March 9, 2016

SUBJECT: Request for Proposal (RFP) 11-15 Home Modification Quality Improvement Program

Dear Prospective Offeror:

You are invited to submit a proposal for the above subject RFP for the Commonwealth of Pennsylvania, Department of Human Services in accordance with the attached Request for Proposal (RFP) 11-15.

All proposals must be submitted as follows:

Hardcopy:
- Technical Submittal: one (1) original and six (6) copies;
- Cost Submittal: two (2) copies (sealed separately from the Technical and SDB Submittals); and
- Small Diverse Business Submittal (SDB): two (2) copies (sealed separately from the Technical and Cost Submittals).

CD-ROM/Flash Drive:
- Two (2) separate CD-ROM/Flash Drives, each containing complete and exact copies of the proposed submittals; in Microsoft Office or Microsoft Office compatible format and a PDF copy of the Technical (excluding Financial Capability), Cost, and SDB Submittals; and
- One (1) CD-ROM/Flash Drive containing a copy of the redacted version of the Technical Submittal in PDF format.

Proposals must be submitted to the Pennsylvania Department of Human Services, Division of Procurement and Contract Management, Room 402, Health and Welfare Building, 625 Forster Street, Harrisburg, PA 17120. Proposals must be received at the above address no later than two o’clock P.M. (2:00 P.M.) on May 9, 2016. Late proposals will not be considered regardless of the reason.

All questions should be directed to Michelle Smith, Project Officer, Department of Human Services, Office of Administration, Bureau of Financial Operations via e-mail RA-pwrfpquestions@pa.gov no later than March 29, 2016. Offerors will be provided with answers to questions asked by any one offeror.
In addition, a Pre-Proposal Conference will be held, the specifics of which, will be provided as an addendum to this RFP.

Proposals **must** be signed by an official authorized to bind the vendor to its provisions. Also, please include on the cover sheet of the proposal your Federal Identification Number, SAP Vendor Number and the Point of Contact’s e-mail address. Evaluation of proposals and selection of vendors will be completed as quickly as possible after receipt of proposals.

Sincerely,

William (Mac) Spiker  
Director of Procurement & Contract Management

Attachments
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<thead>
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<th>From:</th>
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| RFP #: 11-15  
Lot #:  
Due Date: May 9, 2016, 2:00 PM  
Department of Human Services  
Division of Procurement & Contract Mgmt  
Room 402 Health and Welfare Building  
625 Forster Street  
Harrisburg, PA  17120 |

**Technical Submittal**

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Department of Human Services  
Division of Procurement & Contract Mgmt  
Room 402 Health and Welfare Building  
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**Cost Submittal**

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| RFP #: 11-15  
Lot #:  
Due Date: May 9, 2016, 2:00 PM  
Department of Human Services  
Division of Procurement & Contract Mgmt  
Room 402 Health and Welfare Building  
625 Forster Street  
Harrisburg, PA  17120 |

**Small Diverse Business Submittal**
REQUEST FOR PROPOSALS FOR

HOME MODIFICATION QUALITY IMPROVEMENT PROGRAM

ISSUING OFFICE

Commonwealth of Pennsylvania
Department of Human Services
Division of Procurement and Contract Management
Room 402 Health and Welfare Building
625 Forster Street
Harrisburg, PA 17120

RFP NUMBER

11-15

DATE OF ISSUANCE

March 9, 2016
REQUEST FOR PROPOSALS FOR
HOME MODIFICATION QUALITY IMPROVEMENT PROGRAM

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## CALENDAR OF EVENTS

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

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<th>Activity</th>
<th>Responsibility</th>
<th>Date</th>
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<tbody>
<tr>
<td>Deadline to submit Questions via email to Michelle Smith at <a href="mailto:RA-PWRFPQUESTIONS@pa.gov">RA-PWRFPQUESTIONS@pa.gov</a>.</td>
<td>Potential Offerors</td>
<td>March 29, 2016</td>
</tr>
<tr>
<td>Pre-proposal Conference — TBD</td>
<td>Issuing Office/Potential Offerors</td>
<td>TBD</td>
</tr>
<tr>
<td>Answers to Potential Offeror questions posted to the DGS website (<a href="http://www.dgsweb.state.pa.us/RTA/Search.aspx">http://www.dgsweb.state.pa.us/RTA/Search.aspx</a>) no later than this date.</td>
<td>Issuing Office</td>
<td>April 8, 2016</td>
</tr>
<tr>
<td>Please monitor website for all communications regarding the RFP.</td>
<td>Potential Offerors</td>
<td>ongoing</td>
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<tr>
<td>Sealed proposal must be received by the Issuing Office at: PA Department of Human Services Bureau of Financial Operations Division of Procurement and Contract Management ATTN: Mac Spiker ROOM 402 Health &amp; Welfare Building 625 Forster Street Harrisburg, PA 17120.</td>
<td>Offerors</td>
<td>May 9, 2016 2:00 PM EST</td>
</tr>
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PART I

GENERAL INFORMATION

I-1. Purpose. This request for proposals ("RFP") provides to those interested in submitting proposals ("Offerors") sufficient information to enable them to prepare and submit proposals for the Department of Human Services’ ("Department" or "DHS") consideration on behalf of the Commonwealth of Pennsylvania ("Commonwealth") to satisfy a need for its Home Modifications Quality Improvement Program for the benefit of individuals receiving services under home and community based programs, including the existing Adult Autism, Consolidated, Person/Family Directed Support ("P/FDS"), Aging, Community Care ("CommCare"), Independence, and Omnibus Reconciliation Act ("OBRA") Waiver programs. ("Project").

I-2. Issuing Office. DHS, Bureau of Financial Operations, Division of Procurement and Contract Management ("Issuing Office") has issued this RFP for the DHS Offices of Developmental Programs ("ODP") and Long-Term Living ("OLTL"). The sole point of contact in the Commonwealth for this RFP shall be Michelle Smith, RA-PWRFPQUESTIONS@PA.GOV. 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 grant services 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 Department is seeking Grantees to effectively manage DHS’s Home Modifications Quality Improvement Program and provide waiver participants with approved home modification services in a manner that is both fiscally and programmatically efficient for the Commonwealth, as well as timely and adequate for the participants.

DHS will award one agreement for each of the five (5) following Lots:

Lot 1: Southeast Region
Lot 2: Southwest Region
Lot 3: Lehigh/Capital Region
Lot 4: Northeast Region
Lot 5: Northwest Region

See Appendix J Home Modification Region Map for information on the counties encompassed within each Region.

Additional detail is provided in Part IV of this RFP.

I-5. Method of Award. Offerors may propose on one, all, or any combination of the five (5) Lots; however, DHS will only award a maximum of three (3) Lots to any one Offeror. Offerors must submit a separate proposal (Technical, Cost, and Small Diverse Business) for each Lot for which it wishes to be considered.
I-6. **Type of Agreement.** If DHS enters into agreements as a result of this RFP, the Department will reimburse selected Grantees a fixed administrative fee plus the actual costs of the home modifications. The grant agreements will contain the RFP, Standard Grant Terms and Conditions as shown in Appendix A, the DHS Addendum as shown in Appendix B, including its riders and the Business Associate Addendum as shown Appendix C.

The Department, in its sole discretion, may undertake negotiations with Offerors whose proposals, in the judgment of the Department, show them to be qualified, responsible and capable of performing the Project.

I-7. **Rejection of Applications.** The Department, in its sole and complete discretion, may reject any proposal received as a result of this RFP.

I-8. **Incurring Costs.** The Department is not liable for any costs an Offeror incurs in preparation and submission of its proposal, in participating in the RFP process or in anticipation of the award of a grant.

I-9. **Pre-proposal Conference.** The Department will hold a pre-proposal conference as specified in the Calendar of Events. The purpose of this conference is to provide an opportunity for clarification of the RFP. Offerors should forward all questions to the Project Officer in accordance with RFP Part I, Section I-10 to ensure adequate time for analysis before the Department 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 three (3) individuals per Offeror. The pre-proposal conference is for information only. Any answers furnished during the conference will not be official until they have been verified, in writing, by the Department. 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 pre-proposal conference is optional.

I-10. **Questions & Answers.** If an Offeror has any questions regarding this RFP, the Offeror must submit the questions by email (with the subject line “RFP 11-15 Question”) to the Project Officer named in Part I, Section I-2 of the RFP. If the Offeror has questions, the questions must be submitted via email no later than the date indicated on the Calendar of Events. The Offeror shall not attempt to contact the Project Officer by any other means. The Department shall post the answers to the questions on the DGS website by the date stated on the Calendar of Events.

An Offeror who submits a question after the deadline date for receipt of questions indicated on the Calendar of Events assumes the risk that its proposal will not be responsive or competitive because the Department is not able to respond before the proposal receipt date or in sufficient time for the Offeror to prepare a responsive or competitive proposal. When submitted after the deadline date for receipt of questions indicated on the Calendar of Events, the Project Officer may respond to questions of an administrative nature by directing the questioning Offeror to specific provisions in the RFP. To the extent that the Department decides to respond to a non-administrative question after the deadline date for receipt of questions indicated on the Calendar of Events, it will provide the answer to all Offerors through an addendum.
All questions and responses as posted on the DGS website are considered an addendum to, and part of, this RFP in accordance with **RFP Part I, Section I-11.** The Department shall not be bound by any verbal information or any written information that is not either contained within the RFP or formally issued as an addendum by the Department.

**I-11. Addenda to the RFA.** If the Department deems it necessary to revise any part of this RFP before the proposal response date, the Department will post an addendum to the DGS website at [http://www.emarketplace.state.pa.us](http://www.emarketplace.state.pa.us). The Offeror is responsible for periodically checking the DGS website for any new or revised information or addenda to the RFP.

**I-12. 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 Department 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 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 Department will reject, unopened, any late applications.

**I-13. Proposals.** To be considered, Offerors must submit a complete response to this RFP to the Issuing Office, using the format provided in **Part II**, providing **one (1) original and six (6) paper copies of the Technical Submittal; two (2) paper copies of the Cost Submittal; and two (2) paper copies of the Small Diverse Business (“SDB”) participation submittal.** In addition to the paper copies, Offerors shall submit two **complete and exact** copies of the entire proposal (Technical, Cost and SDB submittals, along with all requested documents) on CD-ROM or Flash drive in Microsoft Office or Microsoft Office-compatible format. These electronic copies must be a mirror image of the paper copy and any spreadsheets must be in Microsoft Excel. Additionally, on two CD-ROMs or Flash drives, include separate folders which contain a complete and exact copy of the entire Technical (excluding financial capability) Submittal in PDF (portable document format). To the extent that an Offeror designates information as confidential or proprietary or trade secret protected in accordance with RFP **Part I, Section I-19,** the Offeror must also include one (1) redacted version of the Technical Submittal, excluding financial capability on a CD-ROM or Flash Drive in Microsoft Office or Microsoft Office-compatible format. Offerors may not lock or protect any cells or tabs. Each CD or Flash drive should clearly identify the Offeror and include the name and version number of the virus scanning software that was used to scan the CD or Flash drive before it was submitted.

Offerors should ensure that there is no costing information in the Technical Submittal and should not reiterate technical information in the Cost Submittal. The Offeror shall make no other distribution of its proposal to any other Offeror or Commonwealth official or Commonwealth consultant. Each proposal page should be numbered for ease of reference. An official authorized to bind the Offeror to its provisions must sign the proposal. If the official signs the Proposal Cover Sheet (**Appendix D** to this RFP) and the Proposal Cover Sheet is attached to its proposal, the requirement will be met. For this RFP, the proposal must remain valid for **120 days**
or until agreements are fully executed. If the Department selects an 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, obligations of the Offeror’s agreement.

Each Offeror submitting 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-14. **Small Diverse Business Information.** The Department encourages participation by SDBs as prime grantees, and encourages all prime grantees to make a significant commitment to use SDBs as subcontractors and suppliers.

A SDB is a DGS-verified minority-owned business, woman-owned business, service-disabled veteran-owned business or veteran-owned business.

A small business is a business in the United States which is independently owned, not dominant in its field of operation, employs no more than 100 full-time or full-time equivalent employees, and earns less than $7 million in gross annual revenues for building design, $20 million in gross annual sales and services, and $25 million in gross annual revenues for those businesses in the information technology sales or service business.

Questions regarding this Program can be directed to:

- Department of General Services
- Bureau of Diversity, Inclusion and Small Business Opportunities
- Room 611, North Office Building
- Harrisburg, PA 17125
- Phone: (717) 783-3119
- Fax: (717) 787-7052
- Email: gs-bsbo@state.pa.us
- Website: www.dgs.state.pa.us

The DGS directory of Bureau of Diversity, Inclusion and Small Business Opportunities (“BDISBO”)-verified minority, women, veteran and service disabled veteran-owned businesses can be accessed from Small Diverse Businesses.

I-15. **Economy of Preparation.** Offerors should prepare proposals simply and economically, providing a straightforward, concise description of its ability to meet the requirements of the RFP.
I-16. **Alternate Proposals.** The Department has identified the basic approach to meeting the requirements of this grant, allowing Offerors to be creative and propose their best solution. The Department 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 Department to ensure thorough mutual understanding and Offeror responsiveness. The Project Officer will initiate requests for clarification. Clarifications may occur at any stage of the evaluation and selection process prior to grant execution.

I-18. **Grantee Responsibilities.** The grant agreement requires the selected Offerors assume responsibility for all services offered in their proposals whether they produce them themselves or by subcontract. The Department will consider the selected Offerors to be the sole points of contact with regard to grant matters.

I-19. **Proposal Contents.**

A. **Confidential Information.** The Commonwealth is not requesting, and does not require, confidential proprietary information or trade secrets to be included as part of Offerors’ submissions in order to evaluate proposals submitted in response to this RFP. Except as provided herein, Offerors should not label proposals as confidential or proprietary or trade secret protected. Any Offeror who determines that it must divulge such information as part of its proposal must submit the signed written statement described in subsection C. below and must additionally provide a redacted version of its proposal in accordance with RFP Part I, Section I-13, which removes only the confidential and proprietary information and trade secrets, for required public disclosure purposes.

B. **Commonwealth Use.** All material submitted with a proposal shall be considered the property of the Commonwealth and may be returned only at the Department’s option. The Commonwealth may use any or all ideas not protected by intellectual property rights that are presented in any proposal regardless of whether the proposal becomes part of a grant. Notwithstanding any Offeror copyright designations contained on proposals, the Commonwealth shall have the right to make copies and distribute proposals and to comply with public record or other disclosure requirements under the provisions of any Commonwealth or United States statute or regulation, or rule or order of any court of competent jurisdiction.

C. **Public Disclosure.** After the award of the grant agreements, all proposals are subject to disclosure in response to a request for public records made under the Pennsylvania Right-to-Know-Law, 65 P.S. § 67.101, et seq. If a proposal contains confidential or proprietary information or trade secrets, a signed written statement to this effect must be provided with the submission in accordance with 65 P.S. § 67.707(b) for the information to be considered exempt under 65 P.S. § 67.708(b)(11) from public records requests. Refer to Appendix E of the RFP for a Trade Secret Confidential Proprietary Information Notice Form that may be utilized as the signed written statement, if applicable. If financial capability information is submitted in response to Part II of this RFP, such financial
capability information is exempt from public records disclosure under 65 P.S. § 67.708(b)(26).

I-20. **Best and Final Offers.**

A. While not required, the Department may conduct discussions with Offerors for the purpose of obtaining “best and final offers.” To obtain best and final offers from Offerors, the Department may do one or more of the following, in any combination and order:

1. Schedule oral presentations;
2. Request revised proposals; and
3. Enter into pre-selection negotiations.

B. The following Offerors will **not** be considered by the Department to submit a best and final offer:

1. Those Offerors, which the Department has determined to be not responsible or whose proposals the Department has determined to be not responsive.

2. Those Offerors, which the Department has determined in accordance with RFP Part III, Section III-5, from the submitted and gathered financial and other information, do not possess the financial capability, experience or qualifications to ensure good faith performance of the grant.

3. Those Offerors whose score for their Technical Submittal of the proposal is less than 70% of the total amount of technical points allotted to the technical criterion.

The Department may further limit participation in the best and final offers process to those remaining responsible Offerors which the Department has, within its discretion, determined to be within the top competitive range of responsive proposals.

C. The Evaluation Criteria found in RFP Part III, Section III-4, shall also be used to evaluate the best and final offers.

D. Price reductions offered shall have no effect upon the Offeror’s Technical Submittal. Dollar commitments to SDBs can be reduced only in the same percentage as the percent reduction in the total price offered through negotiations.

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 Department, and then only in coordination with the Department.

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

I-23. **Department Participation.** The selected Offerors shall provide all services, supplies, facilities, and other support necessary to provide the services, except as otherwise provided in this **RFP Part I, Section I-23.** The Department will monitor the selected Offerors’ performance. Designated Department staff will coordinate readiness review, provide or arrange technical assistance and monitor for compliance with grant requirements and the approved program policies and procedures.

I-24. **Term of Agreement.** The term of the agreements will commence on the Effective Date and will end three (3) years after the Effective Date. The Department will have the option to extend the agreements for two (2) additional 1-year periods. The Issuing Office will fix the Effective Date after the agreements have been fully executed by the selected Offerors and by the Commonwealth and all approvals required by Commonwealth have been obtained. The selected Offerors shall not start the performance of any work prior to the Effective Date of the grant and the Commonwealth shall not be liable to pay the selected Offerors for any service or work performed or expenses incurred before the Effective Date of the grants.

I-25. **Offeror’s Representations and Authorizations.** By submitting its proposal, each Offeror understands, represents, and acknowledges that:

A. Offeror’s information and representations in the proposal are material and important, and the Department may rely upon the contents of the proposal in awarding the grants. The Commonwealth may treat a misstatement, omission or misrepresentation as a 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 prices 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 prices, the amount of the proposal, nor the approximate prices or amounts of its proposal to any other firm or person who is an Offeror or potential Offeror for this RFP, and 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, or to submit an 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 or grant, 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 and has not been precluded from participation in any federally funded health care programs 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.

I. The Offeror has not made, under separate agreement with the Department, any recommendations to the Department 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 Commonwealth agencies to release to the Commonwealth information concerning the Offeror's Pennsylvania taxes, unemployment compensation and workers’ compensation liabilities.

K. Until a selected Offeror receives a fully executed and approved written grant agreement from the Issuing Office, there is no legal and valid grant, in law or in equity.


A. Grant Negotiations. The Department will notify all Offerors in writing of the Offerors selected for negotiations after the Department has determined, taking into consideration all of the evaluation factors, the proposals that are the most advantageous to the Commonwealth.

B. Award. Offerors whose proposals are not selected will be notified when negotiations have been successfully completed and the Department has received the final negotiated grant agreements signed by the selected Offerors.

I-27. Use of Electronic Versions of this RFP. This RFP is being made available by electronic means. If an Offeror electronically accepts the RFP, the Offeror acknowledges and accepts full responsibility to ensure that no changes are made to the RFP. In the event of a conflict between a version of the RFP in the Offeror’s possession and the Issuing Office’s version of the RFP, the Issuing Office’s version shall govern.
I-28. **Debriefing Conferences.** Upon notification of award, Offerors who were not selected for award will be given the opportunity to be debriefed. The Project Officer will schedule the debriefing at a mutually agreeable time. The debriefing will not compare the Offeror with other Offerors, other than its position in relation to all other proposals.
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 of the RFP. Offerors should provide any other information thought to be relevant, but not applicable to the enumerated categories, as an attachment to the proposal. All cost data relating to the proposal and all SDB cost data should be kept separate from and not included in the Technical Submittal. Offerors may submit a proposal for one, all, or any combination of the five (5) Lots; however, Offerors must submit a separate proposal for each Lot for which they wish to be considered. Each proposal shall consist of the following three (3) separately sealed submittals:

A. Technical Submittal, which shall be a response to RFP Part II, Sections II-1 through II-8 and Sections II-11 through II-13;

The Technical Submittal must include a Transmittal Letter and include Tabs 1 through 14. Offerors must format their responses as follows:

- Tab 1: Table of Contents
- Tab 2: Statement of the Problem
- Tab 3: Management Summary
- Tab 4: Work Plan
- Tab 5: Prior Experience
- Tab 6: Personnel
- Tab 7: Training
- Tab 8: Financial Capability
- Tab 9: Objections to Standard Terms and Conditions
- Tab 10: Domestic Workforce Utilization Certification (Appendix F)
- Tab 11: Lobbying Certification (Appendix G)
- Tab 12: Conflict Free
- Tab 13: Corporate Reference Questionnaire (Appendix H)
- Tab 14: Key Personnel Reference Questionnaire (Appendix I)

B. Small Diverse Business participation submittal, in response to RFP Part II, Section II-9; and

C. Cost Submittal, in response to RFP Part II, Section II-10.

Proposals must be submitted in the following format:

a. Pages must be 8.5 by 11 inches with right and left margins of one (1) inch; and be double-sided.

b. Must use Arial or Times New Roman font with a size of twelve (12).

c. Tab and Section headings, shown in RFP Part II Section II.A, Proposal Requirements, MUST be used.

d. Each page must include a page number and identification of the Offeror in the page footer.
e. Materials provided in any Appendix must be specifically referenced by page numbers in the body of the proposal.

f. Exceptions for paper and font size are permissible for project schedules (Microsoft Project) or for graphical exhibits and material in appendices which may be printed on white paper with dimensions of 11 by 17 inches.

The Department may request additional information which, in the Department’s opinion, is necessary to ensure the Offeror’s competence, number of qualified employees, and business and financial resources are adequate to perform according to the RFP.

The Department may make investigations as deemed necessary to determine the ability of the Offeror to provide the grant services, and the Offeror shall furnish all requested information and data. The Department may reject any proposal if the evidence submitted by, or investigation of, the Offeror fails to demonstrate that the Offeror is properly qualified to carry out the obligations of the RFP and to provide grant services as required.

II-1. Statement of the Problem (Tab 2). State in succinct terms your understanding of the problem presented or the services required by this RFP. The Offeror’s response should demonstrate that the Offeror fully understands the scope of services to be provided, the Offeror’s responsibilities, and how the Offeror will effectively manage the grant.

II-2. Management Summary (Tab 3). Include a narrative description of the proposed effort and a list of the grant services to be provided. The summary will condense and highlight the contents of the Technical Submittal in a manner that allows a broad understanding of the entire Technical Submittal.

II-3. Work Plan (Tab 4). The Offeror should describe in narrative form its technical plan for providing the grant services. Use the task descriptions in Part IV of this RFP as a reference point. The Offeror also should include a detailed work plan detailing the sequencing of events and the time required to fully implement the grant. 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. Include a Program Evaluation and Review Technique (“PERT”) or similar type display, time related, showing each event. If more than one approach is apparent, comment on why you chose this approach.

The Offeror should describe its management approach, including how it will implement its proposed work plan. Where possible, the Offeror should provide specific examples of methodologies or approaches, including monitoring approaches, it will use to fulfill the RFP requirements and examples of similar experience and approach on comparable projects. The Offeror should describe the management and monitoring controls it will use to achieve the required quality of grant services and all performance requirements. The Offeror should also address its approach to internally monitor and evaluate the effectiveness of meeting the grant requirements.

The work plan must include the planned approach and process for establishing and maintaining communication between all parties and a technical approach that is aligned with all written
specifications and requirements contained in the RFP, including RFP Part IV, Section IV-6. Performance Standards.

The technical approach should include your plan to establish, document, evaluate, and report on core Performance Standards (RFP Part IV, Section IV-6) as well as an outline of your process improvement procedures.

II-4. Prior Experience (Tab 5). The Offeror should include experience providing support for home and community based programs and Medical Assistance (“MA”) waiver programs as well as in the operation of a network of providers of home modification services or other similar experience. Experience shown should be work done by individuals who will be assigned to the grant 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.

A. Corporate Background. The Offeror must describe the corporate history and relevant experience of the Offeror and any subcontractors. This section must detail information on the ownership of the company (names and percent of ownership), the date the company was established, the date the company began operations, the physical location of the company, and the current size of the company. The Offeror must provide a corporate organizational chart.

The Offeror must describe its corporate identity, legal status and forms, including the name, address, telephone number, and email address for the legal entity that is submitting the proposal. In addition, the Offeror must provide the name of the principal officers, a description of its major services, and any specific licenses and accreditations held by the Offeror.

Offerors must provide similar organizational background information on any significant subcontractor for grant services other than home modification services. A significant subcontractor is defined as an organization undertaking more than ten (10%) on a total cost basis of the work associated with this RFP, excluding the potential cost of home modifications.

If an Offeror is proposing to use the services or products of a subsidiary or affiliated firm, the Offeror must describe the business arrangement with that entity and the scope of the services the entity will provide.

If the experience of any proposed subcontractor is being used to meet the home modification broker qualifications and requirements of this RFP, the Offeror must provide the same information as listed above for the subcontractor. This information must be presented separately within this section, clearly identifying the subcontractor experience and name of the subcontractor.

B. References. The Offeror must provide a list of at least three (3) relevant contacts within the past three (3) years to serve as corporate references. The references must be outside clients (non-DHS). This list shall include the following for each reference:
1. Name of customer
2. Type of contract
3. Contract description, including type of service provided
4. Total contract value
5. Contracting officer’s name and telephone number
6. Role of subcontractors (if any)
7. Time period in which service was provided.

The Offeror must submit Appendix H, Corporate Reference Questionnaire, directly to the contacts listed. The references should return the completed questionnaires in sealed envelopes to the Offeror. The Offeror must include these sealed references with its technical submittal under Tab 13.

The Offeror must disclose any contract or agreement cancellations, or terminations within five (5) years preceding the issuance of this RFP. If a contract or agreement was canceled or terminated for lack of performance, the Offeror must provide details on the customer’s allegations, the Offeror’s position relevant to the allegations, and the final resolution of the cancellation or the termination. The Offeror must also include each customer’s Company or entity name, Address, Contact name, Phone number, and Email address.

The Department may disqualify an Offeror based on a failure to disclose such a cancelled or terminated contract or agreement. If the Department learns about such a failure to disclose after an agreement is awarded, the Department may terminate the agreement.

II-5. Personnel (Tab 6). Include the number of executive and professional personnel, analysts, auditors, and other individuals, who will be engaged in the Project. Show where these personnel will be physically located during the time they are engaged in the Project. Key personnel for this project include a Grant Administrator or Project Manager. For key personnel, include the employee’s name and, through a resume or similar document, the key personnel’s education and experience, including any appropriate licenses or certifications. Indicate the responsibilities the individual will have and how long each has been with your company. The Offerors may propose additional key personnel. For all other personnel, include job title, position descriptions, responsibilities and qualifications. Identify by name any subcontractors you intend to use and the services they will perform.

Submitted resumes are not to include personal information that will, or will be likely to, require redaction prior to release of the proposal under the Right-to-Know Law, including but not limited to home addresses and phone numbers, Social Security Numbers, Drivers’ License numbers or numbers from state identification cards issued in lieu of a Drivers’ License, and financial account numbers. If the Commonwealth requires any of this information for security verification or other purposes, the information will be requested separately and as necessary.

Include organizational charts outlining the staffing, reporting relationships and staff members in its description. Show the total number of staff proposed and indicate the Full Time Equivalency (“FTE”) to account for any staff that are not assigned on a full-time basis. Provide similar information for any subcontractors that are proposed. The organizational chart must illustrate the lines of authority, designate the positions responsible and accountable for the completion of each
component in the RFP, indicate the names or job title and number of personnel that will be assigned to each role, and the number of hours per week each person is projected to work on the Project. The organizational chart must clearly indicate any functions that are subcontracted along with the name of the subcontracting entities and the services they will perform.

A minimum of three (3) client references for Key Personnel must be identified. All client references for Key Personnel must be outside clients (non-DHS) who can give information on the individual’s experience and competence to perform project tasks similar to those requested in this RFP. Key Personnel may be a member of the Offeror’s organization, or any subcontractor included in the Offeror’s proposal.

The Offeror must submit Appendix I, Personnel Reference Questionnaire, directly to the contacts listed. The references should return completed questionnaires in sealed envelopes to the Offeror. The Offeror must include these sealed references with its proposal under Tab 14.

Key Personnel Diversions Or Replacement. Once Key Personnel are approved by DHS, the selected Offerors may not divert or replace personnel without prior approval of the DHS Grant Administrator. The selected Offeror must provide notice of a proposed diversion or replacement to the DHS Grant Administrator at least thirty (30) days in advance and provide the name, qualifications, and background check (if required) of the person who will replace the diverted personnel. The DHS Grant Administrator will notify the selected Offeror within ten (10) business days of the diversion notice whether the proposed diversion is acceptable and if the replacement is approved.

Divert or diversion is defined as the transfer of personnel by the selected Offerors or its subcontractor to another assignment within the control of either the Offeror or subcontractor. Advance notification and approval does not include changes in Key Personnel due to resignations, death, disability, dismissal for cause or dismissal as a result of the termination of a subcontract or any other causes that are beyond the control of the selected Offeror or its subcontractor. DHS must approve the replacement personnel.

The DHS Grant Administrator may request that the selected Offeror remove a person from this Project at any time. In the event that a person is removed from the Project, the selected Offeror will have ten (10) days to fill the vacancy with a person acceptable in terms of experience and skills, subject to the DHS Grant Administrator’s approval.

II-6. Training (Tab 7). 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.

II-7. Financial Capability (Tab 8). Describe your company’s financial stability and economic capability to perform the grant requirements. If your company is a publicly traded company, please provide a link to your financial records on your company website in lieu of providing hardcopies.

Additionally, Offerors must provide;
a. For the proposing entity and for each entity that owns at least five percent (5%) of the proposing entity:
   i) Audited financial statements for the three (3) most recent fiscal years for which statements are available. The statements must include a balance sheet, a statement of revenue and expense and a statement of cash flow. 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.
   ii) Unaudited financial statements for the period between the last month covered by the audited statements and the month before the proposal is submitted.
   iii) Documentation about available lines of credit, including maximum credit amount and amount available thirty (30) business days prior to the submission of the proposal.
   iv) Dun & Bradstreet comprehensive report, if available.

If any information requested is not applicable or is not available, provide an explanation. Offerors may submit appropriate documentation to support information provided.

b. The full name and address of any proposed subcontractor in which the Offeror has five percent (5%) or more ownership interest. The Offeror must provide a copy of the proposed subcontractor’s Financial and Accounting Policies and Procedures.

c. A list of any financial interests a proposed subcontractor may have in the Offeror’s organization or any financial interest the Offeror’s organization has in the proposed subcontractors.

d. Information about any significant pending litigation.

The Commonwealth may request additional information it deems necessary to evaluate an Offeror’s financial capability.

II-8. Objections and Additions to Standard Grant Terms and Conditions (Tab 9). The Offeror will identify which, if any, of the terms and conditions (contained in Appendix A and Appendix B) it would like to negotiate and what additional terms and conditions the Offeror would like to add to the standard 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 Department may consider late objections and requests for additions if to do so, in the Department’s sole discretion, would be in the best interest of the Commonwealth. The Department may, in its sole discretion, accept or reject any requested changes. 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 Appendix A or Appendix B. All terms and conditions must appear in one integrated agreement. The Department 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 Submittal, on the basis of the terms and conditions set out in Appendix A and Appendix B. The Department will reject any proposal that is conditioned on the negotiation of the terms and conditions set out in Appendix A or Appendix B or to other provisions of the RFP.


A. To receive credit for being a SDB or for subcontracting with a SDB (including purchasing supplies or services through a purchase agreement), an Offeror must include proof of SDB qualification in the SDB participation submittal of the proposal by providing a photocopy of the SDB’s DGS issued certificate entitled “Notice of Small Business Self-Certification and Small Diverse Business Verification” indicating the SDB’s diverse status.

B. In addition to the above certificate, the Offeror must include in the SDB participation submittal the following information:

1. A numerical percentage which represents the total percentage of the work as a percentage of the total cost in the Cost Submittal to be performed by the Offeror and not by subcontractors and suppliers.

2. A numerical percentage which represents the total percentage of the total cost, excluding the potential costs of home modifications, in the Cost Submittal that the Offeror commits to paying to SDBs as subcontractors. To support its total percentage SDB subcontractor commitment, Offeror must also include:
   a) The percentage and dollar amount of each subcontract commitment to a SDB, excluding any subcontracts for home modification services;
   b) The name of each SDB.
   c) The services or supplies each SDB will provide, including the timeframe for providing the services or supplies.
   d) The location where each SDB will perform services.
   e) The timeframe for each SDB to provide or deliver the goods or services.
   f) A signed subcontract or letter of intent signed by Offeror and SDB for each SDB identified in the SDB submittal. The subcontract or letter of intent must identify the specific work, goods or services the SDB will perform, how the work, goods or services relate to the grant, and the specific timeframe during the term of the grant agreement and any option or renewal periods when the work, goods or services will be performed or provided. In addition, the subcontract or letter of intent must identify the fixed percentage commitment and associated estimated dollar value that each SDB will receive based on the total value of the initial term of the agreement as provided in the Cost Submittal, excluding the potential costs of home modification services. Attached is a letter of intent template (Appendix N) which may be used to satisfy these requirements.
g) The name, address and telephone number of the primary contact person for each SDB.

3. The total percentages and each SDB subcontractor commitment will become agreement obligations once the agreement is fully executed.

4. The name and telephone number of the Offeror’s project (contact) person for the SDB information.

C. Offeror must submit two copies of its SDB participation submittal. The submittal shall be clearly identified as SDB information and sealed in its own envelope, separate from the remainder of the proposal.

D. A SDB can be included as a subcontractor with as many Offerors as it chooses.

E. An Offeror that qualifies as a SDB and submits a proposal is not prohibited from being included as a SDB in separate proposals submitted by other Offerors.

II-10. **Cost Submittal.** The information requested in this Part II-10 and Appendix K of the RFP shall constitute the Cost Submittal of the proposal. Instructions for completing the Cost Submittal are included in Appendix K. **The Cost Submittal shall be placed in a separate sealed envelope within the sealed proposal, separated from the Technical and SDB Submittals of the proposal.** Offerors should not include any assumptions in their Cost Submittals. If an Offeror includes assumptions in its Cost Submittal, the Department may reject the proposal. Offerors should direct in writing to the Project Officer pursuant to Part I, Section I-10, 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 Department’s written answer so that all applications are submitted on the same basis.

Offerors should propose an all-inclusive fixed administrative monthly fee to accomplish the requirements and tasks for broker services as outlined in RFP Part IV, Work Statement of this RFP. In its monthly fee, Offeror should include all costs associated with performing only the tasks associated with the broker services of the RFP and not the costs of the actual home modifications. The selected Offerors will invoice the Department for the monthly administrative fee.

The Department will reimburse the selected Offerors the actual costs of the home modifications themselves through the Department’s claims processing system known as PROMISE™. Selected Offerors may not seek payment for any costs in excess of the actual costs of performing the home modification.

Once the Community HealthChoices (“CHC”) Program has been implemented in a CHC zone, the CHC Managed Care Organizations (“CHC-MCO”) may choose but are not required to use the Department’s selected Offerors for home modification services for the OLTL waivers. For those CHC-MCOs that have elected to use the Department’s selected Offerors, the selected Offerors will invoice the CHC-MCO for the OLTL waiver administrative fee and the actual home modification costs for the month through the CHC-MCO’s claims processing systems.
The selected Offerors will continue to submit invoices and home modification costs to the Department for the ODP waivers.

**Appendix K** of the Cost Submittal has a Cost Verification Tab. For the Cost Verification Tab, total costs of the administrative fee for broker services only should be broken down into the following components for ODP’s waivers and OLTL’s waiver:

**A. Direct Labor Costs.** Itemize to show the following for each category of personnel with a different hourly rate:
1. Category (e.g., partner, project manager, analyst, senior auditor, research associate).
2. Estimated hours.
3. Rate per hour.
4. 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.

**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.

**I. Fee or Profit.**

**J. Total Cost.**

The Department will reimburse the selected Offerors for work satisfactorily performed after execution of a written agreement and the start of the grant term, in accordance with grant requirements.

**II-11. Domestic Workforce Utilization Certification (Tab 10).** Complete and sign the Domestic Workforce Utilization Certification contained in **Appendix F** of this RFP. Offerors who seek consideration for this criterion must submit in hardcopy the signed Domestic Workforce Utilization Certification Form in the same sealed envelope with the Technical Submittal.

**II-12. Lobbying Certification and Disclosure (Tab 11).** This grant will be funded in part, with federal monies. Public Law 101-121, Section 319, prohibits federal funds from being expended by the recipient or by any lower tier sub-recipients of a federal contract, grant, loan, or a cooperative agreement to pay any person for influencing, or attempting to influence a federal agency or Congress in connection with the awarding of any federal contract, the making of any federal grant or loan, or entering into any cooperative agreement. Offerors who submit
proposals in response to this RFP must sign the “Lobbying Certification Form” (attached as Appendix G) and, if applicable, complete the “Disclosure of Lobbying Activities” form available at: http://www.whitehouse.gov/omb/assets/omb/grants/sflillin.pdf. The signed form must be included as Tab 11 in the Technical Submittal.

II-13. Tab 12 – Conflict Free. State in succinct terms your ability to meet the Conflict Free Requirements, as defined in Section IV-3.F. of this RFP. If the Offeror is not conflict free at the time of proposal submittal, the Offeror should include a detailed work plan detailing the sequencing of events and the time required to become conflict free prior to the start of the grant agreement. The Offeror should describe in narrative form its plan for becoming conflict free and use the requirements in Part IV-3.F of this RFP as your reference point.

As part of the Technical Submittal the Offeror must submit a listing all of its subsidiaries and affiliates; of all contracts and agreements, including provider agreements that the Offeror has for services within Pennsylvania; a listing of all contracts and agreements of its subsidiaries and affiliates, including any provider agreements for supports or services coordination services under the Commonwealth’s home and community based (“HCBS”) waiver Programs. If the Offeror is a subsidiary or affiliate of an entity that provides supports or services coordination services under the HCBS waivers, it must also provide this information.
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.

III-2. Technical Nonconforming Applications. The two (2) Mandatory Responsiveness Requirements set forth in RFP Part III Section III-1 above (A-B) are the only RFP requirements that the Department will consider to be non-waivable. The Department may, in its sole discretion, (1) waive any other technical or immaterial nonconformity in an Offeror’s proposal, (2) allow the Offeror to cure the nonconformity, or (3) consider the nonconformity in the scoring of the Offeror’s proposal.

III-3. Evaluation. The Department has selected a committee of qualified personnel to review and evaluate timely submitted proposals. Independent of the committee, DGS BDISBO will evaluate the SDB participation submittal and provide the Department with a rating for this component. The Department will separately evaluate and score each Lot. The Department will provide written notice of its selections for negotiation to the responsible Offerors whose proposals are determined to be the most advantageous to the Commonwealth as determined by the Department after taking into consideration all of the evaluation factors.

III-4. Evaluation Criteria. The following criteria will be used in evaluating each Lot of this RFP:

A. Technical: The Department has established the weight for the technical criterion for this RFP as 50% of the total points. Evaluation will be based upon the following in order of importance: Soundness of Approach, Offeror Qualifications, Personnel Qualifications, and Understanding the Problem. For each Lot, the final technical scores are determined by giving the maximum number of technical points available to the proposal with the highest raw technical score and a proportionate number of technical points to the remaining proposals for the Lot.

B. Cost: The Department has established the weight for the cost criterion for this RFP as 30% of the total points. For each Lot, the cost criterion is rated by giving the proposal with the lowest total cost the maximum number of cost points available and a proportionate number of points to the remaining proposals for the Lot.

C. Small Diverse Business Participation: DGS BDISBO has established the weight for the SDB participation criterion for this RFP as 20% of the total points. Each SDB participation submittal will be rated for its approach to enhancing the utilization of SDBs in accordance with the below-listed priority ranking and subject to the following requirements:
1. A business submitting a proposal as an Offeror must perform 60% of the total agreement value, excluding the value of the home modifications, to receive points for this criterion under any priority ranking.

2. To receive credit for a SDB subcontracting commitment, the SDB subcontractor must perform at least fifty percent (50%) of the work subcontracted to it.

3. A significant commitment is a minimum of five percent (5%) of the total agreement value.

4. A commitment less than five percent (5%) of the total agreement value is considered nominal and will receive reduced or no additional SDB points depending on the priority ranking.

**Priority Rank 1:** Proposals submitted by SDBs will receive 150 points. In addition, SDBs that have significant subcontracting commitments to additional SDBs may receive up to an additional 50 points (200 points total available).

Additional subcontracting commitments to SDBs are evaluated based on the proposal with the highest total percentage SDB subcontracting commitment. All other proposals will be scored in proportion to the highest total percentage SDB subcontracting commitment within this ranking.

**Priority Rank 2:** Proposals submitted by SDBs, with no or nominal subcontracting commitments to additional SDBs, will receive 150 points.

**Priority Rank 3:** Proposals submitted by non-small diverse businesses, with significant subcontracting commitments to SDBs, will receive up to 100 points. Proposals submitted with nominal subcontracting commitments to SDBs will receive points equal to the percentage level of the total SDB subcontracting commitment.

SDB subcontracting commitments are evaluated based on the proposal offering the highest total percentage SDB subcontracting commitment. All other Offerors will be scored in proportion to the highest total percentage SDB subcontracting commitment within this ranking.

**Priority Rank 4:** Proposals by non-small diverse businesses with no SDB subcontracting commitments shall receive no points under this criterion.

To the extent that there are multiple SDB Participation submittals in Priority Rank 1 or Priority Rank 3 or both that offer significant subcontracting commitments to SDBs, the proposal offering the highest total percentage SDB subcontracting commitment shall receive the highest score or additional points available in that Priority Rank category and the other proposals in that category shall be scored in proportion to the highest total percentage SDB subcontracting commitment. Proportional scoring is determined by applying the following formula:
\[
\frac{SDB \text{ % Being Scored}}{\text{Highest % SDB Commitment}} \times \frac{\text{Points/Additional}}{\text{Points Available}^*} = \frac{\text{Awarded/Additional}}{\text{SDB Points}}
\]

Priority Rank 1 = 50 Additional Points Available  
Priority Rank 3 = 100 Total Points Available

D. **Domestic Workforce Utilization:** Any points received for the Domestic Workforce Utilization criterion are bonus points in addition to the total points for this RFP. The maximum amount of bonus points available for this criterion is 3% of the total points for this RFP.

To the extent permitted by the laws and treaties of the United States, each proposal will be scored for its commitment to use domestic workforce in the fulfillment of the grant. Maximum consideration will be given to those Offerors who will perform direct labor exclusively within the geographical boundaries of the United States or within the geographical boundaries of a country that is a party to the World Trade Organization Government Procurement Agreement. Those who propose to perform a portion of the direct labor outside of the United States and not within the geographical boundaries of a party to the World Trade Organization Government Procurement Agreement will receive a correspondingly smaller score for this criterion.

The certification will be included as an obligation when the grant is executed.

III-5. **Offeror Responsibility.** To be responsible, an Offeror must submit a responsive proposal and possess the capability to fully perform the grant requirements in all respects and the integrity and reliability to assure good faith performance of the grant.

In order for an Offeror to be considered responsible for this RFP and therefore eligible for selection for best and final offers or selection for negotiations:

A. The total score for the technical submittal of the Offeror’s proposal must be greater than or equal to 70% of the available technical points; and

B. Must meet the conflict free requirements as set forth in RFP Part IV Section IV-3.F; and

C. The Offeror’s financial information must demonstrate that the Offeror possesses the financial capability to ensure good faith performance of the grant and is free from financial or external factors which may hinder its ability to operate as a going concern for the term of the agreement. The Commonwealth will review the Offeror’s previous three financial statements, any additional information received from the Offeror, and any other publicly-available financial information concerning the Offeror, and assess each Offeror’s financial capacity based on calculating and analyzing various financial ratios, reviewing Offeror’s independent audit report and comparison with industry standards and trends.
An Offeror which fails to demonstrate sufficient financial capability to ensure good faith performance of the grant as specified herein may be considered by the Department, in its sole discretion, for best and final Offers or grant negotiation contingent upon such Offeror providing performance security for the first grant year cost proposed by the Offeror in a form acceptable to the Department. Based on the financial condition of the Offeror, the Department may require a certified or bank (cashier’s) check, letter of credit, or a performance bond conditioned upon the faithful performance of the grant by the Offeror. The required performance security must be issued or executed by a bank or surety company authorized to do business in the Commonwealth. The cost of the required performance security will be the sole responsibility of the Offeror and cannot increase the Offeror’s cost submittal or the grant cost to the Commonwealth.

The Department will not select for grant award any entity that is not conflict free at the time of proposal submission or if in the Department’s opinion, the submitted conflict-free plan fails to adequately address the conflict free requirements. The Offeror’s conflict free information must demonstrate that the Offeror meets the conflict free requirements defined in RFP Part IV, Section IV-3F Requirements. If the Offeror is not conflict free at the time of proposal submittal, the Offeror’s detailed work plan, detailing the sequencing of events and the time required to become conflict free must sufficiently demonstrate that the Offeror will meet the conflict free requirements prior to the start of the grant agreement. The Department will review the Offeror’s information and assess the Offeror’s plan, both for its feasibility and sufficiency, in meeting the conflict free requirements.

Further, the Department will award grants only to those Offerors determined to be responsible in accordance with the most current version of Commonwealth Management Directive 215.9, Contractor Responsibility Program.

III-6. Final Ranking and Award.

A. After any best and final offer process conducted, for the proposals submitted for each Lot, the Issuing Office will combine the evaluation committee’s final technical scores, the final cost scores, the final SDB scores and when applicable, the domestic workforce utilization scores, in accordance with the relative weights assigned to these areas as set forth in this Part.

B. The Issuing Office will rank responsible Offerors according to the total overall score assigned to each, in descending order for each Lot.

C. For each Lot and except as provided in D., the Department must select for grant negotiations the Offeror with the highest overall score; PROVIDED, HOWEVER, THAT AN AWARD WILL NOT BE MADE TO AN OFFEROR WHOSE PROPOSAL RECEIVED THE LOWEST TECHNICAL SCORE AND HAD THE LOWEST COST SCORE OF THE RESPONSIVE PROPOSALS RECEIVED FROM RESPONSIBLE OFFERORS. IN THE EVENT SUCH A PROPOSAL ACHIEVES THE HIGHEST OVERALL SCORE, IT SHALL BE ELIMINATED FROM CONSIDERATION AND AWARD SHALL BE MADE TO THE OFFEROR WITH THE NEXT HIGHEST OVERALL SCORE.
D. The Department will not award more than three (3) Lots to one Offeror. If an Offeror receives the highest overall score for more than three (3) Lots, the Department will determine the Lots to be awarded to the Offeror and will award the remaining Lot or Lots to the Offeror receiving the next highest score for a Lot. In its sole discretion, the Department may award less than three (3) Lots to the highest scoring Offeror.

E. The Department has the discretion to reject all proposals or cancel the RFP or any of the Lots within the RFP, at any time prior to the time a grant is fully executed, when it is in the best interests of the Commonwealth.
PART IV

WORK STATEMENT

IV-1. Objectives.

A. General. By implementing a Home Modifications Quality Improvement Program, the Department is seeking to enhance opportunities for community based living as well as the accountability and quality of home modification services, create consistency across waiver programs, provide for innovation and increase the efficiency and effectiveness of a home modification program. More specifically, the Department will select regional brokers to coordinate and manage approved home modification services in a manner that is fiscally and programmatically efficient for the Commonwealth, completed in a timely manner and meet the assessed needs of participants.

The Commonwealth plans to coordinate health and long-term services and supports (LTSS) in the OLTL through CHC-MCOs. Participants will have a choice of two to five CHC-MCOs depending on the CHC zone. The CHC Program will include participants in the OLTL Aging, Attendant Care, OBRA, CommCare and Independence waiver programs. The CHC Program will not include individuals enrolled in ODP’s waiver programs (Adult Autism, P/FDS, and Consolidated waivers).

The Department will transition HCBS participants to a CHC managed care delivery system for health care services and LTSS over a three year period anticipated to begin on January 1, 2017. The first phase will include Region 1 in January 2017, the second phase will include Region 2 in January 2018, and the third phase will include Regions 3, 4 and 5 in January 2019. The CHC-MCOs will provide home modifications under the CHC Program. The selected CHC-MCOs may opt to use the selected Offerors to manage home modifications services, may use its own broker or may manage home modifications in some other manner.

B. Specific. The Department’s specific objectives in implementing the Home Modifications Quality Improvement Program are to:

1. Increase accountability and predictability for home modification services;
2. Create statewide consistency of home modification services across waiver programs;
3. Improve the quality, timeliness and effectiveness of home modifications;
4. Establish a statewide process to monitor and measure continuous quality improvement;
5. Provide greater opportunity for strategic sourcing of home modification services;
6. Allow for more focused oversight of services; and
7. Provide a vehicle for waiver participant input concerning home modification services.

IV-2. Nature and Scope of the Project. The Department offers approved home modification services to participants of certain HCBS waiver programs when these modifications are needed to assist participants to reside at home or to enable them to live more independently. Currently, the Adult Autism waiver offers “environmental modifications”; the Consolidated and P/FDS waivers, offer “home accessibility adaptations”; and the Aging, CommCare, Independence and
OBRA waivers offer “home adaptations”. Each waiver provides a service definition which identifies the types of permitted modifications. For the purpose of this RFP, the term “home modifications” will be used for all waiver programs.

A summary of all waivers can be found at: http://www.dhs.pa.gov/citizens/healthcaremedicalassistance/homeandcommunitybasedservices/

Additionally, information on each of the waivers within the scope of this RFP may be found through the individual links on the summary page. Under the Home Modifications Quality Improvement Program, the Department will adopt a uniform service delivery of home modifications applicable to all waiver programs. Refer to Appendix L for the Department’s service definitions. The waiver service definitions will allow for home modifications to ensure the health, security of, and accessibility for participants and are intended to address egress into and out of the home, more effective and independent management of activities of daily living, and access to common living areas.

As part of its Home Modifications Quality Improvement Program, the Department will select regional brokers to coordinate approved home modification services for all waiver programs within the scope of this RFP. The Department plans to award one agreement for each of the following Lots which encompasses the following counties:

- Lot 1 Southeast Region (“SE”) includes Bucks, Chester, Delaware, Montgomery and Philadelphia Counties.
- Lot 2 Southwest Region (“SW”) includes Allegheny, Armstrong, Beave, Bedford, Blair, Butler, Cambria, Fayette, Greene, Indiana, Lawrence, Somerset, Washington and Westmoreland Counties.
- Lot 4 Northwest Region (“NW”) includes Cameron, Clarion, Clearfield, Crawford, Elk, Erie, Forest, Jefferson, McKean, Mercer, Potter, Venango and Warren Counties.

The selected Offerors must provide services in all counties in a region.

IV-3. Requirements.
A. Emergency Preparedness. To support continuity of operations during an emergency, including a pandemic, the Commonwealth needs a strategy for maintaining operations for an extended period of time. One part of this strategy is to ensure that entities providing critical business and program services to the Commonwealth and its program beneficiaries have
planned for such an emergency and put contingencies in place to provide needed goods and services.

1. Describe how you anticipate such a crisis will impact your operations.

2. Describe your emergency response continuity of operations plan. Please attach a copy of your plan, or at a minimum, summarize how your plan addresses the following aspects of preparedness:

   a. Employee training.

   b. Identified essential functions and key employees necessary to carry them out.

   c. Contingency plans for:

      i.) Handling staffing issues when a portion of key employees are unavailable.

      ii.) How employees in your organization will carry out essential functions if prevented from coming to the primary workplace.

   d. How your organization will communicate with staff and suppliers when primary communications systems are overloaded or otherwise fail, including key contacts, chain of communications (including suppliers).

   e. How and when your emergency plan will be tested, and if the plan will be tested by a third-party.

B. Disaster Recovery Plan. The selected Offerors must utilize reasonable data backup and disaster recovery procedures to prevent loss of information and minimize interruption in services. The Offeror should describe its data backup and disaster recovery plans for restoring and maintaining operations during natural or human-induced disasters, or any other occurrence that damages systems or data. The Offeror should provide detailed information regarding its backup and disaster recovery systems, architecture/frameworks, capabilities, governance, and procedures. The Offeror must describe how its backup and disaster recovery plans enable the continuation of critical business processes and for the protection and security of the data. The Offeror should describe the frequency of review and update of the data backup and disaster recovery plan and the disaster recovery plan testing process and testing frequency.

C. Regulatory Requirements Compliance. Selected Offerors must provide services in accordance with applicable federal and state laws, regulations, standards, and policies applicable to the MA Program and current and future waiver programs within the scope of this RFP.

Offerors must submit proposals on the basis of all statutory, regulatory and waiver requirements applicable to this procurement. The Offeror must read and be familiar with the MA requirements, even those not specified within this RFP.
Selected Offerors must comply with and monitor its providers for compliance with the Prevailing Wage Act. For additional information on the Prevailing Wage Act, use link to Prevailing Wage.

D. Background Checks.
1. The selected Offerors shall, at their expense, arrange for a criminal background check for each of its employees, as well as the employees of any subcontractors, contractors and home modifications providers, who will have access to Commonwealth facilities, either through on site or remote access and to participant residences, either through on-site access or through remote access. Background checks are to be conducted via the Request for Criminal Record Check form and procedure found at http://epatch.state.pa.us. If an individual has not been a resident of Pennsylvania for the last two (2) years, a FBI clearance check from the state of residence during the last (2) years, is required. Selected Offerors must have background checks completed prior to initial access, prior to the provision of home modifications services, and thereafter on an annual basis.
2. The selected Offerors must arrange, at their own expense, for a child abuse clearance for its employees as well as the employees of any subcontractors, contractors or home modification providers as required by the Child Protective Services Act, 63 Pa.C.S. Chapter 63. Child abuse clearances are obtained from www.compass.state.pa.us/cwis
3. Before the Commonwealth will permit access to Commonwealth facilities or participants’ residences, each selected Offeror must provide written confirmation that the background checks have been conducted. If, at any time, it is discovered that an employee of the selected Offeror or an employee of a contractor or subcontractor of a selected Offeror or an employee of a home modification provider has a criminal record that includes a felony or misdemeanor involving terroristic behavior, violence, use of a lethal weapon, or breach of trust or fiduciary responsibility or which raises concerns about building, system or personal security or is otherwise job-related, the selected Offeror shall not assign that employee to any Commonwealth facilities or permit access to participants’ residences, shall remove any access privileges already given to the individual and shall not permit that individual with remote access unless the Commonwealth consents to the access, in writing, prior to the access. The Commonwealth may withhold its consent at its sole discretion. Failure of a selected Offeror to comply with the terms of this Section on more than one occasion or the failure to appropriately address any single failure, to the satisfaction of the Commonwealth, may result in the selected Applicant being deemed in default of its agreements.
4. The Commonwealth may conduct additional background checks.

E. Confidential and Sensitive Information.

The nature of this Project requires handling of confidential and sensitive information. All personnel, contractors, and subcontractors assigned to the Project by a selected Offeror must comply with applicable state and federal laws, regulations, and rules regarding the confidentiality of information about participants and recipients. Compliance will include:

1. All selected Offeror personnel, contractors, and subcontractors assigned to the Project must comply with the Health Insurance Portability and Accountability Act (“HIPAA”) requirements, including those set forth in the Business Associate Addendum (Appendix C).
2. Selected Offeror personnel, contractors and subcontractors who will have access to PHI and MA information must receive training in confidentiality requirements, including but not limited to HIPAA Privacy and Security training and MA confidentiality requirements.

3. All selected Offeror personnel, contractors, and subcontractors assigned to the Project must sign a confidentiality agreement acknowledging the confidential nature of information and agreeing not to further disclose such information. Personnel policies must address disciplinary procedures for violation of the signed confidentiality agreements.

4. Selected Offerors, their contractors and subcontractors may use information provided under their agreements only for purposes of carrying out the obligations of the grant agreement.

5. The selected Offerors must maintain adequate measures to prohibit unauthorized access, copying, and distribution of information during work on the Project. The selected Offerors must properly dispose of both hard and electronic copies of information during work on the Project, as well as any remaining information upon the completion of the Project.

6. Confidential and Sensitive information may need to be transferred in multiple formats, including by electronic and manual means, between the Department and the selected Offerors during the agreement term, and turned over to successor entities or Commonwealth staff at the expiration or termination of the grants. The selected Offerors shall protect the confidentiality of participant and Department records in compliance with Federal and state laws, regulations and policies and will follow Commonwealth procedures for information handling and sharing. The selected Offerors agree that any breach of this provision may, at the discretion of the Commonwealth, result in termination of its agreement.

7. Record Retention. The selected Offerors shall preserve all books, records, and documents related to their agreement for a period of time that is the greater of five years from the expiration date, until all questioned costs or activities have been resolved to the satisfaction of the Commonwealth, or as required by applicable federal laws and regulations, whichever is longer. See Appendix B Audit Clause for additional information.

F. Conflict Free Requirements. The selected Offerors, as well as the providers in their network, must be free of any conflict of interest with respect to providing home modification services. To ensure an objective unbiased process, the selected Offerors and their subcontractors must be free of real or perceived conflicts of interest: specifically:

1. A selected Offeror and its subcontractors may not be a part of or affiliated with and must remain independent from providers of direct care services to HCBS waiver participants, Supports Coordination Agencies (“SCO or SCA”), Service Coordination Entities (“SCE”), or any entity providing supports coordination or service coordination services for HCBS services in Pennsylvania.

2. Selected Offerors may not assign personnel to perform the broker responsibilities of the Project if they work for a provider of home modification services to participants, a CHC MCO, SCO or SCA, SCE, or any entity providing supports coordination or service coordination services for HCBS services, with the exception of specialized medical equipment and supplies and assistive technology providers.

3. The selected Offerors must be conflict free in compliance with the CMS definition, as provided below:
Providers of HCBS for the individual, or those who have an interest in or are employed by a provider of HCBS for the individual must not provide case management or develop the person-centered service plan, except when the State demonstrates that the only willing and qualified entity to provide case management and/or develop person-centered service plans in a geographic area also provides HCBS. In these cases, the State must devise conflict of interest protections including separation of entity and provider functions within provider entities, which must be approved by CMS. Individuals must be provided with a clear and accessible alternative dispute resolution process. 42 CFR §441.301(c)(1)(vi).

G. The selected Offerors will be a HCBS provider and must be enrolled in the Pennsylvania MA Program.

H. The selected Offerors must work collaboratively with other providers which may be engaged to provide assistive technology modifications in a participant’s residence.

I. **Regional Presence.** A selected Offeror must have at least one office in the region or regions for which it is selected. The Offeror should describe its plan as to how it will provide access to the entire region and be able to perform the duties of the grant agreement. The Offerors must demonstrate the capacity to locate and obtain quality home modification providers in its designated region. The selected Offerors will be required to travel throughout designated region to home modification sites.

J. **Information and Reporting Requirements.** Each selected Offeror shall establish and maintain a database sufficient to provide the Department with monthly and quarterly reports that are accurate and complete. Data must provide an indicator identifying the waiver in which the services were provided. The database shall capture, at a minimum, the following information:

   a. For each participant: Name; Address and County; Phone Number; SC or SCE; Special needs; Limited English Proficiency and Primary Language Required mode; Master Client Index (“MCI”) number.
   b. Notes for each home modification request: Name of requestor (if different than participant); Date of request; Specific modification requested; Name of to whom request was made; Date of initial on site visit.
   c. Notes on selected home modification provider: Name and address of provider selected by participant/broker; Reason why specific provider was selected, including cost bids and negotiations.
   d. Notes on home modification providers submitting bids: Number of bids solicited, Names of providers who submitted bids; Reason why provider was not selected, including cost of bid.
   e. Notes on modification: Timeline for completion, including start and end dates; Indication whether modification met the needs of the participant and met quality and time standards; Cost of the modification; Indication whether any repairs were required after completion of the project.
   f. Complaint Summary: Nature of complaint; Information on how complaint was resolved.
g. Participant Satisfaction Survey Summary: Summary of the results of participant satisfaction surveys; Overall customer satisfaction with modification, home modification provider, and process.

h. Aggregate Data: Total number of home modifications requested and completed per waiver; Summary of types of home modifications requested; Total number of home modifications completed; Total number of home modifications awarded to each provider; Total number of bids received sorted by specific types of modifications; Time to complete home modification sorted by specific types of modifications; Total number of participants served; Total costs of all modifications in for the region; Total number of complaints received by type and disposition.

K. Selected Offeror Responsibilities. As provided in this RFP, selected Offerors will provide for the delivery, administration and management of the home modification waiver services, as authorized and communicated by the SC. If appropriate, the selected Offerors will provide recommendations regarding alternative modifications and repairs to meet the participant’s needs. Selected Offerors will be accountable for the completion of the authorized modifications and repairs on existing modifications in a satisfactory manner. Selected Offerors must:
1. Provide and oversee the home modification services in accordance with the requirements of the Agreement.
2. Establish a process for maintaining necessary documentation.
3. Meet reporting requirements.
4. Respect a participant’s right to confidentiality and safeguard confidential information.
5. Develop cost effective solutions that increase access and quality and reduce cost in the context of home modifications.
6. Obtain prior written approval from rental property owners before any modification work is started, confirming with the owner that the property will not be restored to its original state.
7. Develop specifications and issue requests for bids to qualified home modification providers. When a selected Offeror in good faith estimates the cost of a home modification project to exceed $25,000, request Prevailing Wage determinations from the Department of Labor & Industry and include the Prevailing Wage determination and the requirement to pay Prevailing Wage in the bid specifications. For additional information on Prevailing Wage, use link to Prevailing Wage.
8. Submit at least two (2) completed provider bids to the participant and the Service Coordinator (“SC”).
9. Assist the participant and the SC with selection of a qualified home modification provider.
10. Negotiate final specifications and terms of home modification services with the selected provider.
11. Approve detailed design, timelines, and quotes of provider.
12. Enter into agreements with selected home modification providers.
13. Communicate with the participant and the selected provider of home modification services.
14. Be available to participants to discuss their home modification service, including but not limited to answering questions during the process from participants, their families and providers.
15. Provide oversight of the home modification provider during the home modification process, including the quality and timeliness of work.
16. Perform all contract management services, including but not limited to monitoring to ensure proper permits are obtained.
17. Develop an internal participant complaint process.
18. Resolve conflicts between the participants and home modification providers and guide participants through the conflict resolution process if a conflict arises.
19. Respond to change orders, extension requests, and conduct a final onsite inspection upon notification the modification is completed. Review home modification provider’s warranty of workmanship and sign-off on satisfactory completion of the modification.
20. Assess and evaluate completed home modifications with participant and the SC to determine quality of modification and whether the modification meets the needs of the participant.
21. Resolve issues relating to unfinished, inadequate or poor quality work or the failure of the modification to meet the needs of participant.
22. Pay home modification providers for modifications inspected and accepted by the selected Offeror. Payments cannot be delayed pending the selected Offeror’s payment from the Commonwealth.
23. Use the results of participant satisfaction surveys.
24. Establish a line of credit equal to a minimum of 25% of the estimated amount of annual home modifications for the region to provide for timely payment for completed home modifications (For historical information, see Appendix M Home Modification Historic Data).
25. Have Liability Insurance, refer to Appendix B.
26. Schedule and track repairs for existing home modifications.

L. Offeror Qualifications.

1. Knowledge and Experience
Offerors must:
   a. Have knowledge about design, construction, and costs of accessibility modifications.
   b. Be enrolled as a MA provider in each waiver.
   c. Have experience with Americans with Disabilities Act (“ADA”) compliance standards and design.
   d. Possess an understanding of assistive technology and knowledge of how to incorporate it with modifications or use it as an alternative.
   e. Be knowledgeable of and comply with the Pennsylvania Home Improvement Consumer Protection Act requirements.
   f. Have previous professional experience in residential construction project management and accessibility adaptations.
   g. Have knowledge of and comply with applicable state building and local building codes.
   h. Have experience in contract negotiations and be knowledgeable of contractor bidding processes.
   i. Have staff that has valid driver’s licenses.
   j. Be able to manage construction projects with single or multiple trade contractors, to achieve completion on time and within budget.

2. Professional Skills
Selected Offerors must:
   a. Possess an ability to work successfully with people who have a disability and their families.
   b. Possess an understanding of how accessibility adaptations and home modifications will enhance a participant’s life if installed properly and be able to educate home modifications providers with respect to such enhancements.
   c. Be able to communicate effectively verbally and in writing.
   d. Possess the ability to organize and prioritize workload and be results-oriented.
   e. Be flexible to reprioritize activities.
   f. Demonstrate knowledge of and sensitivity toward various limitations that may accompany the aging process and various physical, cognitive, and sensory disabilities.
   g. Possess the ability to communicate with program participants regarding their current modifications needs and what they may need in the future.

3. Oversight and Management
Selected Offerors must:
   a. Manage construction projects so that they are completed timely, in accordance with requirements and within agreed upon price.
   b. Develop and manage a network of qualified providers of appropriate home modification services.
   c. Manage multiple home modification providers and multiple projects on a region-wide basis.
   d. Work successfully with local code, code officials and building inspectors.
   e. Review home modification contracts for potential issues, including but not limited to lack of specificity, quality of solutions, price, time, code, and warranty.
   f. Throughout a home modification, review home modification for potential issues including but not limited to codes, deferred maintenance, lead, mold, asbestos, septic or sewer issues, and structural concerns.
   g. Have a process to track performance issues with its home modification providers, including poor quality and safety concerns.

M. Home Modification Provider Network. The selected Offerors will develop a network of providers who are qualified to provide home modifications services as outlined in this RFP.

Each selected Offeror must:

1. Establish and maintain an adequate network of qualified home modification providers to serve eligible waiver participants, through participating professions, in sufficient numbers and geographic dispersions to make services available in a timely manner. A selected Offeror must have a process which so that it knows the capacity of its network at all times and is able to report on this capacity.
2. Selected Offerors should consider the following in establishing and maintaining their networks:
   a. The anticipated waiver enrollment in a region;
   b. The expected utilization of services, taking into consideration the characteristics of populations to be served;
c. The number and types, in terms of training, experience, and specialization, of providers required to furnish the different types of home modifications services that may be required;

d. The geographic location of providers and participants;

e. The health and safety of the participants and their families.

3. Periodically review its network for changes that would materially affect its ability to provide modification services in a timely manner and have procedures to address changes in its network that affect the ability of waiver participants to access home modification services.

4. Accept all bids from qualified network providers for a home modification project. Offerors should articulate its bid collection process in its RFP response. Such process should specify how the Offeror will notify potential bidders of available projects and how the Offeror will collect bids. The process must be approved by the Department.

5. Upon request, the selected Offerors will make available its list of network providers. The Department will review the adequacy of the selected Offerors’ provider network prior to the Effective date of the grant agreement and will monitor throughout the agreement term.

6. Monitor its provider network for compliance with Agreement requirements.

In establishing its network of home modification providers, each selected Offeror will only include providers that at a minimum meet the standards set forth in RFP Part IV Section IV-3N. Selected Offerors must have a process to credential potential home modification providers as meeting these standards.

N. Requirements for Home Modification Providers. The selected Offeror’s network must include home modification providers that:

a. Have prior experience in providing home modification services.

b. Have experience with and are knowledgeable of ADA compliance standards and design.

c. Possess an awareness of assistive technology and knowledge of how to incorporate it with home modifications or use it as an alternative.

d. Are knowledgeable and comply with the Pennsylvania Home Improvement Consumer Protection Act requirements.

e. Have knowledge of and adhere to all applicable local and state building codes.

f. Are able to complete home modifications within time period specified.

g. When applicable, comply with the requirements of the Prevailing Wage Act, including but not limited to record keeping requirements.

h. Guarantee workmanship for at least one year.

i. Have a Pennsylvania contractor’s license or a comparable license in a contiguous state. If the selected Offeror includes Durable Medical Equipment (“DME”) providers as part of its network, the DME provider must be registered with the Pennsylvania Department of Health as may be required by the Controlled Substance, Drug, Device and Cosmetic Act and applicable regulations.

j. Have Workers’ Compensation Insurance in accordance state statute.

k. Be licensed to drive and have valid driver’s license and automobile insurance for any automobiles used for home modification services.

l. Be at least 18 years of age.

m. Comply with all Department standards, regulations, policies and procedures.

n. Be cleared of all liens and be financially viable.
o. Have Commercial General Liability Insurance in the amount of $500,000.
p. Have the ability to work successfully with people who have a physical or
developmental disability and their families.

O. Coordination with CHC Program

1. CHC Highlights and Background: The Commonwealth plans to coordinate health and
   LTSS through CHC-MCOs. Participants will have a choice of two to five CHC-
   MCOs in a CHC zone, depending on the number of quality proposals submitted and
   the number of eligible participants in a zone. The counties within each zone are the
   same as the counties within the home modifications regions. The CHC will serve an
   estimated 450,000 individuals, including 130,000 older persons and adults with
   physical disabilities who are currently receiving LTSS in the community and in
   nursing facilities. Home modifications to support HCBS will be a covered benefit
   under CHC. The CHC Program will not include individuals currently receiving
   services in ODP programs.

   CHC will be implemented in three phases. The Department anticipates that CHC will be
   implemented in the Southwest region (Lot 2) in January 2017, the Southeast region (Lot
   1) in January 2018, and the Northwest (Lot 5), Lehigh-Capital (Lot 3) and Northeast (Lot
   3) regions in January 2019.

2. Requirements:
   a. As the CHC Program is implemented in each CHC zone, a CHC-MCO will have the
      option to use the Department’s selected Offeror for home modification services,
      select a different home modification broker or provide home modification services in
      some other fashion.
   b. If a CHC-MCO elects to use the Department’s selected Offeror, the selected Offeror
      must work with the CHC MCO in the identification of needed and appropriate home
      modification services and the coordination of services for CHC program participants.
   c. If a CHC-MCO elects to use the Department’s selected Offeror, the selected Offeror
      must work with the CHC MCO as part of a team supporting the CHC participant’s
      service requirements, specifically, when home modifications are needed and
      appropriate to support a participant’s ability to receive services and live in the
      community.
   d. If a CHC-MCO elects to use the Department’s selected Offeror, the selected Offeror
      must work with the CHC MCO to determine procedures for payment of services for
      both the administrative fee and the cost of the home modifications for CHC
      participants.

IV-4. Tasks.
A. Readiness Review. The Department and selected Offerors will participate in Readiness
   Review which consists of activities that must take place prior to the selected Offerors
   providing home modification services. The Department, in its sole discretion, will determine
   when the selected Offerors have satisfactorily completed the Readiness Review requirements
   and are able to provide home modification services.

   The primary objectives of the Readiness Review are:
• Confirmation of a selected Offeror’s complete understanding of program and grant requirements;
• A selected Offeror’s establishment of accurate assessments and strong accountability controls;
• Mitigation of the risk of inadequate performance by a selected Offeror;
• Confirmation of the selected Offeror’s establishment of required facilities, infrastructure, and provider network.

The selected Offerors shall participate in the Readiness Review process which will be conducted by the Department. The Department will assess and document the status of the selected Offeror’s readiness with respect to meeting the requirements outlined in the RFP and the resulting agreement. The selected Offerors will not be permitted to provide home modification services if they do not show acceptable evidence of readiness relative to each requirement during the Readiness Review. As part of the Readiness Review, the Department will require detailed descriptions of how the selected Offerors will comply with the agreement requirements as well as an onsite visit by Commonwealth staff. The date will be determined by Department. At a minimum, the Department will assess a selected Offeror’s:

• Knowledge of the waiver service definitions
• Procedures to provide timely responses to home modification requests
• Plan to alert providers of an open bid for a home modification
• Monitoring Plan
• Internal operations procedures
• Office location and equipment
• Plan for collection and storage of data
• Provider Network
• Staff clearances
• Status of MA provider enrollment

The selected Offerors will provide sufficient staff to facilitate the Readiness Review process. Selected Offerors’ staff must actively participate in the Readiness Review and selected Offerors must demonstrate progress in an ongoing manner. Once the Readiness Review is completed, the selected Offeror will address issues identified by the Department during the Readiness Review in a Plan of Correction. During the implementation of the Corrective Action Plan ("CAP"), the selected Offerors will have regular status meetings with the Department Readiness Review Team. These meetings could occur either face-to-face or via conference call.

B. Home Modification Process. The selected Offerors will be responsible for various subprocesses within the Department’s home modifications service delivery process. The selected Offerors will work with the participant, the SC, and the home modification provider for the provision of services.

1. Home Modification Request and Need Identified. A request or need for a home modification may come to the Department’s attention in a number of ways. For example, within the Consolidated, P/FDS, and Adult Autism waivers, the need for home modifications is identified by the Individual Support Plan ("ISP") team as part of the ISP
planning process. Within the OLTL waivers, the need for a modification may be identified at intake or may be necessary for the transition to the community from a nursing home, may be required as the individual’s needs change, or may be recommended by a participant’s occupational or physical therapist. The SC will notify the selected Offerors of a home modifications request.

Selected Offerors shall serve participants in the order as the requests for modifications are received (“on a first come, first served basis”). For requests involving a barrier to accessibility preventing discharge from a facility, the selected Offeror must give priority to the requested modification.

2. **Request Assessment and Job Specifications.** The selected Offerors will have up to thirty (30) calendar days from the date it receives a home modification request from the SC to visit and assess the site, develop job specifications, receive owner consent if necessary, and solicit bids from its provider network. Selected Offerors must identify a detailed modification design and an approach outlining the timeline for the work to be completed in the specifications. For requests for home modifications to which the Prevailing Wage Act applies, selected Offerors must request wage determinations from the Pennsylvania Department of Labor & Industry and must incorporate these determinations into its bids.

After completing its assessment, a selected Offeror will review the request and specifications and must notify and consult with the SC if it finds that the requested modification is not required or is inadequate to meet the participant’s needs and assist in determining an appropriate modification.

3. **Bid Process.** A selected Offeror must solicit bids from its network providers and must honor a participant’s request that a particular network provider be solicited. The selected Offeror must present at least two bids from qualified and cost efficient providers to the participant, allowing the participant free choice from the two. The selected Offerors will require providers submitting a bid to review the job specifications and to add any design details, suggested changes, and submit revised home modification specifications to selected Offerors for approval. A provider must include the job specifications, pricing, and timelines in its bid submission.

4. **Participant Review and Choice.** Selected Offerors will present at least two submitted bids to the SC and participant. Selected Offerors will explain differences between the bids and answer any questions to make sure the participant understands the work to be done. The SC may assist the participant in reviewing the bids and provider selection, if requested by the participant.

5. **Contractor Engagement.** Once a participant selects a provider, the selected Offeror will enter into a contract with the selected provider for the work to be completed. The selected Offeror must negotiate terms and enter into a contract. The SC will update the participant’s ISP in the Department’s information systems to include the selected Offeror name and the negotiated cost of the home modification. The home modification is then authorized by the Administrative Entity (AE) for ODP’s Consolidated and P/FDS
waivers, by the Regional Office for ODP’s Adult Autism waiver, and OLTL for OLTL waivers. A selected Offeror will not authorize the home modification until it receives a Service Authorization Notice. Within CHC, the selected Offeror will work with the CHC MCO to coordinate the services, if a CH MCO opts to utilize the selected Offeror’s services.

6. **Contractor/Project Monitoring.** Once a provider begins work, a selected Offeror must monitor performance, providing guidance as needed and resolve any conflicts between a participant and provider which may arise during construction. The selected Offeror must require the provider to inform the selected Offeror of any issues or any barriers in completing the modification within the negotiated price and in a timely and quality manner. The selected Offeror must require that a provider provide status reports on the modification as the project progresses. The selected Offeror must complete all approved home modifications within ninety (90) calendar days from the date indicated in the Service Authorization Notice. The selected Offeror will require that less labor intensive projects be completed in a lesser amount of time than the 90 calendar days. If the project is expected to require more than 90 calendar days, the selected Offeror must obtain prior written approval from the program office. The selected Offeror must require and verify that providers meet the specific task timelines within the timeline included in the bid and formalized in the home modification contract.

Upon completion of a modification, the selected Offeror will inspect the modification onsite to confirm the quality of work, conformance to contract requirements and that it meets the participant’s needs. If the modification is satisfactory, the selected Offeror signs-off on the project. If the work is unsatisfactory, the selected Offeror must specify the deficiencies, notify the provider, and require the provider correct the deficiencies. Once the modification meets the selected Offeror’s approval, the SC visits the home to review the modification with the participant and to conduct the participant satisfaction survey. If the work is unsatisfactory, the selected Offerors work with the provider to complete the job in an acceptable manner.

7. **Warranty.** The selected Offeror must provide a one year warranty, or an industry standard warranty, whichever is longer; that all items furnished and services performed for the home modifications are free and clear of defects in workmanship and material. Repairs to the approved and completed modification are to be covered by the warranty and completed within 30 calendar days of notification to the selected Offeror by participant or SC at no additional cost.

8. **Emergency Repairs.** In cases where the immediate health and safety of a participant or the structure of a home is threatened, selected Offerors must complete emergency repairs within 24 hours for both completed projects under warranty and projects in process.

C. **Participant Satisfaction Survey.** The Department will develop and utilize a participant satisfaction survey process and survey form as part of its Home Modifications Quality Improvement Program. The SCs will conduct a survey in person with the participants during an onsite inspection and review after the completion of the project. The survey will request
information on the participant’s satisfaction with the modification, the provider, the selected Offeror and the process.

The Department will receive the survey results directly from the SCs and share them with the selected Offerors. The selected Offerors shall develop a strategy for providing feedback to participants and a strategy on how they will utilize the results of the surveys.

D. **Monitoring.** The selected Offerors are responsible for all services and workmanship provided by the home modifications providers in their region. The selected Offerors must develop and implement a Monitoring Plan to provide provider oversight. The Monitoring Plan must contain checkpoints for building requirements, timeliness, and completion; and must be submitted to the Department for approval during the Readiness Review. The selected Offerors shall provide oversight of home modifications projects and monitor providers for compliance with the terms of this agreement, their contracts for home modifications and all applicable State and Federal laws and regulations.

E. **Participant Complaint Process.** The selected Offerors must develop a process to accept and resolve complaints from participants. The selected Offerors must obtain the Department’s prior written approval of the process and any proposed changes. The Offeror must describe how it will receive, resolve, including timeframe for resolution, and track and report on complaints. The Offeror will include a plan as to how it will analyze complaints and utilize the information to improve business practices.

If the issue is unresolved at the Offeror level of review, the participant may forward the complaint to the program office which administers the waiver in which the participant is enrolled through a process established by the Department. The selected Offerors must work cooperatively with the Department to resolve complaint. The selected Offeror must maintain copies of all complaints, responses and the final resolution for the term of the grant agreement plus 5 years after the completion of the home modification; and made available to Department staff upon request.

The selected Offeror must handle all matters relating to its home modifications providers, including but not limited to disputes concerning payments, identified deficiencies or adverse decisions by the selected Offeror. Home modification providers have no appeal process to the Department.

E. **Turnover Services.** Turnover is defined as those activities that are required for a selected Offeror to turnover documentation, data, and information to Commonwealth resources at the end of the agreement or to the CHC-MCO if the CHC MCO does not use the selected Offeror to provide home modification services. Selected Offerors also must complete home modifications projects that are in progress. The selected Offeror will provide a step-by-step plan for the transition including target dates, phase-out activities, and training.

1. **Turnover Scope.** During turnover, a selected Offeror must conduct turnover activities in a manner so that participants and program stakeholders do not experience any adverse impact. Three (3) months prior to the expiration of the agreement, a selected Offeror must develop and submit a comprehensive Turnover Plan that details the proposed schedule, activities, and resource requirements associated with the turnover tasks.
identified. Two (2) months prior to the expiration of the agreement term, the selected Offeror must implement a Department approved Turnover Plan. Turnover activities include, but are not limited to:

a. Transfer of information including documentation;
b. The implementation of a quality assurance process to monitor turnover activities.

2. **Selected Offeror requirements:**

a. Maintain service delivery staffing levels during the turnover period; all changes require prior approval by the DHS Grant Administrator.
b. Not restrict or prevent the selected Offeror’s providers or subcontractors from entering into agreements with any successor vendor.
c. Provide to the Department or its representative, within 15 business days of the request, all documentation and records required by the Department or its representatives.
d. Respond to all Department requests regarding turnover information, in the timeframe defined by the Commonwealth at the time of the request.

IV-5. **Reports and Project Control.**

**A. Project Status Report.** The selected Offerors will submit a monthly and an annual report showing a point in time report of the work in progress for all projects which are the responsibility of the Offeror. The report must include the following information for each in progress home modification:

1. Medical Assistance ID
2. Last Name
3. First Name
4. Middle Initial
5. Address
6. County
7. SCO/SCE
8. SC
9. Project Type: Bathroom Modifications; Ramps; Stair Glide: Vertical Lift; Door Widening; Grab Bars; Railings; Kitchen Modifications; Other
10. Contract Date
11. Type of Contract
12. Amount Per Project Type
13. Total Cost of Project
14. SC Referral Date
15. Bids Presented to Participant Date
16. Service Authorization Notice Authorized Start Date
17. Project Completion Date

**B. Job Repair Report.** The selected Offerors will submit a monthly report for all repairs completed during the month. The report must include the following information for each completed repair:

1. Medical Assistance ID
2. Last Name
3. First Name
4. Middle Initial  
5. Address  
6. County  
7. SCO/SCE  
8. SC  
9. Original Project Cost  
10. Original Project Date Completed  
11. Project within Warranty Period Yes/No  
12. Cost of Repair (if not covered by warranty)  
13. Description of Repair  

C. Complaint Report. A monthly report with information regarding complaints. The report must include the following information:
1. Medical Assistance ID  
2. Complainant Name, if not Participant  
3. SCO/SCE  
4. SC  
5. Complaint Receipt Date  
6. Description of the Complaint  
7. Date Broker Contacted Complainant/Participant  
8. Description of the Resolution  
9. Resolution Date  
10. Referred to OLTL, ODP-ID, ODP-BAS – Yes/No  

D. Summary Reports. Selected Offerors must provide monthly and year-to-date (cumulative) basis reports regarding projects, repairs, and complaints.  
1. Number of Projects in Progress; by length of project: 0-30 days, 31-60 days, 61-90 days, and 90+ days.  
2. Number of Projects completed by Type and by Waiver  
3. Number of Repairs in Progress by Type and by Waiver  
4. Number of Repairs completed by Type and by Waiver  
5. Number of Complaints received by Type and by Waiver  
6. Number of Complaints Resolved by Complaint Type and Waiver  
7. Number of Complaints Referred to DHS for remediation in progress by Type and Waiver  
8. Number of Complaints Referred to DHS resolved by Type and Waiver  

The Department will specify the format for the reports. Selected Offerors must submit all reports electronically to the Department. The Department must have access to the raw data, including but not limited to all files and paperwork relating to bids for home modification services.  

In addition to the reporting requirements found in this RFP, the Department may request ad hoc reports from the selected Offerors.  

IV-6. Performance Standards. The Commonwealth has developed a set of minimum standards, defined below, which a selected Offeror must meet or exceed, in order to be in good standing, and meet the needs of waiver participants. The Offeror shall describe the nature of its
solution and demonstrate how its particular approach will result in services that meet the performance standards.

<table>
<thead>
<tr>
<th>PERFORMANCE STANDARD</th>
<th>TARGET</th>
<th>MINIMUM ACCEPTABLE</th>
<th>MEASURE AND VALIDATION METHOD</th>
<th>IF NONCOMPLIANCE, AMOUNT OWED</th>
<th>REPORTING FREQUENCY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Completion of site visit, development of job specifications, obtain owner consent and solicit bids within 30 calendar days from the date of SC service request.</td>
<td>Completion within 30 calendar days</td>
<td>For each home modification, DHS may assess liquidated damages if selected Offeror fails to complete within 30 calendar days.</td>
<td>Comparison of the referral date and the bids presented to participant date from Project Status Report.</td>
<td>For each modification: Greater than 30 calendar days up to 35 calendar days; $25.00 per day may be assessed Greater than 35 calendar days, $50.00 per day may be assessed.</td>
<td>Performance Standard to be submitted with monthly summary report</td>
</tr>
<tr>
<td>Timely completion of home modification.</td>
<td>Completion within required time frame</td>
<td>For each home modification, DHS may assess liquidated damages if selected Offeror fails to complete modification within 90 calendar days or required completion date.</td>
<td>Comparison of Service Authorization Notice date and completion date from Project Status Report.</td>
<td>For each modification: Greater than 90 calendar days up to 95 calendar days; $25.00 per day may be assessed Greater than 95 calendar days, $50.00 per day may be assessed.</td>
<td>Performance measurement to be submitted with monthly Work in Progress Report</td>
</tr>
</tbody>
</table>

A. Failure to meet the performance standards will result in damages to waiver participants and DHS, which will be difficult or impractical to ascertain and may result in DHS assessing liquidated damages. In its discretion, DHS may waive an assessment of liquidated damages. The DHS Project Manager will give written notice of each failure to meet a performance standard to the selected Offeror. If DHS does not assess liquidated damages in a particular instance, DHS is not precluded from pursuing other or future assessments relating to performance standards.

B. In addition to any other remedies the Department may have, for any performance deficiency, including ones relating to the performance standards, the Department may require a selected Offeror to prepare and submit a corrective action plan for each finding contained in a notice of deficiency. The selected Offeror must submit the corrective action plan to DHS within ten (10) business days of notification of the deficiency or such longer time as may be agreed to by DHS.

C. In its corrective action plan, a selected Offeror must include, at a minimum:
1. Brief description of the findings;
2. Specific steps the selected Offeror will take to correct the situation or reasons why it believes corrective action is not necessary;
3. Names and titles of responsible staff persons;
4. Timetable for performance of the corrective action steps;
5. Monitoring that will be performed to ensure that corrective action steps were implemented;
6. Signature of the Pennsylvania Project Manager or a senior executive.

D. The selected Offeror must implement the corrective action plan within the timeframe agreed to by the parties for that particular corrective action plan. Failure to implement a corrective action plan, in the manner agreed to, may result in further action by DHS, including, but not limited to, a finding of default.

All agreements containing SDB participation must also include a provision requiring the selected Offeror to meet and maintain those commitments made to SDB at the time of proposal submittal or negotiation, unless a change in the commitment is approved by the BDISBO. All agreements containing SDB participation must include a provision requiring SDB subcontractors to perform at least 50% of the subcontracted work.

The selected Offeror’s commitments to SDB made at the time of proposal submittal or negotiation shall, to the extent so provided in the commitment, be maintained throughout the term of the agreement and through any renewal or extensions. Any proposed change must be submitted to BDISBO, which will make a recommendation to the Project Officer regarding a course of action.

If the agreement is assigned to another entity, the new entity must maintain the SDB participation of the original agreement.

The selected Offeror shall complete the Prime Contractor’s Quarterly Utilization Report (or similar type document containing the same information) and submit it to the DHS Project Officer and BDISBO within 10 workdays at the end of each quarter the agreement is in force. This information will be used to determine the actual dollar amount paid to SDB subcontractors and suppliers. Also, this information will serve as a record of fulfillment of the commitment the selected Offeror made and for which it received SDB participation points. If there was no activity during the quarter then the form must be completed by stating “No activity in this quarter.”

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