Home of no more than 10 residents for Persons with Mental Illness who are enrolled in the PROMISE program. The Group Home must be licensed by the State of Delaware's Division of Long Term Care Residents Protection under DAC Title 16, Chapter 11, Regulation 3305.

This program must be a variable length of stay (based on clinical need and medical necessity criteria) model. The program must provide activities consistent with the following service definition:

Community-based Residential Alternatives (excluding Assisted Living) offer a cost-effective, community-based alternative to Nursing Facility care for persons with behavioral health needs. Community-based Residential services are supportive and health-related Residential services provided to beneficiaries in settings licensed by the State. Residential services are necessary, as specified in the Recovery Plan, to enable the beneficiary to remain integrated in the community and ensure the health, welfare, and safety of the beneficiary. Community-based Residential services include Personal Care and Supportive services (Homemaker, Chore, Attendant services, and Meal Preparation) that are furnished to beneficiaries who reside in home-like, non-institutional, integrated settings. In addition, 24-hour on site response capability to meet scheduled and unscheduled or unpredictable beneficiary needs and to provide supervision and safety. Services also include social and recreational programming, and medication assistance (to the extent permitted under State law).

This service includes assisting beneficiaries in acquiring, retaining, and improving skills such as communication, self-help, domestic, self-care, socialization, fine and gross motor skills, mobility, personal adjustment, relationship development, use of community resources, and adaptive skills necessary to reside successfully in home and community-based settings. As needed, this service may also include prompting to carry out desired behaviors and/or to curtail inappropriate behaviors, as well as Habilitative services to instruct beneficiaries in accessing and using community resources such as transportation, translation, and communication assistance related to a Habilitative outcome, and services to assist the beneficiary in shopping and other necessary activities of community and civic life, including self-advocacy. Finally, assistance with activities of daily living (ADLs) and instrumental activities of daily living (IADLs) are included. This service will be provided to meet the beneficiary's needs as determined by an assessment performed in accordance with DHSS requirements and as outlined in the beneficiary's Recovery Plan.

ADLs include tasks related to caring for and moving the body:

- Walking.
- Bathing.

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- Dressing.
- Toileting.
- Brushing teeth.
- Eating.

IADLs are the activities not directly related to functional activities; rather, they are assistance with an additional set of more complex life functions necessary for maintaining a person's immediate environment and living independently in the community. IADLs include:

- Cooking and meal planning.
- Performing ordinary housework.
- Getting around in the community.
- Using the telephone or computer.
- Shopping for groceries.
- Supporting the beneficiary in exploring employment opportunities.
- Keeping track of finances.
- Managing medication including assisting with setting up medication administration mechanisms (e.g., pill jars) and ensuring that beneficiaries have the supports necessary to timely take medications. (Not appropriate for Peer Specialists.)

If there is more than one (1) staff member on site at the residence during normal hours who can provide Personal Care services, the provider will be encouraged to hire staff to deliver Personal Care services separate from staff who provide Habilitation services that involve the development of ADL and IADL skills. This will ensure that the clinical boundary issues that would otherwise complicate Habilitation services (if the same staff were also delivering Personal Care services) will be mitigated.

Services must be delivered in a manner that supports the beneficiary's communication needs including, but not limited to, age appropriate communication, translation/Interpretation services for beneficiaries that are of limited English proficiency, or who have other communication needs requiring translation, and assistance with the provider's understanding and use of communication devices used by the beneficiary.

The cost of transportation provided by Residential service providers to and from activities is included as a component of the Residential services and, therefore, is reflected in the rate for the service. Providers of Residential services are responsible for the full range of Transportation services needed by the beneficiaries they serve to participate in services and activities specified in their Recovery Plan. This includes transportation to and from day activities and Employment services, as applicable.

1. Core Program Elements

Intensive Supports for Medically Fragile Beneficiaries (Tiers 3 and 4)

Tier 3

For this tier, the goal could be to remain in Group Home versus Nursing Home, as long as possible, or to move to Tier 2 if biomedical need is not permanent. This tier could be in a Supervised Apartment or Group Home. Beneficiaries on ACT teams may not be in Group Homes at this tier and should be transitioned off the ACT team immediately. *Tier 3 is for people with medically fragile beneficiaries at

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least one (1) staff person during regular business hours should be a nurse. This tier focuses on people with medical needs. Beneficiaries in this level of Community-based Residential Alternatives have medical needs that prohibit their residing more independently. The staff person who is covering in the evenings should have the basic capacity to deal with medical issues that arise. In this tier, the Group Home is expected to meet all physical needs of the client within the rate provided. This tier is not eligible for PLUS LTC (i.e., not eligible for Nursing Facility level of care). Group Home or Supervised Apartment: short-term to long-term, depending on acute versus chronic.

A beneficiary requires:

- Supervision with staff on site to ensure safety from harm as determined by an assessment.
- Intermittent skilled care of a Licensed Professional or Paraprofessional throughout the day for medical diagnosis or medical treatment.
- Management of one (1) or more behaviors of a disruptive or destructive nature that prevent or interfere with the beneficiary's inclusion in home and family life or community life, AND/OR
- Hands-on assistance or cueing with at least two (2) ADLs or periodic assistance throughout a day with at least three (3) ADLs, OR
- Complete assistance with at least four (4) IADLs.

Medical Necessity Criteria for Tier 3

ASAM Criteria

- High biomedical immediate need:
 1. Substance Abuse: can have some difference or past history (third and fourth choices).
 2. Biomedical: "current/unstable".
 3. Suicidality: any level, but doesn't need acute.
 3. Suicidality: control/impulsivity — moderate to high.
 3. Dangerousness: can have moderate–high risk.
 3. Self-care: any level, but will tend to not seek treatment without assistance, and require assistance in personal care, life skills (see PROMISE service descriptions), or other ASAM items checked.
 3. Psychological/Emotional Health: any level.
 4. Readiness to Change: any level.
 5. Relapse, etc.: any level.

Independent Living Inquiry — Special Attention to Biomedical Need

- Hands-on assistance or cueing with at least two (2) ADLs or periodic assistance throughout a day with at least three (3) ADLs, or complete assistance with at least four (4) IADLs.

Community Living Questionnaire

- Person's preference (Q2) — helps in goal setting, recovery planning, and assessment.

Tier 3 Staffing — Beneficiaries in a Group Home

The service provider shall maintain the following staffing pattern:

- For Group Homes up to five (5) residents, the rates support 7.58 FTE, including 2.0 FTE for Certified Nursing Assistants (CNAs) and 5.58 FTE for Clinicians (1.0 FTE Residence Manager, 0.08 FTE Psychiatrist, 3.0 FTE bachelor's level, 1.5 RNs).

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- For Group Homes from 6–10 residents, the rates support 11.9 FTE, including 3.0 FTE for CNAs and 8.9 FTE for Clinicians (1.0 FTE Residence Manager, 0.15 FTE Psychiatrist, 5.0 FTE bachelor’s level, 2.75 RNs).
- Regulations require:
 - Residence Manager who is a Clinician.
 - Psychiatrist.
 - Clinicians (PhD, master’s level, RN with certification in mental health, or bachelor’s level + five (5) years mental health and two (2) years residential).
 - Associate Clinicians (bachelor’s level or RN).
 - Residential Service Assistant (high school diploma or equivalent).
- 75% of staff are Clinicians or Associate Clinicians.
- Between the hours of 8 AM and 10 PM: A minimum of one (1) Clinician or Associate Clinician, with sufficient training to assist residents with routine medical needs, including the administrations of medications, and to conduct basic assessment of the need for urgent, emergent or acute medical services, shall be on duty and on site for every one (1) to five (5) residents present in the home and a minimum of two (2) staff members, at least one (1) of whom shall be a Clinician, Associate Clinician, or Residential Service Assistant shall be on duty and on site whenever six (6) or more residents are present in the home.
- At all other times, a minimum of one (1) Clinician or Associate Clinician shall be on duty and on site whenever any residents are present in the home.
- At all times, at least one (1) Clinician, Associate Clinician, or Residential Service Assistant shall be available on call. When a staff member is on duty and on site alone, the on-call person must be a Clinician or Associate Clinician.
- DHSS may require a modified staffing pattern based on extenuating circumstances or resident need.
- The Psychiatrist shall visit the Group Home at least once a week and spend a minimum of one-half hour per resident per month providing direct services to residents on site, participating in the assessment of residents' needs, planning service provision, and providing supervision/consultation to other program staff. The Psychiatrist shall evaluate each resident’s medications at least every two (2) weeks.
- A RN or LPN may administer medications, including injections. Residents shall take medications under direct supervision of a qualified staff member per treatment plan.
- The service provider shall designate a Clinician or Associate Clinician to be the Primary Clinician. Each beneficiary will have a treatment plan developed by the Group Home within 30 days of admission and updated every six (6) months. The beneficiaries will have a complete physical examination by a Physician within 30 days of admission unless they have had one (1) within a year of admission and their medical records are available. Each beneficiary will have an annual physical exam arranged by the Group Home. The service provider will arrange for transportation to dental evaluations (annually) and preventive care.
- If there is not an RN on duty, the Group Home shall train staff to ensure that one (1) or more members on duty has knowledge of first aid, including CPR and other care.
- DHSS may require a modified staffing pattern based on extenuating circumstances or resident need.

Tier 3 Additions

- No additional reimbursement will be granted for residents without written exception of the DSAMH fiscal officer that the reimbursement is not duplicative of the per diem rates.

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- One (1) Nurse on duty at least eight (8) hours a day at primary times when medications are dispensed (breakfast and dinner). An RN is on call at all other times.
- Except as permitted in accordance with requirements contained in DHSS guidance, policy, and regulations, this service may not be provided on the same day and at the same time as services that contain elements integral to the delivery of this service. This service may not be included on the same Recovery Plan as the following services: Nursing, Home Health Aide, Personal Care, IADL/Chore, Non-medical Transportation (NMT), or Respite.

Tier 4 — Special Care Unit Services

For this tier, the goal is to move to any Tier 1 or 2 or independent living, depending on dangerousness risk issues. This tier could be in a Supervised Apartment or Group Home. Beneficiaries on ACT teams may not be in Group Homes at this tier and should be transitioned off the ACT team immediately. Tier 4 is for people who are dangerous, so this tier should be staffed with second Clinician when there are more than five (5) clients in the home; training should highlight the risk assessment and interventions for handling dangerousness, etc. This tier is not eligible for PLUS LTC (i.e., not Nursing Facility eligible).

A beneficiary requires:

- Extensive support and cannot be left alone for any period throughout the day, as determined by an assessment or clinical determination of need for continuous supervision, due to a significant risk for recent or ongoing occurrences of behavior in which the beneficiary is a threat to self or others.

Medical Necessity Criteria for Tier 4

ASAM Criteria

- Can have high immediate need profile:
 1. Substance Abuse: can have current potential (fifth choice).
 2. Biomedical: up to “current/unstable”.
 3. Suicidality: any level not needing acute.
 3. Suicidality: control/impulsivity — has moderate–high risk for problems.
 3. Dangerousness: highest risk that does not require inpatient.
 3. Self-care: any level, but will tend to not seek treatment without assistance, and require assistance in personal care, life skills (see PROMISE service descriptions), or other ASAM items checked.
 3. Psychological/Emotional Health: any level.
 4. Readiness to Change: any level.
 5. Relapse, etc.: any level (except for those in 3–5 day beds, which will probably have high need on 3 and on 5).

Independent Living Inquiry Special Attention to Biomedical Need

- Hands-on assistance or cueing with at least two (2) ADLs or periodic assistance throughout a day with at least three (3) ADLs, or complete assistance with at least four (4) IADLs.

Community Living Questionnaire

- Person’s preference (Q2) — helps in goal setting, recovery planning, and assessment.
- ASAM, along with collaterals/health record, are important for determining Tier 4.

Tier 4 — Staffing in Group Home (Note: a Tier 4 resident is weighted at 1.25 of a Tier 3 resident)

The service provider shall maintain the following staffing pattern:

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Rates are set to support the following staffing:

- For Group Homes up to five (5) residents, the rates support 9.58 FTE, including 2.5 FTE for CNAs and 7.08 FTE for Clinicians (1.0 FTE Residence Manager, 0.08 FTE Psychiatrist, 4.5 FTE bachelor's level, 1.5 RNs).
- For Group Homes from 6–10 residents, the rates support 11.9 FTE, including 3.0 FTE for CNAs and 8.9 FTE for Clinicians (1.0 FTE Residence Manager, 0.15 FTE Psychiatrist, 5.0 FTE bachelor's level, 2.75 RNs).
- Regulations require:
 - Residence Manager who is a Clinician.
 - Psychiatrist.
 - Clinicians (PhD, master's level, RN with certification in mental health, or bachelor's level + five (5) years mental health and two (2) years residential).
 - Associate Clinicians (bachelor's level or RN).
 - Residential Service Assistant (high school diploma or equivalent).
- 75% of staff are Clinicians or Associate Clinicians.
- Between the hours of 8 AM and 10 PM: A minimum of one (1) Clinician or Associate Clinician, with sufficient training to assist residents with routine medical needs, including the administrations of medications, and to conduct basic assessment of the need for urgent, emergent, or acute medical services, shall be on duty and on site for every one (1) to five (5) residents present in the home and a minimum of two (2) staff members, at least one (1) of whom shall be a Clinician, Associate Clinician, or Residential Service Assistant shall be on duty and on site whenever six (6) or more residents are present in the home.
- At all other times, a minimum of one (1) Clinician or Associate Clinician shall be on duty and on site whenever any residents are present in the home.
- At all times, at least one (1) Clinician, Associate Clinician, or Residential Service Assistant shall be available on call. When a staff member is on duty and on site alone, the on-call person must be a Clinician or Associate Clinician.
- DHSS may require a modified staffing pattern based on extenuating circumstances or resident need.
- The Psychiatrist shall visit the Group Home at least once a week and spend a minimum of one-half hour per resident per month providing direct services to residents on site, participating in the assessment of residents' needs, planning service provision, and providing supervision/consultation to other program staff. The Psychiatrist shall evaluate each resident's medications at least every two (2) weeks.
- A RN or LPN may administer medications, including injections. Residents shall take medications under direct supervision of a qualified staff member per treatment plan.
- The service provider shall designate a Clinician or Associate Clinician to be the Primary Clinician. Each beneficiary will have a treatment plan developed by the Group Home within 30 days of admission and updated every six (6) months. The beneficiaries will have a complete physical examination by a Physician within 30 days of admission, unless they have had one (1) within a year of admission and their medical records are available. Each beneficiary will have an annual physical exam arranged by the Group Home. The service provider will arrange for transportation to dental evaluations (annually) and preventive care.
- If there is not an RN on duty, the Group Home shall train staff to ensure that one (1) or more members on duty has knowledge of first aid, including CPR and other care.

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- DHSS may require a modified staffing pattern based on extenuating circumstances or beneficiary need.
- No additional reimbursement will be granted for beneficiaries without written exception of the DSAMH fiscal officer that the reimbursement is not duplicative of the per diem rates. Except as permitted in accordance with requirements contained in DHSS guidance, policy, and regulations, this service may not be provided on the same day and at the same time as services that contain elements integral to the delivery of this service. This service may not be included on the same Recovery Plan as the following services: Nursing, Home Health Aide, Personal Care, IADLs/Chore, NMT, or Respite.
- An RN is on call at all times there is not an RN/Physician on duty.

Tier 5 — Meet a Nursing Facility Level of Care and Beneficiary is in PROMISE and PLUS LTC

It is possible that the beneficiary meets a nursing facility level of care. If this is the case, the individual should be enrolled in both the PROMISE and PLUS LTC program. Note: individuals in the PLUS LTC program may have higher income than individuals in the PROMISE program in order to meet Medicaid eligibility.

The PLUS Long-term Care MCO Manager and the PROMISE Care Manager will develop a combined PLUS service care plan and PROMISE Recovery Plan with the beneficiary to meet extraordinary physical needs. PLUS LTC can reimburse for extraordinary needs. Tier 5 beneficiaries are eligible for Nursing Facility level of care. PROMISE pays the Tier 4 rate and then the PLUS LTC develops a PLUS service care plan under the PLUS LTC program to provide additional supports under the PLUS program necessary to maintain a beneficiary meeting the Nursing Facility level of care outside of the Nursing Facility.

Staffing for Facilities for 4–10 Beds

- The agency must maintain a staffing ratio consistent with the weighted tiers of the clients in the home. The staff must meet the following qualifications and training:
 - Psychiatrist — A person with a medical degree or Doctor of Osteopathy degree, who is licensed to practice medicine in Delaware and is board certified in psychiatry or has served a residency in psychiatry. A Licensed Independent Provider (LIP), such as a Nurse Practitioner or Physician’s Assistant, may work in this role under formal protocols with the Psychiatrist.
 - Clinician — A person with a doctoral or master's degree in clinical or counseling psychology, mental health nursing, clinical social work, vocational/psychiatric rehabilitation or education from an accredited college or university; a RN with certification in mental health nursing from the American Nurses Association; or a person with a bachelor's degree with five (5) years’ experience in mental health service delivery with at least two (2) years’ experience in residential services.
 - Associate Clinician — A person with a bachelor's degree in clinical or counseling psychology, social work, nursing, vocational/psychiatric rehabilitation, education or other mental health field from an accredited college or university; or a RN. An Associate Clinician shall have had at least two (2) years of direct experience in mental health service.

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- Residence Manager — Responsible for the operation of the Group Home and responsible for the supervision of residents' recovery plans. The qualifications of the Residence Manager must be that of a Clinician (see above).
- Peer Specialist — A person with a lived experience of mental illness who has received training in this role and scope of practice. All Peers are certified by the State as Peer Specialists.
- Residential Service Assistant — A person who has a high school diploma or equivalent or CNA. (Note: Residential Service Assistants are not permitted to meet staffing qualifications for Tier 4).

**Note: Associate Clinicians and Residential Service Assistants shall have qualifications for the treatment activities in which they engage and shall be supervised by the Residence Manager. At least 75% of the Group Home staff shall be Clinicians or Associate Clinicians. 25% should be Peers who work as full members of the multi-disciplinary team. Nothing in these regulations shall be construed to exempt or limit the application of professional licensing requirements, including those pertaining to Professional Counselors, Psychologists, and Clinical Social Workers under 24 Del.C., Chs. 30, 35, and 39, respectively.*

***Note: Nothing in these regulations prohibit a Peer from serving in any of these roles if they also meet the role standards for education and years of experience.*

- Accreditation is required for the contracting organization operating the Group Homes with revenues over \$500,000 (CARF, TJC).
- The service provider shall comply with criminal background check and drug testing laws.
- The service provider shall maintain a current personnel policies and procedures manual that sets forth grounds for termination, adequately supports sound resident care and is made readily available to the program's staff in each home. The service provider shall comply with the provisions of such manual. The manual shall contain an explanation of the residents' rights pursuant to 16 Del.C. §1121 and applicable federal law:
 - Training in risk assessment of dangerousness and interventions aimed at reducing such risk, including training in managing difficult behaviors, in the implementation of de-escalation techniques, and in self-defense techniques to prevent harm from violent behaviors.
 - Orientation to situational counseling, stress management, and social interaction.
 - A complete course in medications used in the treatment of mental illness including the medications' effects, side effects, and adverse effects (sometimes life threatening) used alone or in combination with other prescription and non-prescription medication and alcoholic or caffeinated beverages.
 - A course in the common types of mental illness including signs and symptoms of Schizophrenia, mood and personality disorders, and indications of deterioration of a beneficiary's mental condition.
 - A course in basic first aid, including basic CPR training and basic physical health coaching including healthy diets, adequate exercise, smoking cessation, and routine dental and medical exams and services, as needed.
 - An explanation of the rights of adults with psychiatric disabilities in Residential care in Delaware.
 - Expectations for confidentiality and ethical behavior towards residents who will reside in the Group Home.
 - Policies and procedures that apply to a Group Home on both a daily and emergency basis.
 - Fire safety and evacuation procedures.

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- Health care, sanitation, and safe handling of food.
 - Familiarization with Community-based Behavioral Health services available in the county in which the Group Home is located.
 - Orientation to situational counseling, de-escalation and mediation techniques, stress management, and social interaction.
 - Training in understanding what recovery actually looks like in terms of outcomes, avoidance of paternalistic approaches, how to support appropriate adult activities and leisure skill development for residents.
 - Demonstration of a clear understanding of these regulations.
 - A plan for the continuing education and development of staff.
A service provider need not require training in discrete areas in which the staff person has demonstrated competency through satisfactory job performance or previous experience to the satisfaction of the service provider and DHSS.
- Staff may be provisionally hired and perform job duties pending completion of training within 30 days. Such provisional staff shall not be on duty without onsite supervision.

Services that are provided by third parties must be coordinated with the Residential services provider, including Community-based Rehabilitative services provided outside of the residence. Personal Care services is part of the Community-based Residential Alternatives service and thus cannot also be authorized as a separate service in addition to this level of care. To avoid duplication, Personal Care (as a separate service) is not available to beneficiaries receiving Residential services. Residential Alternatives services are provided to beneficiaries residing in homes that have no more than nine (9) other residents and that display home and community-based characteristics.

Residential services may only be funded through the waiver when the services are not covered by the State Plan, Early and Periodic Screening, Diagnostic, and Treatment (EPSDT), or a responsible third-party, such as Medicare or private insurance. Care Managers must assure that coverage of services provided under the State Plan, EPSDT, or a responsible third-party continues until the plan limitations have been reached or a determination of non-coverage has been established prior to this service's inclusion in the Recovery Plan. Documentation in accordance with DHSS requirements must be maintained in the beneficiary's file by the Care Manager and updated with each reauthorization, as applicable.

Except as permitted in accordance with requirements contained in DHSS guidance, policy, and regulations, this service may not be provided on the same day and at the same time as services that contain elements integral to the delivery of this service. This service may not be included on the same Recovery Plan as the following services: Nursing, Home Health Aide, Personal Care, IADL/Chore, NMT, or Respite. Beneficiaries with respite on their Recovery Plan are not eligible to receive respite. The Group Home provider should ensure that its staff receive breaks and vacations, as necessary.

Residential services should be provided only in facilities meeting home and community-based characteristic requirements and cannot be provided in the following settings or in settings located on the grounds of these facilities:

- Nursing Facility.

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- IMD.
- ICF for beneficiaries with IDD.
- Hospital providing long-term care or services.
- Any other location that has qualities of an institutional setting, as determined by DHSS.

Room and Board is excluded from Medicaid reimbursement and DSAMH will require the individual to contribute to their cost of care for room and board of this service. DSAMH may utilize State and Block Grant funds to reimburse providers for room and board costs not covered by individual's contribution to their cost of care. This service must be delivered in Delaware.

The Care Manager must ensure that the provider maintains documentation and that the Care Manager monitors the services on an ongoing basis to ensure that the health and welfare of the beneficiary is met and the Recovery Plan goals are achieved. The documentation must be available to the Care Manager for monitoring at all times, on an ongoing basis. Documentation in accordance with DHSS requirements must be maintained in the beneficiary's file by the Care Manager and updated with each reauthorization, as applicable.

If the monitoring suggests that a change in tiers is needed, the Care Manager will recommend a re-assessment to re-evaluate the beneficiary to determine the appropriateness of the assigned tier in accordance with DHSS requirements.

The service provider must maintain documentation in accordance with DHSS requirements. The Care Manager will monitor the community character of the residence during regularly scheduled contact with the beneficiary. All the facilities are community-based with a home-like environment providing access to typical home facilities and integrated into the community. Monthly visits will also ensure that the facility maintains a community character at each monthly visit. Community character means that a provider-owned facility ensures that persons are encouraged and afforded the opportunity to exercise their options of when and where to take community outings, have freedom to choose roommates, and are free to exercise personal choices as are other persons who do not qualify for services under the PROMISE program. PROMISE beneficiaries will have freedom to choose their service providers. Beneficiaries will be encouraged to have control over their meal and sleep times, visitor access, privacy, room decorations, and ability to engage freely in the community. Results of this monitoring will be reported to DHSS.

2. Program Evaluation – Performance and Outcome Measurement

The Residential Treatment program will be required to submit Consumer Reporting Forms (CRF) upon admission and discharge. Programs will also be required to develop internal performance and outcome measures (such as drug use, criminality, education, employment, housing, etc.) to evaluate program effectiveness and identify areas where improvement is needed, and to submit annual reports to DSAMH in a format to be agreed upon by the provider and DSAMH. Programs will be required to collect and report performance and outcome statistics to DSAMH in accordance with the requirements of the SAPT Block Grant.

Quality Improvement

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

The requirement contained in this paragraph is an essential and material term of any proposal. The failure to include a “quality Improvement” section containing the above minimum core requirements shall be grounds to deem such proposals non-responsive. Vendors selected for contract negotiations should be aware that DHSS intends 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 to negotiate any part 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 location(s) of the site(s) where they will offer the services for which they have applied.

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

Record Keeping Requirements:

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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 records shall include but are not limited to financial coach's findings, and other documentation sufficient to disclose the quantity, quality, appropriateness, and timeliness of services provided. The content of medical 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 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 beneficiary's records, whether electronic or paper, within 30 days of the request for records. The contractor shall be responsible for any reproduction costs for records requested by the State or a Federal agency.

The contractor shall upon the written request of the beneficiary, furnish a copy of the beneficiary's records within 10 calendar days of the receipt of the written request. Each beneficiary 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.

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

The Contractor shall ensure that 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

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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>

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

The contractor will be required to submit Consumer Reporting Forms (CRF) on all uninsured individuals served on admission and discharge.

Future EHR Interface

DSAMH is in the process of requirements definition for a future EHR/EMR module that will be developed as part of the consolidated DHSS EMR system by Core Solutions, Inc. that is being currently being implemented for two other DHSS divisions. DSAMH would like to develop a way interface between the Core module to be developed for DSAMH and bidder's proposed solution. Preference will be given to bidders who have successfully developed an interface to an EMR system. Bidder will describe their relevant experience in this area, their ability to develop this proposed interface and suggest what would need to be developed by your firm vs. Core Solutions. Development of this interface will not be part of this contract

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and bidder is not expected to propose anything at this point. We are only asking bidders to describe their knowledge and capabilities in this area. Development of this interface would be at the sole discretion of the State at some future date and would be done through an amendment to this contract.

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APPENDIX C:

BIDDERS SIGNATURE FORM

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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

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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

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**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

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**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.
- 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.

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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, VENDOR 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.
- 2.8. Invoices shall be submitted to:

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

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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 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.

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- 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 CONTRACTOR's project manager assigned to this Agreement.
- 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.

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- 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.

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

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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 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

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- 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 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.

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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 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

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b. An opportunity for consultation with the terminating party prior to termination.

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.

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

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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 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,

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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.
- 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.

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- 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, VENDOR NAME 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 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

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Department of Health & Social Services
Division of Substance Abuse & Mental Health

Delaware Public Records Law, 29 *Del. C.* Ch. 5. During the term of this Agreement, authorized representatives of Delaware may inspect or audit CONTRACTOR' 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.

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

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

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**

Gerard Gallucci, MD, MHS
Acting Director

Date