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REQUEST FOR PROPOSALS FOR

The Supports Intensity Scale Plus (SIS+)

ISSUING OFFICE

**Department of Public Welfare
Office of Mental Retardation**

RFP NUMBER

05-06

DATE OF ISSUANCE

[Include date]

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REQUEST FOR PROPOSALS FOR The Supports Intensity Scale Plus (SIS+)

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CALENDAR OF EVENTS

The Commonwealth will make every effort to adhere to the following schedule:

Activity	Responsibility	Date
Deadline to submit Questions via email to Melissa Allar at meallar@state.pa.us.	Potential Offerors	6/9/06
Preproposal Conference—Location. (Optional)	Issuing Office/Potential Offerors	6/13/06
Answers to Potential Offeror questions posted to the DGS website (http://www.dgsweb.state.pa.us/comod/main.asp) no later than this date.	Issuing Office	6/16/06
Please monitor website for all communications regarding the RFP.	Potential Offerors	5/24/06-6/30/06
Sealed proposal must be received by the Issuing Office at Procurement Department of Public Welfare Division of Procurement Room 106, Health and Welfare Building P.O. Box 2675 Harrisburg, Pennsylvania 17105-2675	Offerors	No later than 2pm on 6/30/06

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PART I

GENERAL INFORMATION

I-1. Purpose. This request for proposals (RFP) provides to those interested in submitting proposals for the subject procurement (“Offerors”) sufficient information to enable them to prepare and submit proposals for the Office of Mental Retardation’s consideration on behalf of the Commonwealth of Pennsylvania (“Commonwealth”) to satisfy a need for the Supports Intensity Scale Plus (SIS+) (“Project”).

I-2. Issuing Office. The Office of Mental Retardation (“Issuing Office”) has issued this RFP on behalf of the Commonwealth. The sole point of contact in the Commonwealth for this RFP shall be **Melissa Allar, meallar@state.pa.us**, the Project Officer for this RFP. Please refer all inquiries to the Project Officer.

I-3. Scope. This RFP contains instructions governing the requested proposals, including the requirements for the information and material to be included; a description of the service to be provided; requirements which Offerors must meet to be eligible for consideration; general evaluation criteria; and other requirements specific to this RFP.

I-4. Problem Statement. The PA Office of Mental Retardation (OMR) must ensure that each participant in its Medicaid waivers has a standardized needs assessment completed. The Supports Intensity Scale Plus (SIS+) is the instrument chosen by OMR to be a consistent assessment of support needs. The offeror will be responsible for administering the SIS+ to people registered with the PA mental retardation system, including people in the PFDS and Consolidated waivers and people on the waiting list. The SIS+ is comprised of the SIS, an assessment developed by the American Association on Mental Retardation (AAMR), and additional questions developed by OMR. The SIS is unique in that it measures the support needs of an individual, not personal competence. Traditional assessment tools focus on skill deficiency. SIS is a standardized assessment tool designed to measure the pattern and the level of supports needed by an adult with developmental disabilities to be successful. The SIS+ will be used as part of the individual planning process for MR services and supports. Additional detail is provided in **Part IV** of this RFP.

I-5. Type of Contract. If the Issuing Office enters into a contract because of this RFP, it will be a **fee for service maximum price contract with performance measures and standards**. It will contain the Standard Contract Terms and Conditions as shown in **Appendix A** that is available at <http://www.dgs.state.pa.us/dgs/lib/dgs/forms/comod/procurementforms/std274.doc>; and DPW Addendum to Standard Contract Terms and Conditions as shown in **Appendix C**. The Issuing Office, in its sole discretion, may undertake negotiations with Offerors whose proposals, in the judgment of the Issuing Office, show them to be qualified, responsible and capable of performing the Project.

I-6. Rejection of Proposals. The Issuing Office reserves the right, in its sole and complete discretion, to reject any proposal received because of this RFP.

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I-7. Incurring Costs. The Issuing Office is not liable for any costs the Offeror incurs in preparation and submission of its proposal, in participating in the RFP process or in anticipation of award of the contract.

I-8. Preproposal Conference. The Issuing Office will hold a preproposal conference as specified in the Calendar of Events. The purpose of this conference is to provide opportunity for clarification of the RFP. Offerors should forward all questions to the Issuing Office in accordance with **Part I, Section I-9** to ensure adequate time for analysis before the Issuing Office provides an answer. Offerors may also ask questions at the conference. In view of the limited facilities available for the conference, Offerors should limit their representation to two individuals per Offeror. The preproposal conference is for information only. Any answers furnished during the conference will not be official until the Issuing Office has verified them, in writing. All questions and written answers will be posted on the Department of General Services' (DGS) website as an addendum to, and shall become part of, this RFP. Attendance at the Preproposal Conference is optional.

I-9. Questions & Answers. If an Offeror has any questions regarding this RFP, the Offeror must submit the questions by email (**with the subject line "RFP 05-06 Question"**) to the Issuing Officer named in **Part I, Section I-2** of the RFP. If the Offeror has questions, they must be submitted via email **no later than** the date indicated on the Calendar of Events. The Offeror shall not attempt to contact the Issuing Officer by any other means. The Issuing Officer shall post the answers to the questions on the DGS website by the date stated on the Calendar of Events.

All questions and responses as posted on the DGS website are considered as an addendum to, and part of, this RFP in accordance with RFP **Part I, Section I-10**. Each Offeror shall be responsible to monitor the DGS website for new or revised RFP information. The Issuing Office shall not be bound by any verbal information nor shall it be bound by any written information that is not either contained within the RFP or formally issued as an addendum by the Issuing Office. The Issuing Office does not consider questions to be a protest of the specifications or of the solicitation. The required protest process for Commonwealth procurements are described in **Appendix F**.

I-10. Addenda to the RFP. If the Issuing Office deems it necessary to revise any part of this RFP before the proposal response date, the Issuing Office will post an addendum to the DGS website at www.dgsweb.state.pa.us/comod/main.asp. It is the Offeror's responsibility to check the website for any new information or addenda to the RFP. Answers to the questions asked during the Questions & Answers period will be posted to the website as an addendum to the RFP.

I-11. Response Date. To be considered for selection, hard copies of proposals must arrive at the Issuing Office on or before the time and date specified in the RFP Calendar of Events. The Issuing Office will **not** accept proposals via email or facsimile transmission. Offerors who send proposals by mail or other delivery service should allow sufficient delivery time to ensure timely receipt of their proposals. If, due to inclement weather, natural disaster, or any other cause, the Commonwealth office location to which proposals are to be returned is closed on the proposal

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response date, the deadline for submission will be automatically extended until the next Commonwealth business day on which the office is open, unless the Issuing Office otherwise notifies Offerors. The hour for submission of proposals shall remain the same. The Issuing Office will reject unopened, any late proposals.

I-12. Proposals. Offerors should submit a complete response to this RFP, using the format provided in **Part II**, providing **10 paper** copies of the proposal to the Issuing Office. In addition to the paper copies of the proposal, Offerors shall submit one **complete and exact** copy of the technical proposal on CD-ROM in Microsoft Office or Microsoft Office-compatible format. The Offeror shall make no other distribution of its proposal to any other Offeror or Commonwealth official or Commonwealth consultant. Each proposal page must be numbered for ease of reference. An official authorized to bind the Offeror to its provisions must sign the proposal. For this RFP, the proposal must remain valid for 120 days or until a contract is fully executed. If the Issuing Office selects the Offeror's proposal for award, the contents of the selected Offeror's proposal will become, except to the extent the contents are changed through Best and Final Offers or negotiations, contractual obligations. The information in the proposal will become a public record upon contract execution, except as limited by Section 106 (b)(1) of the *Commonwealth Procurement Code*, 62 Pa. C.S. § 106 (b)(1).

Each Offeror submitting a proposal specifically waives any right to withdraw or modify it, except that the Offeror may withdraw its proposal by written notice received at the Issuing Office's address for proposal delivery prior to the exact hour and date specified for proposal receipt. An Offeror or its authorized representative may withdraw its proposal in person prior to the exact hour and date set for proposal receipt, provided the withdrawing person provides appropriate identification and signs a receipt for the proposal. An Offeror may modify its submitted proposal prior to the exact hour and date set for proposal receipt only by submitting a new sealed proposal or sealed modification which complies with the RFP requirements.

I-13. Disadvantaged Business Information. The Commonwealth encourages participation by Small Disadvantaged Businesses as prime contractors, joint ventures, and subcontractors/suppliers, and by Socially Disadvantaged Businesses as prime contractors.

Small Disadvantaged Businesses are small businesses that are owned or controlled by a majority of persons, not limited to members of minority groups, who have been deprived of the opportunity to develop and maintain a competitive position in the economy because of social disadvantages. The term includes: 1) Department of General Services Bureau of Minority & Women Business Opportunities (BMWBO)-certified Minority Business Enterprises (MBEs) and Women Business Enterprises (WBEs) that qualify as small businesses, and 2) United States Small Business Administration (SBA)-certified Small Disadvantaged Businesses (SDBs) or 8(a) small disadvantaged business concerns.

Small businesses are businesses in the United States that are independently owned, are not dominant in their field of operation, employ no more than 100 persons, and earn less than \$20 million in gross annual revenues (\$25 million in gross annual revenues for those businesses in the information technology sales or service business).

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Socially disadvantaged businesses are businesses in the United States that BMWBO determines are owned or controlled by a majority of persons, not limited to members or minority groups, who are subject to racial or ethnic prejudice or cultural bias, but which do not qualify as small businesses. In order for a business to qualify as “socially disadvantaged”, the offeror must include in its proposal clear and convincing evidence to establish that the business has personally suffered racial or ethnic prejudice or cultural bias stemming from the business person’s color, ethnic origin, or gender.

Questions regarding this Program can be directed to:

Department of General Services
Bureau of Minority & Women Business Opportunities
Room 611, North Office Building
Harrisburg, PA 17125
gs-bmwbo@state.pa.us
Phone: (717) 787-6708
FAX: (717) 772-0021

Program information and a database of BMWBO-certified minority- and women-owned businesses can be accessed at www.dgs.state.pa.us, Keyword: BMWBO. The federal vendor database can be accessed at www.ccr.gov by clicking on Dynamic Small Business Search (certified companies are so indicated).

I-14. Information Concerning Small Businesses in Enterprise Zones. The Commonwealth of Pennsylvania encourages participation by small businesses whose primary headquarters facility is physically located in areas designated by the Commonwealth as Designated Enterprise Zones, as prime contractors, joint ventures and subcontractors/suppliers.

Small businesses are businesses in the United States that are independently owned, are not dominant in their field of operation, employ no more than 100 persons and earn less than \$20 million in gross annual revenues (\$25 million in gross annual revenues for those businesses in the information technology sales or service business).

There is no database or directory of small business located in Designated Enterprise Zones. Information on the location of *Designated Enterprise Zones* can be obtained by contacting:

Aldona M. Kartorie
Center for Community Building
PA Department of Community and Economic Development
4th Floor Keystone Building
400 North Street
Harrisburg, PA 17120-0225
Phone: (717) 720-7409
Fax: (717) 787-4088
Email: akartorie@state.pa.us

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I-15. Economy of Preparation. Offerors should prepare proposals simply and economically, providing a straightforward, concise description of the Offeror’s ability to meet the requirements of the RFP.

I-16. Alternate Proposals. The Issuing Office has identified the basic approach to meeting its requirements, allowing Offerors to be creative and propose their best solution to meeting these requirements. The Issuing Office will not accept alternate proposals.

I-17. Discussions for Clarification. Offerors may be required to make an oral or written clarification of their proposals to the Issuing Office to ensure thorough mutual understanding and Offeror responsiveness to the solicitation requirements. The Issuing Office will initiate requests for clarification.

I-18. Prime Contractor Responsibilities. The contract will require the selected Offeror to assume responsibility for all services offered in its proposal whether it produces them itself or by subcontract. The Issuing Office will consider the selected Offeror to be the sole point of contact with regard to contractual matters.

I-19. Proposal Contents. Offerors should not label proposal submissions as confidential or proprietary. The Issuing Office will hold all proposals in confidence and will not reveal or discuss any proposal with competitors for the contract, unless disclosure is required:

- i) Under the provisions of any Commonwealth or United States statute or regulation; or
- ii) By rule or order of any court of competent jurisdiction.

After a contract is executed, however, the successful proposal is considered a public record under the *Right-to Know Law*, 65 P.S. § 66.1—66.9, and therefore subject to disclosure. The financial capability information submitted under **Part II, Section II-7** shall not be disclosed in the final contract. All material submitted with the proposal becomes the property of the Commonwealth of Pennsylvania and may be returned only at the Issuing Office’s option. The Issuing Office, in its sole discretion, may include any person other than competing Offerors on its proposal evaluation committee. The Issuing Office has the right to use any or all ideas presented in any proposal regardless of whether the proposal becomes part of a contract.

I-20. Best and Final Offers. The Issuing Office reserves the right to conduct discussions with Offerors for obtaining “best and final offers.” To obtain best and final offers from Offerors, the Issuing Office may do one or more of the following:

- i) Enter into pre-selection negotiations, including the use of an online auction;
- ii) Schedule oral presentations; and

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- iii) Request revised proposals.

The Issuing Office will limit any discussions to responsible Offerors (those that have submitted responsive proposals and possess the capability to fully perform the contract requirements in all respects and the integrity and reliability to assure good faith performance) whose proposals the Issuing Office has determined to be reasonably susceptible of being selected for award. The Criteria for Selection found in **Part III, Section III-4**, shall also be used to evaluate the best and final offers. Price reductions offered through any reverse online auction shall have no effect upon the Offeror's Technical Submittal. Dollar commitments to Disadvantaged Businesses and Enterprise Zone Small Businesses can be reduced only in the same percentage as the percent reduction in the total price offered through negotiations, including the online auction.

I-21. News Releases. Offerors shall not issue news releases, Internet postings, advertisements or any other public communications pertaining to this Project without prior written approval of the Issuing Office, and then only in coordination with the Issuing Office.

I-22. Restriction of Contact. From the issue date of this RFP until the Issuing Office selects a proposal for award, the Issuing Officer is the sole point of contact concerning this RFP. Any violation of this condition may be cause for the Issuing Office to reject the offending Offeror's proposal. If the Issuing Office later discovers that the Offeror has engaged in any violations of this condition, the Issuing Office may reject the offending Offeror's proposal or rescind its contract award. Offerors must agree not to distribute any part of their proposals beyond the Issuing Office. An Offeror who shares information contained in its proposal with other Commonwealth personnel and/or competing Offeror personnel may be disqualified.

I-23. Debriefing Conferences. Offerors whose proposals are not selected will be notified of the name of the selected Offeror and given the opportunity to be debriefed. The Issuing Office will schedule the time and location of the debriefing. The debriefing will not compare the Offeror with other Offerors, other than the position of the Offeror's proposal in relation to all other Offeror proposals. An Offeror's exercise of the opportunity to be debriefed does not constitute the filing of a protest.

I-24. Issuing Office Participation. Offerors shall provide all services, supplies, facilities, and other support necessary to complete the identified work.

I-25. Term of Contract. The term of the contract will commence on the Effective Date, January 1, 2007 and will end two years after the effective date with the possibility of three one-year renewal options. The Issuing Office will fix the Effective Date after the contract is fully executed by the selected Offeror and by the Commonwealth and all approvals required by Commonwealth contracting procedures have been obtained. The selected Offeror shall not start the performance of any work prior to the Effective Date of the contract and the Commonwealth shall not be liable to pay the selected Offeror for any service or work performed or expenses incurred before the Effective Date of the contract.

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I-26. Offeror's Representations and Authorizations. By submitting its proposal, each Offeror understands, represents, and acknowledges that:

- a. All of the Offeror's information and representations in the proposal are material and important, and the Issuing Office may rely upon the contents of the proposal in awarding the contract(s). The Commonwealth shall treat any misstatement, omission or misrepresentation as fraudulent concealment of the true facts relating to the Proposal submission, punishable pursuant to 18 Pa. C.S. § 4904.
- b. The Offeror has arrived at the price(s) and amounts in its proposal independently and without consultation, communication, or agreement with any other Offeror or potential offeror.
- c. The Offeror has not disclosed the price(s), the amount of the proposal, nor the approximate price(s) or amount(s) of its proposal to any other firm or person who is an Offeror or potential offeror for this RFP. The Offeror shall not disclose any of these items on or before the proposal submission deadline specified in the Calendar of Events of this RFP.
- d. The Offeror has not attempted, nor will it attempt, to induce any firm or person to refrain from submitting a proposal on this contract, or to submit a proposal higher than this proposal, or to submit any intentionally high or noncompetitive proposal or other form of complementary proposal.
- e. The Offeror makes its proposal in good faith and not pursuant to any agreement or discussion with, or inducement from, any firm or person to submit a complementary or other noncompetitive proposal.
- f. To the best knowledge of the person signing the proposal for the Offeror, the Offeror, its affiliates, subsidiaries, officers, directors, and employees are not currently under investigation by any governmental agency. And have not in the last **four** years been convicted or found liable for any act prohibited by State or Federal law in any jurisdiction, involving conspiracy or collusion with respect to bidding or proposing on any public contract, except as the Offeror has disclosed in its proposal.
- g. To the best of the knowledge of the person, signing the proposal for the Offeror and except as the Offeror has otherwise disclosed in its proposal; the Offeror has no outstanding, delinquent obligations to the Commonwealth. Including, but not limited to, any state tax liability not being contested on appeal or other obligation of the Offeror that is owed to the Commonwealth.
- h. The Offeror is not currently under suspension or debarment by the Commonwealth, any other state or the federal government, and if the Offeror cannot so certify, then it shall submit along with its proposal a written explanation of why it cannot make such certification.

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- i. The Offeror has not made, under separate contract with the Issuing Office, any recommendations to the Issuing Office concerning the need for the services described in its proposal or the specifications for the services described in the proposal.
- j. Each Offeror, by submitting its proposal, authorizes all Commonwealth agencies to release to the Commonwealth information related to liabilities to the Commonwealth, including but not limited to taxes, unemployment compensation and workers' compensation liabilities.
- k. Until the selected Offeror receives a fully executed and approved written contract from the Issuing Office, there is no legal and valid contract, in law or in equity, and the Offeror shall not begin to perform.
- l. The Offeror and all assessors working for the Offeror must be conflict free. Any agency or organization submitting a proposal must not be a provider of mental retardation services in the Commonwealth of Pennsylvania or a non-service provider (ex. HCQU, fiscal vendor ISO, IMT). Assessors cannot evaluate members of their own families or those people with whom they have a personal relationship.

I-27. Notification of Selection. The Issuing Office will notify the selected Offeror in writing of its selection for negotiation after the Issuing Office has determined, taking into consideration all of the evaluation factors, the proposal that is the most advantageous to the Issuing Office.

I-28. RFP Protest Procedure. The RFP Protest Procedure is in **Appendix F**. A protest by a party not submitting a proposal must be filed within **seven** days after the protesting party knew or should have known of the facts giving rise to the protest, but no later than the proposal submission deadline specified in the Calendar of Events of the RFP. Offerors may file a protest within **seven** days after the protesting Offeror knew or should have known of the facts giving rise to the protest, but in no event may an Offeror file a protest later than **seven** days after the date the notice of award of the contract is posted on the DGS website. The date of filing is the date of receipt of the protest. A protest must be filed in writing with the Issuing Office.

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PART II

PROPOSAL REQUIREMENTS

Offerors must submit their proposals in the format, including heading descriptions, outlined below. To be considered, the proposal must respond to all requirements in this part of the RFP. Offerors should provide any other information thought to be relevant, but not applicable to the enumerated categories, as an appendix to the Proposal. Each Proposal shall consist of the following **three** separately sealed submittals:

- a. Technical Submittal, which shall be a response to RFP **Part II, Sections II-1 through II-9**;
- b. Disadvantaged Business Submittal, in response to RFP **Part II, Section II-10**; and
- c. Cost Submittal, in response to RFP **Part II, Section II-11**.

The Issuing Office reserves the right to request additional information, which, in the Issuing Office's opinion, is necessary to assure that the Offeror's competence, number of qualified employees, business organization, and financial resources are adequate to perform according to the RFP.

The Issuing Office may make investigations as deemed necessary to determine the ability of the Offeror to perform the Project, and the Offeror shall furnish to the Issuing Office all requested information and data. The Issuing Office reserves the right to reject any proposal if the evidence submitted by, or investigation of, such Offeror fails to satisfy the Issuing Office that such Offeror is properly qualified to carry out the obligations of the RFP and to complete the Project as specified.

II-1. Statement of the Problem. State in succinct terms your understanding of the problem presented or the service required by this RFP.

II-2. Management Summary. Include a narrative description of the proposed effort and a list of the items to be delivered or services to be provided.

II-3. Work Plan. Describe in narrative form your technical plan for accomplishing the work. Use the task descriptions in **Part IV** of this RFP as your reference point. Include how your plan will ensure consistency of application of the SIS+ assessment. Also, include the process flow from time of assessment to completion in HCSIS. Include number of people involved in this process flow and the role of each person. Modifications of the task descriptions are permitted; however, reasons for changes should be fully explained. Indicate the number of person hours allocated to each task. Describe your planned assessment process and include how information will flow between your agency, the county MR programs/administrative entities, and OMR. Include a Program Evaluation and Review Technique (PERT) or similar type display, time

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related, showing each event. If more than, one approach is apparent, comment on why you chose this approach.

II-4. Offeror Qualifications

A. Organizational Status

The offeror must describe its corporate identity, forms and status, including name, address, telephone number, fax number and email address for the legal entity with whom the contract will be written. In addition, please provide the name and address of the principal officers, a description of its major services, its legal status as a for-profit or not-for-profit company and any specific licenses and accreditations held by the offeror.

Offerors must provide similar organizational background information on any significant subcontractor (exclusive of affiliates). A significant subcontractor is defined as an organization undertaking more than 10% (on a total cost basis) of the work associated with this RFP.

B. Financial Information

Offerors must submit information about the financial conditions of the company in this section. This section is distinct from Part II-10 Cost Submittal. No information required in the Cost Submittal should be included in this section or anywhere else other than in the Cost Submittal. The offeror must provide the following information:

- The identity of a related party who may have submitted a proposal, and how the other party meets the definition of a related party. Compliance with this requirement does not require an offeror to seek out information that it does not already have available.
- The identity of each entity that owns at least five percent (5%) of the proposing entity. Provide the below required information on the proposing entity, and for each entity that owns at least five percent (5%) of the proposing entity, as an appendix to the proposal. If any information requested is not applicable or not available, provide an explanation. Offerors may submit appropriate documentation to support information provided.
 - Audited financial statements for the two (2) most recent fiscal years for which statements are available. The statements must include a balance sheet, statement of revenue and expense and a statement of cash flows. Statements must include the auditor's opinion, the notes to the financial statements and management letters submitted by the auditor to the offeror. If audited financial statements are not available, explain why and submit unaudited financial statements.

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- Unaudited financial statements for the period between the last month covered by the audited statements and the month before the proposal is submitted.
- Documentation about lines of credit that are available, including maximum credit amount and amount available thirty (30) days prior to the submission of the proposal.
- The full name and address of any proposed subcontractor in which the offeror has a five percent (5%) or more ownership interest. The offeror will provide a copy of its Financial and Accounting Policies and Procedures.
- The full name and address of any organizations with which the offeror anticipates subcontracting. The offeror must describe how it will ensure a smooth working relationship with subcontractors.
- A list of any financial interests the subcontractor may have in its organization or any financial interest its organization has in proposed subcontractors.
- Information about any pending litigation.
- A list of start-up capital. The offeror must identify the sources and provide verification.

The offeror must provide copies of all proposed subcontracted arrangements as an appendix to the proposal.

The offeror should include in its proposal a general statement regarding its corporate resources and financial stability that demonstrates its ability to perform the work required in this RFP.

For ease in assembling the proposal, the offeror may append its financial documentation rather than including it in the main body of the proposal

II-5. Prior Experience. Include experience in working with people with disabilities and families; understanding of how to interview/communicate with people with mental retardation; administering standardized assessments. Experience shown should be work done by individuals who will be assigned to this project as well as that of your company. Studies or projects referred to must be identified and the name of the customer shown, including the name, address, and telephone number of the responsible official of the customer, company, or agency who may be contacted.

II-6. Personnel. Include the number of executive and professional personnel, analysts, auditors, researchers, programmers, consultants, etc., who will be engaged in the work. Show where these personnel will be physically located during the time they are engaged in the Project. For key personnel, including all management personnel involved in planning for the

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administration of the SIS+, include the employee's name and, through a resume or similar document, the Project personnel's education and experience in working and communicating with people with mental retardation, administering assessments for people with mental retardation. Indicate the responsibilities each individual will have in this Project and how long each has been with your company. Identify by name any subcontractors you intend to use and the services they will perform. Include the total number of people to be used to complete assessments. Include the minimum qualifications the offeror will require for assessors.

II-7. Training. If appropriate, indicate recommended training of agency personnel. Include the agency personnel to be trained, the number to be trained, duration of the program, place of training, curricula, training materials to be used, number and frequency of sessions, and number and level of instructors. Indicate how you will ensure that AAMR sponsored training will be provided to all assessors. OMR may require additional training as needed. A train the trainer model may be used, but this must be specified in the training plan.

II-8. Financial Capability. Describe your company's financial stability and economic capability to perform the contract requirements. Financial documents such as audited financial statements or recent tax returns will be acceptable to the Commonwealth.

II-9. Domestic Workforce Utilization. Complete and sign the Domestic Workforce Utilization Certification contained in **Appendix B** of this RFP.

II-10. Objections and Additions to Standard Contract Terms and Conditions. The Offeror will identify which, if any, of the terms and conditions (contained in **Appendices A and C**) it would like to renegotiate and what additional terms and conditions the Offeror would like to add to the standard contract terms and conditions. The Offeror's failure to make a submission under this paragraph will result in its waiving its right to do so later, but the Issuing Office may consider late objections and requests for additions if to do so, in the Issuing Office's sole discretion, would be in the best interest of the Commonwealth. The Issuing Office may, in its sole discretion, accept or reject any requested changes to the standard contract terms and conditions. The Offeror shall not request changes to the other provisions of the RFP, nor shall the Offeror request to completely substitute its own terms and conditions for **Appendices A and C**. All terms and conditions must appear in one integrated contract. The Issuing Office will not accept references to the Offeror's, or any other, online guides or online terms and conditions contained in any proposal.

Regardless of any objections set out in its proposal, the Offeror must submit its proposal, including the cost proposal, on the basis of the terms and conditions set out in **Appendices A and C**. The Issuing Office will reject any proposal that is conditioned on the negotiation of terms and conditions other than those set out in **Appendices A and C**.

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II-11. Disadvantaged Business Submittal.

a. Disadvantaged Business Information.

To receive credit for being a Small Disadvantaged Business or a Socially Disadvantaged Business, entering into a joint venture agreement with a Small Disadvantaged Business, or subcontracting with a Small Disadvantaged Business (including purchasing supplies and/or services through a purchase agreement), a company must include proof of Disadvantaged Business qualification in the Disadvantaged Business submittal of the proposal:

- 1) Small Disadvantaged Businesses qualifying as a result of MBE/WBE certification from BMWBO must provide a photocopy of their BMWBO certificate.
- 2) Disadvantaged Businesses qualifying as a result of certification from the U.S. Small Business Administration as an 8(a) or Small Disadvantaged Business must submit proof of Small Business Administration Certification. The owners of such businesses must also submit proof of United States citizenship.
- 3) All companies claiming Small Disadvantaged Business status, whether as a result of BMWBO certification or Small Business Administration certification as an 8(a) or Small Disadvantaged Business, must attest to the fact that the business has 100 or fewer employees.
- 4) All companies claiming Small Disadvantaged Business status, whether as a result of BMWBO certification or Small Business Administration certification as an 8(a) or Small Disadvantaged Business, must submit proof that their gross annual revenues are less than \$20,000,000 (\$25,000,000 for those businesses in the information technology sales or service business). This can be accomplished by including a recent tax or audited financial statement.

All companies claiming status as a Socially Disadvantaged Business must include in the Disadvantaged Business submittal of the proposal clear and convincing evidence to establish that the business has personally suffered racial or ethnic prejudice or cultural bias stemming from the business person's color, ethnic origin, or gender. The submitted evidence of prejudice or bias must:

- 1) Be rooted in treatment which the business person has experienced in American society, not in other countries.
- 2) Show prejudice or bias that is chronic and substantial, not fleeting or insignificant.
- 3) Indicate that the businessperson's experience with the racial or ethnic prejudice or cultural bias has negatively impacted on his or her entry into and/or advancement in the business world.

BMWBO shall determine whether the contractor has established that a business is socially disadvantaged by clear and convincing evidence.

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In addition to these verifications, this portion of the proposal should include the following information:

- 1) The name and telephone number of your project (contact) person for the Small Disadvantaged Business(es).
- 2) The company name, address, telephone number of the prime contact person for each **specific** Small Disadvantaged Business or Socially Disadvantaged Business included in the proposal. The contractor must specify the Small Disadvantaged Business(es) to which it is making commitments. The contractor will not receive credit by stating it will find a Small Disadvantaged Business after the contract is awarded or by listing several companies and stating it will select one later.
- 3) The specific work, goods, or services the Small Disadvantaged Business(es) will perform or provide.
- 4) The form and amount of compensation each Small Disadvantaged Business will receive. In the Disadvantaged Business submittal of the proposal, provide the estimated dollar value of the contract to each Small Disadvantaged Business.
- 5) Of the estimated dollar value of the contract to each Small Disadvantaged Business, the percent of the total value of services or products purchased/subcontracted under the proposal that will be provided by the Small Disadvantaged Business(es).
- 6) The location where the Small Disadvantaged Business(es) will perform these services.
- 7) The timeframe for the Small Disadvantaged Business(es) to provide or deliver the goods or services.
- 8) The amount of capital, if any, the Small Disadvantaged Business(es) will be expected to provide.
- 9) For a joint venture agreement, a copy of the agreement, signed by all parties, must be included in the Disadvantaged Business portion of the proposal.
- 10) If subcontracting, a signed subcontract or letter of intent must be included in the Disadvantaged Business portion of the proposal.
- 11) Include in the Disadvantaged Business Submittal any and all information concerning the contractor's proposed utilization of small businesses located in *Designated Enterprise Zones* as required by [If applicable, enter Section of Part # of the Enterprise Zone Small Business Utilization Response], Enterprise Zone Small Business Utilization Response.

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The Offeror is required to submit only one copy of its Disadvantaged Business Submittal. The submittal shall be clearly identified as Disadvantaged Business information and sealed in its own envelope, separate from the remainder of the proposal.

The Offeror must include the dollar value of the commitment to each Small Disadvantaged Business or Socially Disadvantaged Business in the same sealed envelope with its Disadvantaged Business Submittal. The following will become a contractual obligation once the contract is fully executed:

- 1) The amount of the selected Offeror's Disadvantaged Business commitment;
- 2) The name of each Small Disadvantaged Business or Socially Disadvantaged Business;
and
- 3) The services each Small Disadvantaged Business or Socially Disadvantaged Business will provide, including the timeframe for performing the services.

Offerors may submit, within the same proposal envelope, alternate proposals for differing utilization of Small Disadvantaged Businesses or Socially Disadvantaged Businesses. For example, a proposal may be submitted by prime contractor with a Small Disadvantaged Business as a subcontractor while an alternate proposal may be submitted by the Small Disadvantaged Business as the prime contractor. If an alternate proposal is offered, it must include separately sealed Technical, Price, and Disadvantaged Business submittals for the alternate. The alternate proposal will be scored separately. Only the higher-scored proposal (prime proposal or alternate proposal) will be eligible for participation for Best and Final Offers.

b. Enterprise Zone Small Business Utilization.

To receive credit for being an enterprise zone small business or entering into a joint venture agreement with an enterprise zone small business or subcontracting with an enterprise zone small business, a company must include the following information in the Disadvantaged Business submittal of the proposal:

- 1) Proof of the location of the business' headquarters (such as a lease or deed or Department of State corporate registration).
- 2) Confirmation of the enterprise zone in which it is located (obtained from the local enterprise zone office).
- 3) Proof of United States citizenship of the owners of the business.
- 4) Certification that the business employs 100 or fewer employees.
- 5) Proof that the business's gross annual revenues are less than \$20,000,000 (\$25,000,000 for those businesses in the information technology sales or service business). This can be accomplished by including a recent tax or audited financial statement.

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In addition to these verifications, this portion of the Submittal should include the following information:

- 1) The company name, address, name and telephone number of the primary contact person for each Enterprise Zone Small Business included in the proposal. The contractor must specify the Enterprise Zone Small Business to which it is making commitments. The contractor will not receive credit by stating that it will find a Enterprise Zone Small Business after the contract is awarded or by listing several companies and stating it will select one later.
- 2) The specific work, goods, or services the Enterprise Zone Small Business will perform or provide.
- 3) The form and amount of compensation each Enterprise Zone Small Business will receive. In the Disadvantaged Business portion of the proposal, provide the estimated dollar value of the contract to each Enterprise Zone Small Business.
- 4) Of the estimated dollar value of the contract to each Enterprise Zone Small Business, the percent of the total value of services or products purchased/subcontracted under the proposal that will be provided by the Enterprise Zone Small Business.
- 5) The location where the Enterprise Zone Small Business will perform these services.
- 6) The timeframe for the Enterprise Zone Small Business to provide or deliver the goods or services.
- 7) The amount of capital, if any, the Enterprise Zone Small Business will be expected to provide.
- 8) For a joint venture agreement, a copy of the agreement, signed by all parties, must be included in the Disadvantaged Business Submittal of the proposal.
- 9) If subcontracting, a signed subcontract or letter of intent must be included in the Disadvantaged Business Submittal of the proposal.

The dollar value of the commitment to each Enterprise Zone Small Business must be sealed in the same envelope with the Disadvantaged Business Submittal of the proposal. The selected contractor's Enterprise Zone Small Business commitment amount, name of Enterprise Zone Small Business, and services to be provided including timeframe for performing services will be included as a contractual obligation when the contract is executed.

II-12. Cost Submittal. The information requested in this **Part II, Section II-11** shall constitute the Cost Submittal. The Cost Submittal shall be placed in a separate sealed envelope within the sealed proposal, separated from the technical submittal. **Any proposal failing to meet this requirement will be automatically DISQUALIFIED.** Offeror will complete a pricing proposal

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template, Appendix H. This pricing proposal template should include a price per review based on completing 9,000 SIS+ Assessments per year of the contract. Offerors should **not** include any assumptions in their cost submittals. If the Offeror includes assumptions in its cost submittal, the Issuing Office may reject the proposal. Offerors should direct in writing to the Issuing Office pursuant to **Part I, Section I-9**, of this RFP any questions about whether a cost or other component is included or applies. All Offerors will then have the benefit of the Issuing Office's written answer so that all proposals are submitted on the same basis.

- a. **Direct Labor Costs.** Itemize to show the following for each category of personnel with a different hourly rate:
 - i) Category (e.g., partner, project manager, analyst, senior auditor, research associate).
 - ii) Estimated hours.
 - iii) Rate per hour.
 - iv) Total cost for each category and for all direct labor costs.
- b. **Labor Overhead.** Specify what is included and rate used.
- c. **Travel and Subsistence.** Itemize transportation, lodging and meals per diem costs separately. Travel and subsistence costs must conform with the requirements of the most current version of Commonwealth Management Directive 230.10, *Travel and Subsistence Allowances*. The Issuing Office may accept higher rates normally paid by an Offeror, if those rates were approved by the Offeror's officials and published prior to submitting this proposal to the Issuing Office.
- d. **Consultant Costs.** Itemize as in (a) above.
- e. **Subcontract Costs.** Itemize as in (a) above.
- f. **Cost of Supplies and Materials.** Itemize.
- g. **Other Direct Costs.** Itemize.
- h. **General Overhead Costs.** Overhead includes **two** major categories of cost, operations overhead and general and administrative overhead. Operations overhead includes costs that are not **100%** attributable to the service being completed, but are generally associated with the recurring management or support of the service. General and administrative overhead includes salaries, equipment and other costs related to headquarters management external to the service, but in support of the activity being completed. Specify what specific items are included and the rates used.

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i. **Fee or Profit.**

j. **Total Cost.**

The Issuing Office will reimburse the selected Offeror for work satisfactorily performed after execution of a written contract and the start of the contract term, in accordance with contract requirements, and only after the Issuing Office has issued a notice to proceed. Payment will be performance based (based on number of assessments completed and timely completion).

II-13. Program Performance Measures. While this section is evaluated and scored, the items proposed here will be used as a basis for final negotiation with the selected offeror.

As noted in the Problem Statement, the goal of the Office of Mental Retardation (OMR) is for each participant in its Medicaid waivers to have standardized needs assessment completed. To support this goal

Measures

1. 750 SIS+ Assessments to be completed per month
2. Assessments completed within requested month (list will be provided yearly)
3. Assessments completed as emergency request must be completed within 30 calendar days from receipt of request
4. Number of assessors over budgeted licenses (penalty)

Deliverables

1. **Completion of SIS+ Assessment**
2. **Training Plan**

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PART III

CRITERIA FOR SELECTION

III-1. Mandatory Responsiveness Requirements. To be eligible for selection, a proposal must be (a) timely received from an Offeror; (b) properly signed by the Offeror; and (c) formatted such that all cost data relating to this proposal and all Disadvantaged Business cost data is kept separate from and not included in the Technical Submittal.

III-2. Technical Nonconforming Proposals. The Issuing Office reserves the right, in its sole discretion, to waive technical or immaterial nonconformities in an Offeror's proposal.

III-3. Evaluation. The Issuing Office has selected a committee of qualified personnel to review and evaluate timely submitted proposals. Independent of the committee, BMWBO will evaluate the Disadvantaged Business Submittal and provide the Issuing Office with a rating for this component of each proposal. The Issuing Office will notify in writing of its selection for negotiation the responsible Offeror whose proposal is determined to be the most advantageous to the Commonwealth as determined by the Issuing Office after taking into consideration all of the evaluation factors. The Issuing Office will award a contract only to an Offeror determined to be responsible in accordance with the most current version of Commonwealth Management Directive 215.9, *Contractor Responsibility Program*.

III-4. Criteria for Selection. The following criteria will be used in evaluating each proposal:

Technical Submittal Evaluation Criteria

1. Statement of Understanding

The evaluation committee will evaluate the offeror's understanding of the Department's needs and objectives in asking for the services and the nature and scope of the work involved.

2. Offeror Qualification

The evaluation committee will evaluate the offeror's ability to meet the terms of the RFP as demonstrated in relevant experience and/or clear articulation of a plan to respond to the requirements.

3. Personnel Qualifications

The evaluation committee will evaluate the appropriateness of the proposed organizational structure for the project and the Executive Management Plan the offeror will implement. The evaluation committee will also evaluate the qualifications of professional personnel who the proposer will assign to the project. The evaluation committee will measure qualifications of key personnel by experience

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and education, with particular reference to experience in services similar to those described in the RFP. The Department will place particular emphasis on the qualifications of key personnel and adequacy of the overall staffing plan.

4. Soundness of Approach

The evaluation committee will carefully consider the offeror's ability to produce a fully integrated business approach that is customer-focused and driven by a unified vision for performing the SIS+ Assessments. Of equal importance is whether the technical plan is completely responsive to written specifications, requirements contained in the RFP, and if it appears to meet the Department's objectives.

Cost Submittal

The evaluation committee will evaluate the offeror's Cost Submittal in relation to those submitted by other offerors.

Disadvantaged Business Participation: Evaluation will be based upon the following in order of priority:

The following options will be considered as part of the final criteria for selection:

Priority Rank 1. Proposals submitted by Small Disadvantaged Businesses.

Priority Rank 2. Proposals submitted from a joint venture with a Small Disadvantaged Business as a joint venture partner.

Priority Rank 3. Proposals submitted with subcontracting commitments to Small Disadvantaged Businesses.

Priority Rank 4. Proposals submitted by Socially Disadvantaged Businesses.

Each proposal will be rated for its approach to enhancing the utilization of Small Disadvantaged Businesses and/or Socially Disadvantaged Businesses. Each approach will be evaluated with Priority Rank 1 receiving the highest score and the succeeding options receiving scores in accordance with the above-listed priority ranking.

To the extent that a proposal is submitted by a Small Disadvantaged Business or a Socially Disadvantaged Business, the Small Disadvantaged Business or Socially Disadvantaged Business cannot enter into subcontract arrangements for more than 40% of the total estimated dollar amount of the contract. If a Small Disadvantaged Business or a Socially Disadvantaged Business subcontracts more than 40% of the total estimated dollar amount of the contract to other contractors, the Disadvantaged Business Participation scoring shall be proportionally lower for that proposal.

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Enterprise Zone Small Business Participation: The following options will be considered as part of the final criteria for selection:

Priority Rank 1. Proposals submitted by an Enterprise Zone Small Business will receive the highest score.

Priority Rank 2. Proposals submitted by a joint venture with an Enterprise Zone Small Business as a joint venture partner will receive the next highest score for this criterion.

Priority Rank 3. Proposals submitted with a subcontracting commitment to an Enterprise Zone Small Business will receive the lowest score for this criterion.

Priority Rank 4. Proposals with no Enterprise Zone Small Business Utilization shall receive no points under this criterion.

To the extent that a proposal is submitted as a prime contractor by an Enterprise Zone Small Business, the Enterprise Zone Small Business cannot enter into contract or subcontract arrangements for more than 40% of the total estimated dollar amount of the contract.

Domestic Workforce Utilization: Each proposal will be rated for its commitment to use domestic workforce in the fulfillment of the contract. Maximum consideration will be given to those Offerors who will perform the contracted work exclusively within the geographical boundaries of the United States. Those who propose to perform a portion of the work outside of the United States will receive a correspondingly smaller score for this criterion. Offerors who seek additional consideration for this criterion must include with their proposal a certification (shown in **Appendix B**) that all of the work covered by the contract (or a specific percentage of work) will be performed exclusively within the United States. The certification will be included as a contractual obligation when the contract is executed.

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PART IV

WORK STATEMENT

IV-1. Objectives.

a. **General.**

The offeror will be responsible for administering the Supports Intensity Scale Plus (SIS+) to people registered with the PA mental retardation system, including people in the PFDS and Consolidated waivers and people on the waiting list. The SIS+ is comprised of the SIS, an assessment developed by the American Association on Mental Retardation (AAMR), and additional questions developed by OMR. SIS is a standardized assessment tool designed to measure the pattern and the level of supports needed by an adult with developmental disabilities to be successful. The SIS+ will be used as part of the individual planning process for MR services and supports.

b. **Specific.**

The PA Office of Mental Retardation (OMR) must ensure that each waiver participant has a standardized assessment completed. AAMR's SIS is the instrument chosen by OMR to be a consistent assessment of support needs. The SIS is unique in that it measures the support needs of an individual, not personal competence. Traditional assessment tools focus on skill deficiency.

IV-2. Nature and Scope of the Project.

The SIS+ assessments will be administered statewide for a portion of the population of people being served through the MR system. Currently, there are approximately 15,000 people served through the Consolidated Waiver and 7500 served through the Person Family Directed Support (PFDS) Waiver. There are approximately 25,000 people waiting for MR services across the Emergency, Critical, and Planning categories. Over a multi-year roll-in period to be determined by OMR, the people served in the waivers and those waiting for services with the highest urgency of need will need to have a SIS completed. The offeror will be responsible for coordinating and administering the SIS+ assessments to the designated population. The assessors will then be responsible for entering the assessment information in the Home and Community Services Information System (HCSIS), OMR's online information system.

IV-3. Requirements.

a. Timeframes

OMR anticipates that 750 assessments to be completed per month during the term of the contract. The offeror must have the capacity to hire a sufficient number of qualified people throughout Pennsylvania to carry out the task in a timely manner. The offeror must be able to respond quickly and efficiently to the request for the completion of a SIS+ assessment. OMR requires that the SIS+ assessments must be completed within the month specified by the list provided (to be explained in more detail below) or within 30 calendar days of request by OMR.

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b. Conflict Free

The offeror and all assessors working for the offeror must be conflict free. Any agency or organization submitting a proposal must not be a provider of mental retardation services in the Commonwealth of Pennsylvania or a non-service provider (ex. HCQU, fiscal vendor ISO, IMT). Assessors cannot evaluate members of their own families or those people with whom they have a personal relationship.

c. Monitoring and Reliability

The offeror will be subject to monitoring by OMR. The assessments will be subject to tests for inter-rater, inter-respondent, and tests re-test reliability. The offeror must be willing to disseminate customer satisfaction surveys developed by OMR to all SIS+ recipients, families, supports coordinators, and providers at the end of the assessment and provide survey responses to OMR. The offeror must be willing to address findings regarding satisfaction with OMR through the development and implementation of a Plan of Correction based on survey findings.

d. SIS+ Background

The SIS was developed to assess the need of individuals aged sixteen (16) and older, determine the intensity of the need, monitor progress, and evaluate outcomes. Its intent is to focus on the level of support needed by a person instead of evaluating deficits in skills. The SIS measures fifty-seven (57) life activities and twenty-eight (28) behavioral and medical areas. Some areas measured by the SIS include home living, community living, lifelong learning, employment, health and safety, social activities, and protection and advocacy. Activities are ranked according to frequency, amount, and type of support within the *Scale*. Ultimately, a *Supports Intensity Level* is established based on the *Total Support Needs Index*. The *Total Support Needs Index* is defined as the standard score generated from scores on all the items tested by the *Scale*. Information about the SIS is provided by AAMR. Further information is available on AAMR's SIS website: www.siswebsite.org.

People who participate in the SIS assessment meeting and assist the individual in delivering information to the assessor are called *Respondents*. Respondents can be anyone who knows the individual well. Respondents should have known the individual for at least three (3) months. There should be at least two (2) respondents at every SIS meeting. Respondents can be the individual, family members, friends, direct support professionals, or the Supports Coordinator (SC). It is conceivable that the SC may attend the meeting but not be considered a Respondent. The Supports Coordinator will use the information gained through the discussion at the meeting in the development of the Individual Support Plan.

The additional questions known as the "+" in SIS+ are developed by OMR. These questions are designed to provide information regarding topics not covered by AAMR's SIS. OMR will provide these questions to the offeror. OMR may change these questions at any time.

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IV-4. Tasks.

a. SIS+ Administration

The offeror must be independent of State or County government and not be a provider of mental retardation services. The offeror cannot be a current Administrative Entity that contracted with OMR. The responsibilities of the offeror include working with both OMR and County MH/MR Programs/Administrative Entities to ensure that the SIS+ assessments are completed and recorded in a consistent, effective, and timely manner.

SIS+ assessors must be trained in the SIS by AAMR certified trainers and in the Plus portion by OMR designated trainers before administering assessments. AAMR recommends that qualified assessors will have several years experience working with individuals with mental retardation or other related disabilities and a four (4) year Bachelor's degree. SIS assessors in PA must meet this recommendation. Other training curriculum will include an overview of the Mental Retardation System, *Everyday Lives*, abbreviated Individual Support Planning (ISP), and an overview of Pennsylvania's Medicaid waivers. All assessors employed by the offeror must meet these training requirements and any additional requirements stipulated by OMR before administering any SIS+ assessments. The offeror is responsible for getting trained by AAMR and paying for this training. For details about this training, the offeror should contact AAMR. Information is available at www.siswebsite.org. The offeror will submit their process for ensuring that all assessors are trained before the start date as part of this proposal. The offeror may utilize a train the trainer model. The offeror's training plan, including timelines for identifying trainers and training them, must be detailed in the submitted proposal.

b. SIS+ Meeting Preparation

First, based on criteria specified by OMR, the County MH/MR Program Administrator or Administrative Entity Administrator or their designee informs the SIS+ assessor of an individual in their County that requires a SIS+. The assessor then contacts the appropriate Supports Coordinator (SC) to initiate the scheduling process. If the person being assessed does not have a Supports Coordinator, the Intake Worker or other county/SC entity staff person will initiate scheduling. The SC/Intake Worker is responsible for contacting the individual and any family members to explain the SIS+ process. The SC/Intake Worker will advise the individual/family that they will be contacted by the offeror to schedule a time to complete the SIS. The offeror will work with the SC/Intake Worker to arrange a meeting time and place and appropriate respondents and to answer any questions regarding the SIS+ process. The SIS+ meeting must be scheduled as one meeting with all respondents in attendance and must occur at a time and location that is preferred by the individual and family. The SC/Intake Worker should document that this discussion (including meeting time and location) occurred with the individual and family in service notes.

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The offeror will have access to basic demographic information in HCSIS for the people being assessed. This information will aid communication between the offeror, the Supports Coordinator/Intake Worker, and the person being assessed.

c. SIS+ Assessment Meeting

The assessment meeting must take place at the preference of the individual and family at a reasonable time and location. This location must be accessible if needed by the person/family or respondents. This can include but is not limited to the individual's home, their day service provider or the home of a family member or friend. If the individual has chosen not to participate in the assessment meeting, the respondents may choose the meeting location and time. The assessment must take place at the convenience of the person/family. The offeror must be willing to accommodate the schedule and location preference of the individual and family. The offeror must be available during non-traditional business hours and during times of naturally occurring meetings.

The assessor while interviewing the respondents will complete the HCSIS SIS+ form during the meeting. This form includes basic demographic information about the individual, the SIS+ assessment, and areas for the assessor to record any comments or additional information.

d. SIS+ Completion

OMR is anticipating that 750 assessments be completed per month during the term of the contract. The contract will be for a length of two years with three option years. The assessments will be completed for people registered with the PA mental retardation system, including those enrolled in either of the mental retardation waivers (Consolidated and Person Family Directed Supports [P/FDS] waivers) and those people on the waiting list. OMR will develop a process to track the completion of SIS+ assessments. OMR and the county programs/administrative entities will be responsible for getting the list of names, other identifying information, and contact information to the offeror prior to the beginning of each year. The offeror will be provided instructions as to the month in which each assessment should be completed. (This month will likely be based on the individual's ISP review date.) These assessments will be spread as evenly as possible throughout the year. As new needs arise, this list may change at the discretion of OMR and the county program/administrative entity. OMR is ultimately responsible for designating which people will have assessments completed.

Changes to the list will not result in a change in the number of total assessment required in the contract year. The offeror must be able to respond to the immediate need for assessment to meet the changing needs of the individuals registered with the PA MR system. The offeror must align the availability of assessors with the proportion of the population of people registered with the MR system to ensure responsiveness and minimize travel. (Please see Appendix G for MR registrant population information.)

Communication between the county program/administrative entity is managed by the County MH/MR Program Administrator or Administrative Entity Administrator or designee and the offeror. The offeror must provide a single point of contact for the scheduling of assessments.

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The SIS assessor works with the Supports Coordinator (SC) or Intake worker to initiate the scheduling of the assessment. The SC or Intake worker is responsible for contacting the family and individual to explain the SIS+ process, identify respondents, and arrange a time and site for the SIS+.

According to AAMR, there must be at least two respondents for every assessment. Respondents are the people interviewed by the assessor to gather the information needed to complete the SIS+ assessment. Respondents must be people who have known the individual for at least three months. The Supports Coordinator or Intake Worker may attend the assessment as an observer if he/she does not know the individual well enough to be a respondent. The Supports Coordinator will use the information from the SIS+ in the Individual Support Plan. It is best if all respondents are together when completing the SIS+. To state another way, the SIS+ should be completed in one meeting with all respondents present.

Potential respondents include the person being assessed, the Supports Coordinator, family members, friends, and direct support professionals. Even if the person chooses not to be a respondent, it is preferable that the Assessor meets the individual as part of the assessment. The assessor should document this meeting with the individual in the assessment comments in HCSIS.

The SIS+ assessor can print the blank form from HCSIS. The designated individual's demographic information will be pre-populated on the form. The assessor is expected to complete the form by hand during the interview and capture additional information in his or her notes. The requirement for the assessment to be completed on paper during the meeting can only be waived at the discretion of the individual/family. The assessor is also responsible for taking additional notes to justify scores and capture discussion during the interview. The offeror is expected to describe the centralized process for handling and storing paper assessments and notes to ensure HIPAA compliance in this proposal. It is expected that all paper assessments and notes will be shredded 60 days after entry into HCSIS.

Following the assessment meeting, the assessor has seven (7) calendar days to complete the SIS+ (raw scores and notes) within HCSIS. The assessor then has fourteen (14) calendar days to edit the SIS before it is officially finalized and made available to OMR and the County MH/MR Program/Administrative Entity for utilization. During this period, the SIS+ is not viewable to anyone other than the assessor. When the assessment is finalized, it becomes viewable to the SC, SC entity, County MH/MR Program/Administrative Entity, and OMR. Any assessment not marked as complete within twenty-one (21) calendar days from the creation of the assessment in HCSIS is cancelled and the user must create a new assessment. The number of lost assessments will be monitored by OMR. Any costs associated with lost assessments will be the responsibility of the offeror. It will also be the responsibility of the offeror to ensure that lost assessments are re-entered into HCSIS. The offeror should detail their process for data collection and entry into HCSIS in the proposal. The offeror must include who is responsible for data entry and the information flow process. The offeror must ensure that the timelines included above are met.

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If the individual, family, SC, or other county/SC entity staff person requests a copy of the hand-written assessment before the assessment is finalized in HCSIS, the offeror must provide this copy within seven (7) calendar days. After the assessment is finalized in HCSIS, the SC or other county/SC entity staff person is responsible for providing a copy to the individual or family upon request. The supports need index will not be viewable to the SC. Only people with assessment, county, and OMR roles in HCSIS will have access to the score. If the SC, individual, or family want this information, the SC will request it from the County MH/MR Program or Administrative Entity.

Using a template created by OMR, the offeror will provide a brief, one page narrative report to the SC/Intake Worker, highlighting the results of the assessment.

SIS Utilization

Once the SIS+ has been designated as final in HCSIS, the County or Administrative Entity is able to view the results. The County or Administrative Entity uses the SIS+ and the ISP to identify and plan for the individual's need for supports and services.

The County or Administrative Entity is then able to share the SIS+ with the individual and/or family upon request.

IV-5. Reports and Project Control.

The selected offeror shall establish and maintain a Department-approved system of reports for the SIS+ Assessment Contract. The selected offeror shall submit reports to the Department electronically, and they shall not be just a compilation of numbers, but shall include narrative explanations of problems experienced, successes and recommendations for the Department and any other comments the selected offeror may have.

Task Plan. A work plan for each task that identifies the work elements of each task, the resources assigned to the task, and the time allotted to each element and the deliverable items to be produced. Where appropriate, a PERT or GANTT chart display should be used to show project, task, and time relationship.

- a. **Status Report.** A monthly periodic progress report covering activities, problems and recommendations. This report should be keyed to the work plan the Offeror developed in its proposal, as amended or approved by the Issuing Office. This report should be sent to OMR. This report should include total information and information broken down by OMR region and county program/administrative entity.
- b. **Problem Identification Report.** An "as required" report, identifying problem areas. The report should describe the problem and its impact on the overall project and on each affected task. It should list possible courses of action with

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advantages and disadvantages of each, and include Offeror recommendations with supporting rationale.

IV-6. Contract Requirements—Disadvantaged Business Participation and Enterprise Zone Small Business Participation.

All contracts containing Disadvantaged Business participation must also include a provision requiring the contractor to meet and maintain those commitments made to Disadvantaged Businesses and/or Enterprise Zone Small Businesses at the time of proposal submittal or contract negotiation, unless a change in the commitment is approved by the BMWBO. All contracts containing Disadvantaged Business participation and/or Enterprise Zone Small Business participation must include a provision requiring Small Disadvantaged Business subcontractors, Enterprise Zone Small Business subcontractors, and Small Disadvantaged Businesses or Enterprise Zone Small Businesses in a joint venture to perform at least 50 percent of the subcontract or Small Disadvantaged Business/Enterprise Zone Small Business portion of the joint venture.

Commitments to Disadvantaged Businesses and/or Enterprise Zone Small Businesses made at the time of proposal submittal or contract negotiation must be maintained throughout the term of the contract. Any proposed change must be submitted to BMWBO which will make a recommendation as to a course of action to the contracting officer.

If a contract is assigned to another contractor, the new contractor must maintain the Disadvantaged Businesses participation and/or Enterprise Zone Small Business participation of the original contract.

The contractor shall complete the Prime Contractor's Quarterly Utilization Report (or similar type document containing the same information) and submit it to the contracting officer of the agency that awarded the contract and BMWBO within 10 workdays at the end of each quarter the contract is in force. If there was no activity, the form must also be completed, stating "No activity in this quarter." This information will be used to determine the actual dollar amount paid to Small Disadvantaged Business and/or Enterprise Zone Small Business subcontractors and suppliers, and Small Disadvantaged Businesses and/or Enterprise Zone Small Businesses involved in Joint Ventures. Also, it is a record of fulfillment of the commitment your firm made and for which it received Disadvantaged Business and Enterprise Zone Small Business points.

NOTE: EQUAL EMPLOYMENT OPPORTUNITY AND CONTRACT COMPLIANCE STATEMENTS REFERRING TO COMPANY EQUAL EMPLOYMENT OPPORTUNITY POLICIES OR PAST CONTRACT COMPLIANCE PRACTICES DO NOT CONSTITUTE PROOF OF DISADVANTAGED BUSINESS STATUS OR ENTITLE A PROPOSER TO RECEIVE CREDIT FOR DISADVANTAGED BUSINESS UTILIZATION.